

Final response to referee #1 comments on paper amt-2020-394

Dear Dr. Pfeilsticker,

we would like to thank you for all the helpful and constructive comments that improve the content and readability of the manuscript.

We proceed to answer and address all questions and comments. The comments are in bold letters and the answers in normal format. The page and line indicated in the answers correspond to the new version of the manuscript. At the end of the comments the revised manuscript is attached, with the additions in blue and the deletions in red.

Referee #1

Specific comments

1. Page1, line 7: We developed an optimized cloud detection method and derived macrophysical characteristics of the detected cirrus clouds such as cloud top height, cloud top bottom height, vertical extent and cloud top position with respect to the tropopause. This sentences needs a revision in order to reflect the full range of parameters (c.f., the cloud extinction inferred at 833 cm⁻¹), which are inferred in the study.

This sentence has been changed to the following (Page 1, line 7-9):

“We developed an optimized cloud detection method, based on the cloud index and the extinction coefficient at the microwindow 832.4-834.4 cm⁻¹. We derived macro-physical characteristics of the detected cirrus clouds such as cloud top height, cloud top bottom height, vertical extent and cloud top position with respect to the tropopause.”

2. Since it is well known that the (midIR) extinction of cirrus clouds is (weakly) wavelength dependent, which itself is a function of the particle shape and distribution et cetera (e.g., Van de Hulst 1957, Yang et al., 2001, Baran, 2005, and others), you will need to address this issue in the introduction in a few sentences and evenly important as a consequence to restrict all statements in manuscript referring to the extinction to the considered midIR wavelength/wavenumber range.

This issue is now addressed in the introduction, which has been modified accordingly:

Page 3, line 3-5: “The mid-IR radiative properties of cirrus clouds depend on particle size, particle shape and the considered wavelength (Baran 2005, Hulst 1957, Yang et.al 2001). For this study, the configuration of the retrieval of the extinction coefficient is fixed for the microwindow 832.4-834.4 cm⁻¹.”

3. Somewhere (page 2, lines 13 and 14) in the introduction, it needs to be mentioned, which definition of the tropopause is used in the manuscript (in agreement with your sentence on page 12, line 26 ‘As discussed in Pan and Munchak (2011) different definitions of the tropopause can lead to different results.’).

The selected tropopause criteria is included at the end of the introduction, where the general outline of the study is specified:

Page 3, line 6-11: “Our work analyzes the cirrus measured by GLORIA during the Wave-driven ISentropic Exchange (WISE) campaign in September/October 2017 with the purpose of obtaining more information about the nature of cirrus (both macro-physical and micro-physical properties) and thus, improve the understanding of their formation processes. The analysis includes the macro-physical properties of cirrus clouds, i.e., cloud top height (CTH), cloud bottom height (CBH), vertical extent and their position with respect to the tropopause. The tropopause was computed following the definition of the first thermal tropopause from WMO (1957).”

4. Page 12, line 5: We rather explain it by the differences in cirrus cloud selection criteria of the studies. Isn't it also a matter of detection sensitivity for the two set of observations, and if yes, how would the inferred cloud fractions compare for the same detection threshold of the extinctions?

The studies mentioned in page 12 regarding the frequency of cirrus clouds are Goldfarb et. al 2001 and Sassen et. al 2008. Goldfarb et. al 2001 uses ground-based lidar observations, while Sassen et. al 2008 analyses data from active remote sensors in space. The instruments of both studies have nadir viewing geometry.

The sensitivity of the instruments can play a role in the difference of the results, but in order to investigate it, a deeper research should be done, which is out of the scope of this manuscript. We argue that the main contribution to the different results comes from not using exactly the same criteria for the cirrus selection. Sassen et. al 2008 consider as cirrus only clouds with $\tau < 3$ and with a maximum cloud top temperature of -40°C . Goldfarb et. al 2001 considers for the detection of cirrus a threshold that is defined for each nightly determination and that the cloud layer is in an air mass with a temperature of -25°C or lower. (Information added in page 13, line 14-15 and page 14, line 1-3).

Technical, grammatical and typographical corrections

1. Throughout the manuscript, I found the arbitrary change in tenses (c.f. from simple past, to present and vice versa) rather irritating. Check for internal consistency and the appropriateness for the used tenses.

Thank you for pointing this inconsistency out. The manuscript has been reviewed and modified accordingly.

2. Page 1, line 8: What is a ‘cloud top bottom height‘?

This term was incorrect. It is has been changed to ‘cloud bottom height’.

3. Page 2, line 30 and elsewhere: I wonder whether the notation of a ,value’ is really needed to describe the magnitude of a physical quantity, c.f. This IWC value matches...., instead of This IWC matches; in the Figure 3 legend: CI value instead of CI; page 11, line 3: CI-values lower than 1.2 ... → CI lower than 1.2.... page 12,line 3: These values...→ These fractions ..; page 16, line 24: The corresponding TPmed and TP95 have close values → The altitude for corresponding TPmed and TP95 are close et cetera

The manuscript has been reviewed and all the non-necessary ‘values’ have been deleted.

4. Page 3, line 14. of providing information (of what?, c.f. on cirrus clouds) in the observation gap

Changed to: ‘It was designed with the purpose of providing information about trace gases and temperature fluctuations in the observational gap that comprises small-scale structure...’ (Page 3, line 21-23).

5. Page 3, line 19: for measuring (what ?, c.f. microphysical parameters) of optically and vertically thin cirrus...

Changed to: “for investigating optically and vertically thin cirrus.” (Page 3, line 27).

6. Page 3, line 22: ... horizontally averaged spectrum... Mention here the size of the horizontal dimension/footprint over which it is averaged

Changed to: ‘but the horizontally averaged spectrum (averaged over 48 pixels) of each line of the 2D array...’ (Page 3, line 29-30)

7. Page 3, line 31: Table 1 summarizes the most important technical characteristics (→ features) of GLORIA.

Changed to ‘features’. (Page 4, line 10)

8. Page 4, Table 1 legend: Observer altitude of 15 km and tangent altitude of 10 km.

***Ungermann (2020, in preparation) → (Ungermann et al., 2020, in prep.)**

Changed to (Ungermann, 2021, in preparation) (Page 4, Table 1 legend)

9. Page 4, line 1: Provide a reference (Hoffmann, 2006) for the RT model JURASSIC2 here.

Added in page 4, line 12: (Hoffman, 2008; Griessbach et. al, 2013; Ungermann et al. 2015).

10. Page 5, line 1: define ‘ice water content (IWC)’ on the first occurrence in the manuscript.

Changed to: ‘ice water content (IWC), i.e, the cloud ice mass in unit volume of atmospheric air.’ (Page 6, line 5)

11. Page 5, line 3: In addition, we retrieved the potential vorticity (PV) and equivalent latitudes...for consistency put latitude in singular, or potential vorticity into plural.

Changed to: ‘potential vorticity (PV) and equivalent latitude’ (Page 6, line 8)

12. Page 7, equation 1: Check for the correct notation

Equation 1 has been reviewed and modified according to the notation in Griessbach et. al, (2016). (Page 8, equation 2).

13. Page 7, line 18: ... as the percentile 95 and -86% (correct?)

Correct. -86% refers to the percentile 5. This means that for a few cases the extinction is larger in the single scattering simulation than in the no scattering one.

14. Page 8, line 5: The range of retrievable extinction values for clouds → The range of retrievable clouds extinctions ...

Changed to: 'The range of retrievable clouds extinctions...' (Page 9, line 14)

15. Page 8, line 20: If this gradient has a small variability, that means there are no elements that cause a sudden increase in the extinction. Please reformulated this sentence in order to make better clear what is meant.

Changed to: 'If this gradient has a small variability, that means there are no elements, i.e aerosols or cloud particles that cause a sudden increase in the extinction and therefore a large gradient.' (Page 9, line 28-30)

16. Page 8, line 31: This value is similar → This detection limit is similar....

Changed to: 'This detection limit is similar' (Page 10, line 5)

17. Page 8, line 34: the low number of counts shifts (what counts?)... → the low number of positive cirrus cloud detection ?

Changed to: 'the low number of observations and occurrences of clear sky...' (Page 10, line 8-9)

18. Page 8, line 35: This value, as well as the threshold for lower altitudes, agrees.... → Our threshold for this and lower altitudes, agrees

Changed to: 'Our threshold for this and lower altitudes agrees...' (Page 10, line 9)

19. Page 9, line 6: and vertical extent. → and their vertical extent

Changed to: 'and their vertical extent.' (Page 11, line 6)

20. Page 9; line 9: which the extinction (or CI) has a value equal to or larger than the kthres → which the extinction (or CI) is equal to or larger than the kthres

Changed to: 'which the extinction (or CI) is equal to or larger than the kthres...' (Page 11, line 9)

21. Page 10, line 4:first point with an extinction (what point? and to what refers first?) →first detection in the series of limb observations with an extinction...

Changed to: 'first detection in the series of limb observations with an extinction...' (Page 11, line 13-15)

22. Page 11, line 4: Thin profiles.... What are thin profiles? Profiles of small extinctions? ...

Changed to: 'Optically thin profiles, i.e. with small extinctions, are...' (Page 11, line 18, page 12, line 1)

23. Page 11, line 6:reaches saturation after CI = 1.2 ...(after?) → for CI's larger than 1.2.

Changed to: 'reaches saturation for CI's smaller than 1.2 ...' (Page 12, line 3)

24. Page 11, line 11: ...the different spectral slopes... → the different wavelength dependence

Changed to: 'the different wavelength dependence' (Page 13, line 4)

25. Page 12, line 5: However, 60% is considerably... → However, a fraction of 60% is considerably

Changed to: 'However, a fraction of 60% is...' (Page 13, line 12)

26. Page 12, line 10:8 and 10 km present equivalent latitudes... →8 and 10 km as function of equivalent latitudes

The suggested modification would alter the meaning of the sentence. The message of this sentence is that the CTH between 8 and 10 km have mixed air mass characteristics, as some of them have equivalent latitudes of air masses in the tropics and other CTHs have equivalent latitudes of polar air masses. (Page 14, line 5-6)

27. Page 12, line 11: For CTHs between 10km and about 12.5km the air masses have an equivalent latitude typical of mid-latitudes, whereas the highest CTHs, above about 12.5km are almost subtropical.--> CTHs between 10km and about 12.5km often occur at equivalent latitude typical for mid-latitudes, whereas the CTHs above about 12.5 km, are (were) related to subtropical latitudes.

Changed to: "CTHs between 10km and about 12.5km often occur at equivalent latitude typical for mid-latitudes, whereas the CTHs above about 12.5 km, are (were) related to subtropical latitudes" (Page 14, line 6-8)

28. Page 12, line 13: The main difference between both methods is the slightly higher (1 – 2 pixels) CTHs of the CI method. → The main difference between both methods is the slightly higher (1 – 2 pixels) → CTHs inferred from the CI are slightly higher (1 – 2 pixels) than for the extinction method.

Changed to: 'The main difference between both methods is that the CTHs inferred from the CI are slightly higher (1 - 2 grid points) than for the extinction method.' (Page 14, line 8-9)

29. Page 12, line 14: Considering all observed profiles about 39% are optically thick using the extinction and 41% the CI method. → From all considered profiles, 39% can be characterized as optically thick (provide a number here) using the extinction method and 41% the CI method.

Changed to: "From all considered profiles (13539), about 39% (5232 profiles) can be characterized as optically thick using the extinction method and 41% (5517 profiles) the CI method." (Page 15, line 1-2)

30. Page 12., line 14: The maximum extinction detected for thin clouds in which a CBH was possible to determine is $4 \times 10^{-2} \text{ km}^{-1}$. → For optically thin clouds, the maximum extinction at CBH was $4 \times 10^{-2} \text{ km}^{-1}$.

As the maximum extinction does not necessarily correspond to the CBH, we will leave the original sentence.

31. Page 12, line 20: ...the vertical extent distribution → the frequency distribution of the vertical extent

Changed to: 'They showed that between May and November the frequency distribution of the vertical extent of the observed clouds...' (Page 15, line 8-9)

32. Page 12, line 22: ... computed... → ... found...
Modified.

33. Page 12, line 27: ... the first thermal tropopause altitude was computed from ERA5 data .. ‘first’ with respect to what?

It refers to the first tropopause found when analyzing the temperature profile from the lowest altitude upwards.

34. Page 12, line 28: sampling air masses that can be heterogeneous. Consequently, the tropopause is usually not constant .. → hence the sampled air masses can (could) be heterogeneous in the horizontal. Further, the tropopause height is (was) not constant.

Change to: “hence the sampled air masses could be heterogeneous in the horizontal. Further, the tropopause height was not constant.” (Page 16, line 2-3)

35. Page 12, line 29: were applied... → were used

Changed to: ‘Two methods were used...’ (Page 16, line 3)

36. Page 12, line 33: ... the air mass at 16:18 UTC is homogeneous... → the air mass at 16:18 UTC was homogeneous (see my comment 1 above).

Changed to: ‘was homogenous’ (Page 16, line 7)

37. Legend 7: PDFs of equivalent latitude (Eqlat) normalized for each altitude bin for (a) CTH detected with the extinction, (b) CTH detected with the CI and (c) CTH from ERA5. The altitude of the tangent points (TgPt) is the y axis → PDFs of CTH as function of equivalent latitude (Eqlat) normalized for each altitude bin from (a) the extinction, (b) from the CI, and (c) from ERA5. The y axis shows the altitude of the tangent points (TgPt).

Following also suggestions from referee 2 and 3, the caption of Figure 7 has been changed to: ‘PDFs of CTH as function of equivalent latitude (Eqlat) normalized for each altitude bin from (a) the extinction, (b) the CI and (c) ERA5, discussed in Sect. 4.3. The y axis shows the altitude of the tangent points (TgPt). The black line represents the mean tropopause height during September-October 2017 as a function of the equivalent latitude. It was computed from ECMWF analysis data.’

38. Page 13, line 1: ... there are heterogeneous... → there were heterogeneous

Changed to: ‘there were...’ (Page 16, line 8)

39. Page 13, line 2: since the CTH is above or below the tropopause depending on the chosen tropopause altitude. → since as to whether the CTH is located above or below the tropopause depends on the chosen tropopause altitude.

Changed to: ‘since as to whether the CTH is located above or below the tropopause depends on the chosen tropopause altitude.’ (Page 10, line 9-10)

40. Page 13, line 11: both percentages decrease but still detect CBHs above the TP... → both occurrences decrease but still CBHs above the TP are detected.

Changed to: ‘both occurrences decrease but still CBHs above the TP were detected.’ (Page 16, line 20-21)

41. Page 13, line 12: The presence of complete layers above the tropopause is inconclusive, as these CTHs and CBHs are in general just one altitude bin apart and the CBH is only one or two altitude bins above the tropopause, which is within the uncertainties of the CBH. → The presence of complete layers above the tropopause is inconclusive, since for the cases CTHs and CBHs only separated by one altitude bin and the CBH is only one or two altitude bins above the tropopause, which is within the uncertainties of the CBH.

Changed to: ‘The presence of complete layers above the tropopause is inconclusive, since these CTHs and CBHs are only separated by one altitude bin and the CBH is only one or two altitude bins above the tropopause, which is within the uncertainties of the CBH.’ (Page 16, line 21-23)

42. Page 14, line 5: Spang et al. (2015) analysed CRISTA data (Spang et al., 2015) and concluded with a frequency of occurrence of 5% of all observations and Zou et al. (2020) obtained 2% for CALIPSO data and 4 – 5% for MIPAS data. → Spang et al. (2015) analysed CRISTA data for cirrus clouds and concluded to a 5% their frequency of occurrence and Zou et al. (2020) inferred their occurrence to 2% for CALIPSO data and 4 – 5% for MIPAS data.

Changed to: ‘Spang et al. (2015) analyzed CRISTA data and concluded to a 5% frequency of occurrence of cirrus clouds (of all observations) and Zou et. al (2020) inferred their occurrence to 2% for CALIPSO data and 4~---~5% for MIPAS data’ (Page 16, line 26-28)

43. Page 14, line 7: above the tropopause derived from ERA-Interim. → above the ERAInterim thermal tropopause.

Changed to: ‘above the ERA-Interim thermal tropopause.’ (Page 16, line 29)

44. Page 14, line 9: These values are comparable to the ones of the literature. → These occurrence frequencies are comparable to those reported in the literature (provide references here).

Changed to: ‘These occurrence frequencies are comparable to those reported in the literature (Goldfarb et. al 2001, Spang et. al 2001, Zou et. al 2020).’ (Page 16, line 30-31)

45. Page 14, line 10: ERA-Interim, the equivalent criterion would be 0.25 km above the tropopause.--> ERA-Interim. Accordingly, an equivalent criterion would be to mandate the cirrus CTH to be located 0.25 km above the tropopause.

Changed to: ‘However, as we used ERA5 data, which has a better vertical resolution than ERA-Interim, the equivalent criterion would be to mandate the cirrus CTH to be located 0.25 km above the tropopause.’ (Page 16, line 31-33)

46. Page 14, line 12: We explain the differences... → We explain these differences...

Changed to: ‘these differences’ (Page 16, line 34)

47. Legend Figure 9: The three profiles have been smoothed with a three points running mean.--> The three profiles were smoothed with a three points running mean.

Changed to: ‘were smoothed...’

48. Table 2, legend: Percentage with respect to all retrieved profiles of cloud top heights (CTHs) and cloud bottom heights (CBHs) detected above the median tropopause (TPmed)

and the percentile 95 of the tropopause (TP95) for both detection methods. → Percentages of cloud top heights (CTHs) and cloud bottom heights (CBHs) detected above the median tropopause (TPmed) relative to all retrieved profiles and the percentile 95 for their occurrence above the tropopause (TP95) for both detection methods.

Changed to: ‘Percentages of cloud top heights (CTHs) and cloud bottom heights (CBHs) detected above the median tropopause (TPmed) and the percentile 95 of the tropopause (TP95) relative to all retrieved profiles for both detection methods.’

49. Page 16, lines 1 -3: As explained in Sect. 2.3, one of the variables sampled following the viewing geometry of the GLORIA instrument is the IWC for ERA5, which when integrated along the LOS results in the limb IWP. → As explained in Sect. 2.3, one of the parameters sampled by GLORIA is IWP, which can be compared with the ERA5 reanalysis when the ERA 5 IWC is integrated along the LOS.

Changed to: ‘As explained in Sect. 2.3, one of the parameters from ERA5 sampled following the viewing geometry of the GLORIA instrument, is the IWC, which when integrated along the LOS results in the limb IWP.’ (Page 18, line 4-6)

50. Page 16, line 5: ... this is caused by the fact that for large ...> this is since for large particles...

Change to: ‘this is since for...’ (Page 18, line 7)

51. Page 16, line 9: Figure 7c shows a similar distribution of CTHs in ERA5 data as the one derived from the measurements ... --> Figure 7c shows a similar pattern of CTHs inferred from ERA5 data as those derived from the measurements.

Changed to: ‘Figure 7c shows a similar pattern of CTHs inferred from ERA5 data as those derived from the measurements.’ (Page 18, line 11)

52. Page 16, lines 9 – 11: The fraction of CTHs detected in ERA5 is about 59% of all profiles, the same as the one of the CI method (59%) and only slightly lower than the fraction for the extinction method (61%). → From all investigated profiles, the fraction of detected CTHs is 59% from ERA 5, 59% using the CI method, and 61% extinction method.

Changed to: ‘From all investigated profiles, the fraction of detected CTHs is 59% from ERA5, 59% using the CI method and 61% the extinction method.’ (Page 18, line 12-13)

53. Page 16, line 12: to not considering ... which would mean increase the number of CTHs observed between 8 and 11 km → discarding.... increases the number of CTHs incorrectly attributed to 8 and 11 km altitude range.

Changed to: ‘This could be related to discarded multi-layer clouds in the detection algorithm, which could increase the number of CTHs observed between 8 and 11 km as also CTHs below the first CTH of the multi-layer cloud would be included.’ (Page 18, line 14-15)

54. Page 16, line 17: than for ERA5. → than reanalysed in ERA5.

Changed to: ‘more cirrus measured by GLORIA than present in ERA5’ (Page 18, line 19)

55. Page 16, line 17: Considering all occurrences above the TPmed, the observations detect about 50% more than ERA5 data-set. → When considering all occurrences of cirrus above

the TPmed, the observations indicate 50% more cirrus clouds than found in ERA5.

Changed to: ‘When considering all occurrences of cirrus above the TPmed, the observations indicate 50% more cirrus clouds than found in ERA5.’ (Page 18, line 19, page 16, line 1)

56. Page 16, line 21: In Sect. 4.2 the presence of complete layers above the tropopause was suggested,... → The analysis presented in Sect. 4.2 suggest the presence of complete cirrus layers located above the tropopause.

Changed to: ‘The analysis presented in Sect. 4.2 suggest the presence of complete cirrus layers located above the tropopause.’ (Page 19, line 4)

57. Page 16, line 23: Only cloudy points... (what are cloudy points?) -> For both the extinction method and CI, measurements with a positive cloud detected are marked by colours.

Changed to: ‘For both the extinction method and CI, measurements with a cloud detection are marked by colors.’ (Page 19, line 6-7)

58. Page 17, lines 1 – 3: The CBH is slightly higher for the extinction method and above the tropopause, but still within the detection error, therefore, no affirmation of it being undoubtedly above the tropopause is made. → For the extinction method, the CBH is located slightly higher than for the Ci method but still within the detection error. Therefore, the cirrus can’t unambiguously be ascribed to locations above the tropopause.

Changed to: ‘For the extinction method, the CBH is located slightly higher than for the CI method but still within the detection error. Therefore, the cirrus cannot unambiguously be ascribed to locations above the tropopause.’ (Page 19, line 10-12)

59. Page 17, line 3: In the location... → At the location

Changed to: ‘At...’ (Page 19, line 12)

60. Page 17, line 7: These values of PV and N2 indicate... → Therefore both the PV and N2 indicate...

Changed to: ‘Therefore both the PV and N2 indicate...’ (Page 19, line 18)

61. Legend Figure 11: Describe the grey line (i.e. the flight trajectory).

Changed to: ‘...Black triangles indicate the CTHs and the white circles the CBHs. The grey line marks the flight trajectory...’

62. Page 18, line 2: ... and the derived extinction ... → and the inferred extinction...

Changed to: ‘retrieved extinction...’ (Page 19, line 24)

63. Page 18, line 3: ... and did not include... → and excluded

Changed to: ‘and excluded multi-layer clouds.’ (Page 19, line 25)

64. Page 18, line 5: with an extinction of $2 \times 10^{-4} \text{ km}^{-1}$ → with an extinction as low as $2 \times 10^{-4} \text{ km}^{-1}$.

Changed to: ‘extinction as low as...’ (Page 19, line 26)

Observation of Cirrus Clouds with GLORIA during the WISE Campaign: Detection Methods and Cirrus Characterization

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Abstract. Cirrus clouds contribute to the general radiation budget of the Earth, playing an important role in climate projections. Of special interest are optically thin cirrus clouds close to the tropopause due to the fact that their impact is not yet well understood. Measuring these clouds is challenging as both high spatial resolution as well as a very high detection sensitivity are needed. These criteria are fulfilled by the infrared limb sounder GLORIA (Gimballed Limb Observer for Radiance Imaging of the Atmosphere). This study presents a characterization of observed cirrus clouds using the data obtained by GLORIA aboard the German research aircraft HALO during the WISE (Wave-driven ISentropic Exchange) campaign in September/October 2017. We developed an optimized cloud detection method ~~and~~, based on the cloud index and the extinction coefficient retrieved at the microwindow 832.4-834.4 cm⁻¹. We derived macro-physical characteristics of the detected cirrus clouds such as cloud top height, cloud ~~top~~-bottom height, vertical extent and cloud top position with respect to the tropopause. The fraction of cirrus clouds detected above the tropopause is in the order of 13 % to 27 %. In general, good agreement with the clouds predicted by the ERA5 reanalysis ~~data-set~~ dataset is obtained. However, cloud occurrence is $\approx 50\%$ higher in the observations for the region close to and above the tropopause. Cloud bottom heights are also detected above the tropopause. However, considering the uncertainties, we cannot confirm the formation of unattached cirrus layers above the tropopause.

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15 1 Introduction

High clouds, composed of ice crystals, are formed in the upper troposphere, where the temperatures are lower than -30°C . ~~It is possible to differentiate three genera: cirrus, cirrocumulus and cirrostratus. The first one consists of white delicate filaments, the second one of banks of small, white flakes and the third one of translucent cloud veils.~~ According to Sassen et al. (2008), these high clouds cover 16.7 % of the Earth's surface on average. All these clouds (from now on simply cirrus) are important, due to their frequent occurrence and their effect on the radiative budget of the Earth (Liou, 1986). Cirrus clouds ~~are rather transparent to incoming solar radiation, but absorb IR radiation from below and emit less to space due to the low temperature~~

~~of their environment~~ generally have a strong infrared greenhouse effect, leading to warming. However, optically thick cirrus with ice crystals of a few micrometers, can have the opposite effect (Krämer et al., 2016). Thus, they influence the amount of solar radiative energy received and also the loss of energy. These clouds are challenging to measure, because they can appear in multilayered cloud systems and they can be optically very thin, which complicates ~~its detection by nadir sounders that are the~~ typical operational weather satellites their detection by active as well as passive nadir sounders. Whereas in-situ measurements are capable of detecting the thinnest clouds, they only capture a temporally and spatially limited snapshot. Because of these difficulties, and despite being the subject of many studies, processes related to cirrus clouds are still not well understood and cause large uncertainties in climate projections (IPCC, 2013). Important factors influencing these uncertainties are ice water content, crystal number concentration and size distribution (Fusina et al., 2007). Other important factors that are problematic to determine are exact altitude and thickness. According to Sassen and Cho (1992) cirrus clouds are defined as (optically) thick for an optical depth $\tau > 0.3$, (optically) thin for $0.03 < \tau < 0.3$ and subvisible (SVC) for $\tau < 0.03$ in the visible wavelength region.

Of special interest is the effect of cirrus clouds in the upper troposphere / lowermost stratosphere (UTLS) region. Even small changes in the concentration of water vapor in this region affect the radiative forcing of the atmosphere (Riese et al., 2012). The presence of cirrus clouds above the tropopause, that will evaporate as soon as they experience a temperature increase and thus contribute to the water vapor budget, is still an ongoing discussion. ~~Pan and Munchak (2011) show the importance of the employed tropopause definition and usage of tropopause relative coordinates for this kind of analysis. Using the same set of measurements from the Cloud and Aerosol Lidar~~ While Dessler (2009) indicated the existence of a substantial amount of cirrus clouds above the tropopause, Pan and Munchak (2011), using the same Cloud-Aerosol Lidar with Orthogonal Polarization (CALIOP) ~~as Dessler (2009), they find less occurrences data, demonstrated that the amount of cirrus clouds~~ above the tropopause ~~and consider~~ strongly depends on the definition of the tropopause. Moreover Pan and Munchak (2011) concluded that there is not enough evidence of clouds above the tropopause in mid-latitudes. ~~Spang et al. (2015) use A follow up study by Spang et al (2015), using~~ the measurements from the Cryogenic Infrared Spectrometers and Telescopes (CRISTA) and ERA-Interim temperature fields for the determination of the local tropopause ~~and conclude,~~ concluded that there is a significant number of occurrences in the lowermost stratosphere at mid and high latitudes. A recent study with the Michelson Interferometer for Passive Atmospheric Sounding (MIPAS) and Cloud-Aerosol Lidar and Infrared Pathfinder Satellite Observations (CALIPSO) by Zou et al. (2020) ~~finds that CALIPSO observes~~ found that CALIPSO observed occurrence frequencies of about 2 % of stratospheric cirrus clouds at mid and high latitudes and 4 – 5 % for MIPAS ~~in middle latitudes at mid-latitudes~~ (six year mean global distribution 2006-2012). Other studies based on measurements by ground-based ~~LIDARs~~ lidars show thin cirrus that are unambiguously located in the lowermost stratosphere (Keckhut et al., 2005). In the analysis of Goldfarb et al. (2001) using data from northern mid-latitudes, cirrus cloud tops often occur at the tropopause and SVC constitute 23 % of the total occurrences of cirrus clouds.

Detection of optically thin cirrus clouds and SVCs is a challenge due to the needed high vertical resolution and high sensitivity. ~~This type of clouds is often invisible to nadir viewing instruments, but detectable by limb viewing instruments~~ due to the longer Martins et al. (2011) analyzed CALIOP measurements over 2.5 years and gave an insight into the global

occurrence of SVCs, being more common in the tropics (30-40 %). Reverdy et al. (2012) reported a significant population of SVCs in the tropical upper troposphere. However, Davis et al. (2010) found that CALIPSO would be missing about 2/3 of SVCs with $\tau < 0.01$. Due to the long path of the line-of-sight (LOS) through the cirrus. Spang et al. (2008) detect, typical of limb instruments, clouds that might be invisible to the nadir viewing instruments, are detectable. Spang et al. (2008) detected optically thin clouds with ice water ~~content~~ ~~contents~~ (IWC) down to 0.01 ppmv using the airborne limb instrument Cryogenic Infrared Spectrometers and Telescopes for the Atmosphere - New Frontiers (CRISTA-NF). This IWC ~~value~~ matches the lower limit of the expected IWC for mid-latitude cirrus clouds 0.01 – 200 ppmv (Luebke et al., 2016). Our study uses data from the airborne Gimballed Limb Observer for Radiance Imaging of the Atmosphere (GLORIA) instrument (Riese et al., 2014; Friedl-Vallon et al., 2014). This instrument possesses the technical characteristics necessary for the detection of thin cirrus and SVCs. It has a spatial ~~resolution~~ ~~sampling~~ of 140 m \times 140 m (horizontal sampling \times vertical sampling) at a tangent point altitude ~~of~~ (i.e. closest point of the LOS to the Earth's surface) of 10 km for a flight altitude of 15 km. It measures in the infrared spectral region between 780 and 1400 cm^{-1} and its long ~~line-of-sight~~ ~~LOS~~ provides sufficient sensitivity to low ice concentrations. The mid-IR radiative properties of cirrus clouds depend on particle size, particle shape and the considered wavelength (Baran, 2005; van de Hulst, 1958; Yang et al., 2001). For this study, the configuration of the retrieval of the extinction coefficient is fixed for the microwindow 832.4-834.4 cm^{-1} .

Our work analyzes the cirrus measured by GLORIA during the Wave-driven ISentropic Exchange (WISE) campaign in September/October 2017 with the purpose of obtaining more information about the nature of cirrus ~~and~~ (both macro-physical and micro-physical properties) and thus, improve the understanding of their formation processes. The analysis includes the macro-physical properties of cirrus clouds, i.e., cloud top height (CTH), cloud bottom height (CBH), vertical extent and their position with respect to the tropopause. The tropopause was computed following the definition of the first thermal tropopause from WMO (1957).

2 Datasets and instrument

2.1 The instrument: GLORIA

GLORIA is part of the heritage of CRISTA-NF, which was a limb viewing airborne instrument with a vertical resolution of 200 – 400 m and two spectrometers with spectral resolution of $\approx 2 \text{ cm}^{-1}$ and $\approx 1 \text{ cm}^{-1}$, respectively. This instrument represented an important ~~step~~ ~~stepping~~ stone toward future remote sensing limb instruments with even higher vertical and horizontal resolution. The GLORIA instrument and the data processing chain is described in previous studies, therefore the reader is referred to the works of Kleinert et al. (2014), Friedl-Vallon et al. (2014), Riese et al. (2014) and Ungermann et al. (2015) for a more detailed description. Here the main concepts are presented.

GLORIA is an infrared limb emission sounder that combines the Fourier-transform spectroscopy with a 2D infrared detector and measures radiances in the ~~mid-infrared~~ ~~mid-IR~~ range (780 – 1400 cm^{-1}). It was designed with the purpose of providing information about trace gases and temperature fluctuations in the observational gap that comprises small-scale structures of less than 500 m of vertical extent and less than 100 km in the horizontal. With GLORIA, it is possible to retrieve the distribution

of different trace gases and aerosols, reconstruct gravity waves and study clouds in the UTLS (e.g. Blank, 2013; Krisch et al., 2018; Höpfner et al., 2019). The high spatial resolution, 140×140 m (horizontal sampling \times vertical sampling) at a tangent point altitude of 10 km and observer altitude of 15 km, and the high precision sensors to obtain a good pointing accuracy, make GLORIA a perfect instrument for ~~measuring-investigating~~ optically and vertically thin cirrus. The instrument is typically
5 configured to use 48×128 pixels of its 2D detector array. As the main focus of this study is the characterization of cirrus clouds close to the tropopause and thus the most important feature is the vertical resolution, we do not analyze each individual pixel, but the horizontally averaged spectrum (averaged over 48 pixels) of each line of the 2D array. The final result is one profile for each measured set of interferograms with 128 spectra. The amount of radiance that each pixel receives is determined by the point spread function (PSF). The shape of the PSF is approximated by an Airy-disk with an aperture of ~~2.04~~the instrument of
10 3.6 cm and using 830 cm^{-1} as a reference wavelength. This configuration has been computed from a theoretical set-up of the instrument and was validated by cloud top measurements. The vertical sampling is higher the closer the tangent point altitude is to the observer altitude, as the projection of the PSF gets wider the further the tangent point is. For example, if the observer altitude is 14.7 km, at a tangent point of 13 km, the vertical sampling is about 88 m, at 10 km it is about 150 m and at 8 km it is about 179 m.

15 GLORIA always points towards the horizon from the right side of the plane. It is typically configured to one of three measuring modes: one high spectral resolution mode called chemistry mode (CM) and two modes, premier and panorama modes (DM), focusing on dynamical effects in the atmosphere. During ~~the CM, the instrument is fixed at 90° with respect to the flight trajectory~~. During the premier and panorama mode, the instrument changes its viewing direction between 45° and 135° in steps of 4° and 2° , respectively, which gives the possibility of observing the same volume of air from different perspectives
20 and thus allowing for tomographic studies. This capability of GLORIA ~~is-was~~ used for the reconstruction of gravity waves (Krisch et al., 2018) and clouds (Ungermaun et al., 2020). Table 1 summarizes the most important technical ~~characteristics~~ features of GLORIA. The data processing chain of GLORIA consists of three stages: the raw data processing (level 0), the processing into geolocated calibrated spectra (level 1) and the retrieval of geophysical quantities leveraging the fast radiative transfer model JURASSIC2 (section 2.4) (Hoffmann et al., 2008; Griessbach et al., 2013; Ungermaun et al., 2015). This work
25 uses level 1 and level 2 products.

2.2 The campaign: WISE

The data analyzed in this study ~~was-were~~ measured during the WISE (Wave-driven ISentropic Exchange) campaign. It took place in Shannon, Ireland (52.70°N , 8.86°W) in September and October of 2017. With a total of fifteen scientific flights (plus a first test flight) (Fig. 1) covering the North Atlantic area, it aims to answer questions related to mixing, the role of Rossby
30 wave breaking events in the transport of trace gases, such as water vapor, the formation of cirrus clouds and several other topics (Riese et al., 2017, last accessed: 13 August 2020). All the measurements were taken onboard the German research aircraft HALO (High Altitude and Long Range Research Aircraft), where GLORIA was placed in the belly-pod. HALO can fly to a maximum altitude of 15 km, which means that the vertical coverage of GLORIA observations during this campaign ~~ranges~~ ranged from ~ 15 km down to ~ 5 km.

Table 1. Instrument specifications (Friedl-Vallon et al., 2014). Observer altitude of 15 km and tangent altitude of 10 km.

*[Ungermann \(2021, in prep.\)](#)([Ungermann, 2021, in prep.](#))

Property	Value
Temporal sampling	2 s (≈ 0.5 km)/12.8 s (≈ 3.2 km) for DM/CM
Spectral coverage	780 – 1400 cm^{-1}
Spectral sampling	0.0625 cm^{-1} to 0.625 cm^{-1}
Detector array size	256 \times 256 pixels
Used detector array size	48 \times 128 pixels
Vertical sampling	0.031 $^\circ$, equal to 140 m
Horizontal sampling	0.031 $^\circ$, equal to 140 m
Vertical spatial coverage	-3.3 $^\circ$ below horizon to 0.8 $^\circ$ above horizon
Horizontal spatial coverage	1.5 $^\circ$ (=48 \times 0.031 $^\circ$) equal to 6.7 km
Yaw pointing range	45 $^\circ$ to 135 $^\circ$
Pointing precision (vertical)	0.012 $^\circ$, equal to ≈ 50 m (1σ)
*Pointing accuracy	0.1 $^\circ$

2.3 Meteorological dataset

We used the high resolution ERA5 ~~data-set~~ [dataset](#) provided by the European Centre for Medium-Range Weather Forecasts (ECMWF). The reanalysis data are available at 31 km horizontal resolution at 137 levels from surface to 80 km (Hersbach et al., 2020). The ERA5 dataset provides hourly data for a large variety of meteorological and climate variables. To perform the

5 comparison between model and measurements, the variables of interest were sampled according to the GLORIA measuring geometry, as shown in Fig. 2. This figure represents the limb geometry during one measurement. For every ~~line-of-sight~~ [LOS](#), every 30 km, the meteorological variables were computed from the corresponding parameters of the ERA5 data set, i.e. first thermal tropopause (TP), equivalent latitude and ice water content (IWC) ~~-, i.e. the cloud ice mass in unit volume~~ [of atmospheric air](#). As the signal is integrated along the LOS of the instrument, the same applies for the IWC, thus the final

10 parameter used for the comparison ~~is was~~ the limb ice water path (IWP), i.e. the IWC integrated along the LOS (Spang et al., 2015). In addition, we retrieved the potential vorticity (PV) and equivalent ~~latitudes~~ [latitude](#) from the ECMWF data at the tangent point. The static stability (N^2) used to analyze the stability of the atmosphere was computed from GLORIA retrievals. The ~~potential temperature~~ [static stability is the square of the Brunt-Vaisala frequency \(N\), defined as:](#)

$$N = \sqrt{\frac{g}{\theta} \frac{\partial \theta}{\partial z}}, \quad (1)$$

15 [where g is the local acceleration of gravity, \$\theta\$ is the potential temperature, and z is the altitude of the air parcel. \$N^2\$ describes the vertical temperature stratification of the atmosphere and gives an insight of if an air parcel is in a transition region between](#)

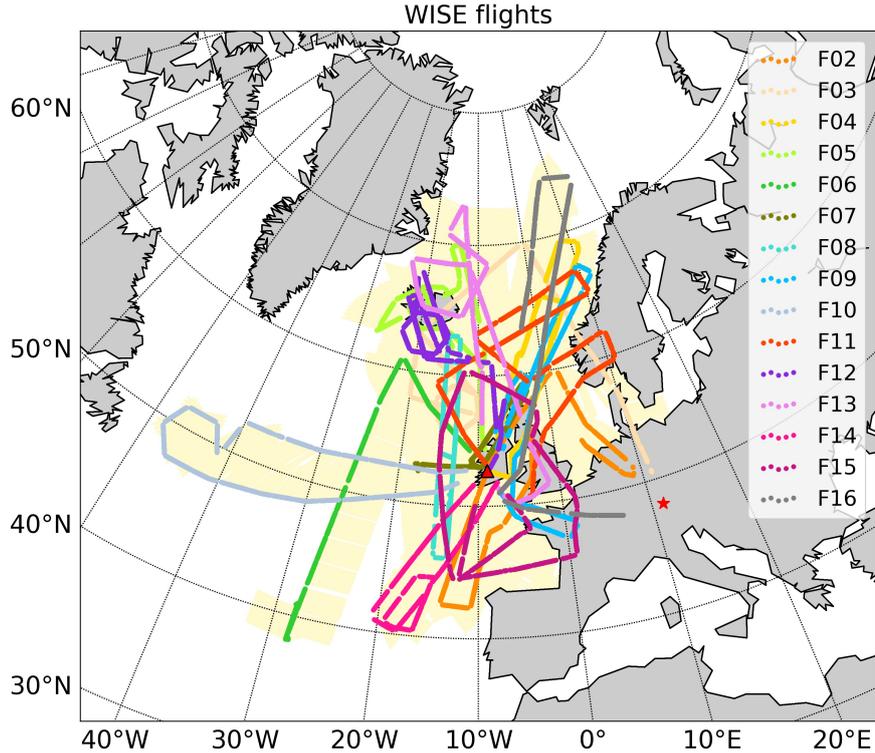


Figure 1. Overview of the 15 scientific flights of the WISE campaign. Color points correspond to the positions of HALO with GLORIA measuring. The red star indicates Oberpfaffenhofen, Germany and the red triangle Shannon, Ireland (NASA's Earth Observatory). The shade in light yellow gives a reference of the area covered by the measurements, indicating the distance of the tangent altitude point, i.e. of the closest point of the LOS of the instrument to the surface.

the troposphere, characterized by low N^2 ($N^2 \approx 1 \times 10^{-4} \text{ s}^{-2}$) and the stratosphere, characterized by high N^2 ($N^2 \approx 5 \times 10^{-4} \text{ s}^{-2}$) (Grise et. al 2010).

The potential temperature product needed for the computation of N^2 was computed from pressure and temperature of the final data set, which contains the retrieval results and a priori information taken from ECMWF. The results are dominated by a priori in regions where no measurements are available, i.e., in or below thick clouds.

2.4 The model: JURASSIC2

The Juelich Rapid Spectral Simulation Code V2 (JURASSIC2) is a fast radiative transfer model developed at Forschungszentrum Jülich for analyzing the measurements of remote sensing instruments (Hoffmann, 2006) (Hoffmann et al., 2008; Griessbach et al., 2011).

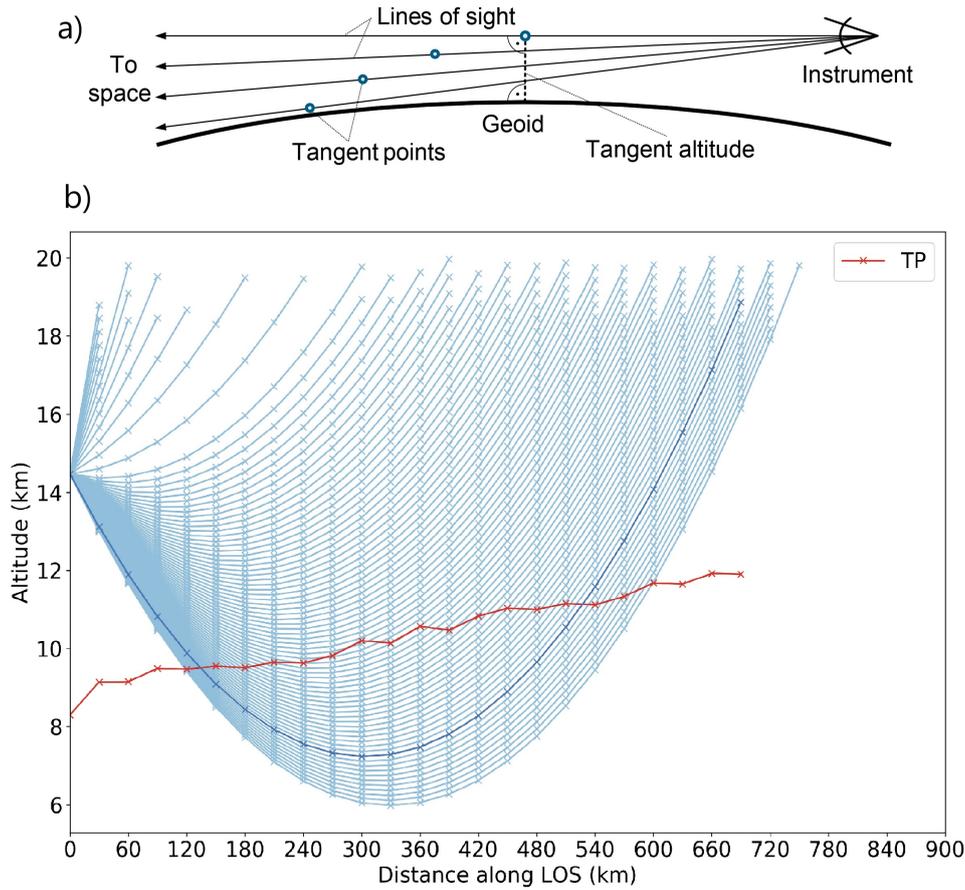


Figure 2. a) Example of the measuring geometry of GLORIA. The tangent altitude point is the closest point of the LOS (line-of-sight) to the surface. b) Example of the measuring geometry of GLORIA in a Cartesian system. Each blue line represents a different LOS that corresponds to a different elevation angle. The LOS is not a perfect straight line due to the refraction in the atmosphere and when plotted in a reference system with the Earth's surface as a straight line, it adopts a parabolic form. Each LOS is associated to a different tangent altitude. The horizontal distance of each LOS can extend several hundreds of kilometers. The lowest LOS are the ones with the largest path. The radiance measured by GLORIA is integrated along each LOS and contains the information related to the presence of clouds. The radiance from all lines of sight are recorded simultaneously. The red line indicates the tropopause (TP) from ERA5 along the corresponding line-of-sight (LOS), in dark blue.

. It combines a forward model with retrieval techniques and (for both limb and nadir geometries) and allows us to derive pressure, temperature and trace gas volume mixing ratios among others. JURASSIC2 solves the Schwarzschild Equation in the mid-infrared (Petty, 2006; Wallace and Hobbs, 2006) in the mid-IR region using spectrally averaged radiances, the Curtis-Godson Approximation (CGA; Curtis, 1952; Godson, 1953) and Emissivity Growth Approximation (EGA; Weinreb and

Neuendorffer, 1973; Gordley and Russell, 1981) in combination with emissivity look up tables (LUT) (Ungermann et al., 2011). The LUT are typically computed by the line-by-line Reference Forward Model (Dudhia, 2017).

JURASSIC2, together with the Juelich Tomographic Inversion Library (JUTIL), generates the level 2 products (temperature, trace gases, extinction coefficient). For a detailed description of this process the reader is referred to Ungermann et al. (2015).

5 For this study, the level 2 product used is simply the extinction coefficient. An explanation of how it is retrieved is given in Sect. 3.2.

3 Cloud detection methods

To analyze the data, two methods to identify optically and vertically thin clouds at high altitudes were used, ~~a~~. One method used the cloud index and the other the extinction coefficient.

10 3.1 Cloud index

The cloud index (CI) was first introduced by Spang et al. (2001) and has been widely used in different studies for the analysis of clouds in the UTLS and polar stratospheric clouds observed by CRISTA and MIPAS (Sembhi et al., 2012; Spang et al., 2015, 2016). The CI is a dimensionless number defined as the ratio between the mean radiances of two microwindows:

$$\frac{I(788.2 - 796.2)\text{cm}^{-1}}{I(832.4 - 834.4)\text{cm}^{-1}} CI = \frac{I_1([788.2, 796.2\text{cm}^{-1}])}{I_2([832.4, 834.4\text{cm}^{-1}])} \quad (2)$$

15 The first spectral window is mainly dominated by emissions of a CO₂ Q-branch and the second is an atmospheric window region. The CI is affected by the water vapor continuum contribution to the atmospheric window at low altitudes and depends slightly on latitude and season (Sembhi et al., 2012). When clouds are present, the emission in both microwindow microwindows increases. However, the relative increase in the CO₂ Q-branch is smaller. As a result, the ratio decreases, therefore low values of CI indicate a low CI indicates cloudy conditions. A $\sim 1.1 < CI < 4$ indicates the presence of clouds (Spang
20 et al., 2008, 2015).

3.2 Extinction coefficient retrieval

The extinction coefficient (from now on simply extinction) was retrieved with JURASSIC2. Although scattering by cloud particles has an impact on the measured radiance (Höpfner and Emde, 2005), we simulated the radiative transfer without scattering. As explained by Höpfner and Emde (2005) the difference between zero scattering and multiple scattering for a case
25 that falls between the two cases presented in their study ($\omega_0 = 0.24$ and $\omega_0 = 0.84$), would be between 25-28 %. Additionally, we performed test runs with single scattering for two flights using the radiative transfer model JURASSIC2. The difference
These flights were selected because both thin cirrus and thick cirrus were observed, and therefore, constitute an interesting case
for studying the influence of scattering in different cases. The difference (calculated as the mean of the median difference of
both flights) between the extinction neglecting scattering and the extinction including single scattering is 21 %, with 73 % as
30 the percentile 95 and -86 % as the percentile 5 (results not shown). ~~We considered~~ The mean difference at 2 σ , i.e percentile

16 and percentile 84 is -4% and 49%, respectively. For the retrievals with single scattering, the CTH was computed following the same procedure as for the retrievals with no scattering. For 98% of all cases, both retrievals detected a cloud. The altitude of the CTH was for about 71% of the detected clouds the same, being the typical difference 0-0.375 km. Following the same procedure for the CBH, for 90% of all cases, both retrievals detected a CBH, obtaining the same altitude in 58% of the coincidental profiles. The typical difference for the CBH was also 0 – 0.375 km. The detected clouds for both flights and both retrievals covered the range 45°N - 75°N, with the largest occurrence between 55°N – 75°N. In consideration of these results, we conclude that for our current purpose of obtaining macro-physical properties of cirrus clouds the non-scattering approach is sufficient.

Obtaining the extinction means solving an ill-posed inverse problem. In our inverse problem, there is a state vector \mathbf{x} describing the state of the atmosphere (quantities to be retrieved), a measurement vector \mathbf{y} with error ϵ , and a forward model \mathbf{F} implementing the physics of the involved processes.

$$\mathbf{y} = \mathbf{F}(\mathbf{x}) - \epsilon \quad (3)$$

For this work, \mathbf{x} is the extinction and \mathbf{y} is the radiance in the microwindow 832.4 – 834.4 cm^{-1} . This interval is the same one used for the CI. For a detailed explanation of the retrieval the reader is referred to Ungermann et al. (2015).

The retrieval grid consists of a constant altitude grid with 81 levels ranging from 6 km to 16 km with a sampling distance of 0.125 km. The model includes corrections of the tangent altitudes due to the elevation angle offset and the refraction. Several tests comparing the radiance of a theoretical case of a cloud as a step function and the retrieved one were performed to determine the influence of the radiance of cloudy pixels on the pixels above (not shown), i.e. the effect of the PSF. The results show that the retrieved profiles are affected by Gibbs oscillations that cause ringing artifacts at the edges and an overshoot of $\approx 10\%$ is found (i.e. radiance value larger than the maximum of the step function). These effects can cause an error in the determination of the cloud top height of one grid point (± 125 m). These oscillations could also affect the determination of the cloud bottom, creating a false detection of a thin layer (1 – 2 pixels grid points) above a thick cloud in $\approx 1\%$ of all the cloudy profiles. The leading error term in the determination of the cloud top altitude is the pointing knowledge along the LOS. This error is about a tenth of a degree, which has been was validated by measurements of the Moon during several flights (Ungermann, 2021, in prep.).

The range of retrievable ~~extinction values for clouds~~ cloud extinctions is from about $2 \times 10^{-4} \text{ km}^{-1}$ to $4 \times 10^{-2} \text{ km}^{-1}$ and allows for the detection of optically thin cirrus, one of the objectives of this study. The upper limit is determined by the optical thick conditions in the limb direction and the lower limit by background aerosol and calibration uncertainties.

We sampled the CI on the extinction retrieval grid to allow for a comparison of both methods (Fig. 3). The radiative transfer model assumes for practical reasons a horizontal homogeneous atmosphere. As such, it assumes that simulated measurement rays diving below a cloud layer passes through the cloud twice, whereas in the actual situation it may 'miss' the cloud on both occasions; if this occurs, the retrieval assigns nonphysical low extinction values close to 0 to those regions (Fig. 3a, e.g. at 11:29 UTC, 11 – 12 km). Above the clouds (0.125-0.250 km), the low extinction is due to the second order regularization that smooths the profiles and causes Gibbs oscillations in the extinction profile at strong value extinction changes. For the CI

cross-section (Fig. 3b), depending on the altitude, different CI threshold values indicate the presence of clouds. A detailed explanation about the detection threshold is found in Sect. 3.3.

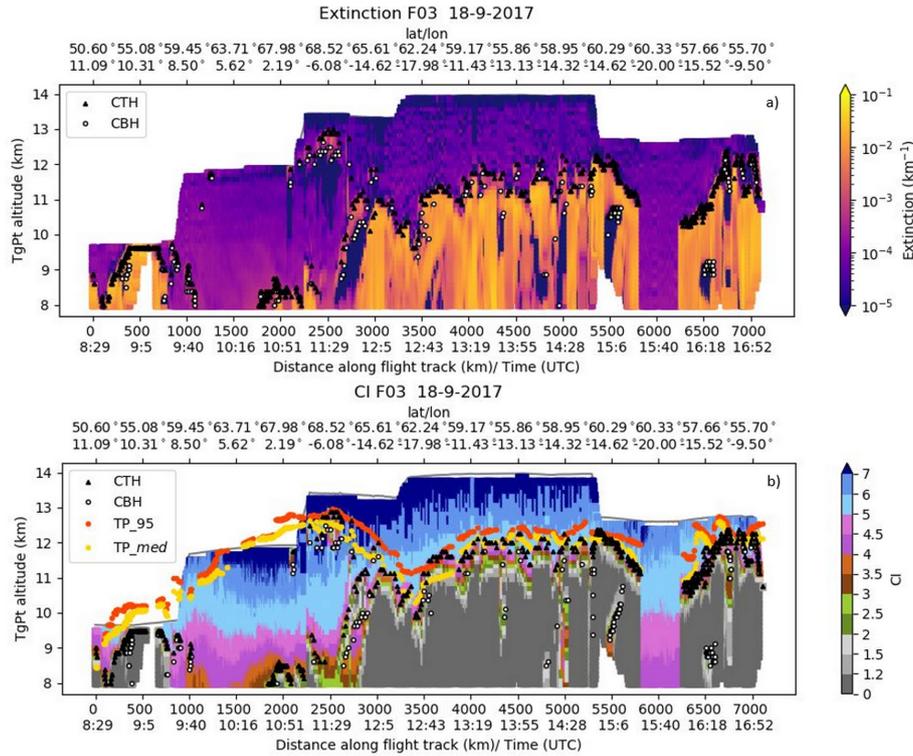


Figure 3. Cross-sections of extinction (a) and cloud index (b) for flight 3 of the WISE campaign. The results are restricted to levels below flight path. (a) Color code for extinction in km^{-1} . Orange-pink colors indicate the presence of clouds; (b) color code for CI. Depending on the altitude, CI values below 2 to 5 (colors from grey to pink) indicate the presence of clouds. Median tropopause (TP_{med}) and the percentile 95 of the tropopause (TP_{95}) are represented with orange and yellow circles, respectively. Cloud top height (CTH) and cloud bottom height (CBH) are represented with a black triangle and with a white circle, respectively. The altitude of the tangent points (TgPt) is the y axis. The white areas in both cross-sections correspond to a first filtering of optically thicker regions ($\text{CI} < 2$). [These areas correspond to the tangent layers where the clouds are optically too thick.](#)

3.3 Detection threshold for CI and extinction

To identify clouds in the measurements, we defined the detection thresholds for CI and extinction. First, we ~~define~~ [defined](#) the criteria for clear sky regions. As a first approximation of clear sky conditions, profiles with CI always greater than 2 and extinction always less than 10^{-3} km^{-1} were selected. From this first coarse pre-selection, the vertical extinction gradient (Fig. 4) was computed to have an automated method that is more sensitive to optically thin clouds. If this gradient has a small variability, that means there are no elements, [i.e aerosols or cloud particles,](#) that cause a sudden increase in the extinction [and therefore](#)

a large gradient. Clear sky profiles were defined to be those with an extinction gradient lower than a threshold defined as the median extinction gradient of the pre-selected profiles of all flights together plus 5σ . A value of 5σ was chosen after a visual fit to the gradient to reduce the number of false detections to a minimum. It is possible that the aircraft flies inside a cloud, which causes the vertical gradient of the extinction to be approximately constant and thus considered as clear sky. To exclude these cases, the condition that the CI must always be greater than 2 was added. Below 8 km the extinction gradient increases, which indicates the influence of the water vapor continuum at low altitudes (Fig. 4). Therefore, the analysis was limited to the range from 8 km to the aircraft altitude. For all the clear sky profiles, PDFs-probability density functions (PDFs) of CI and

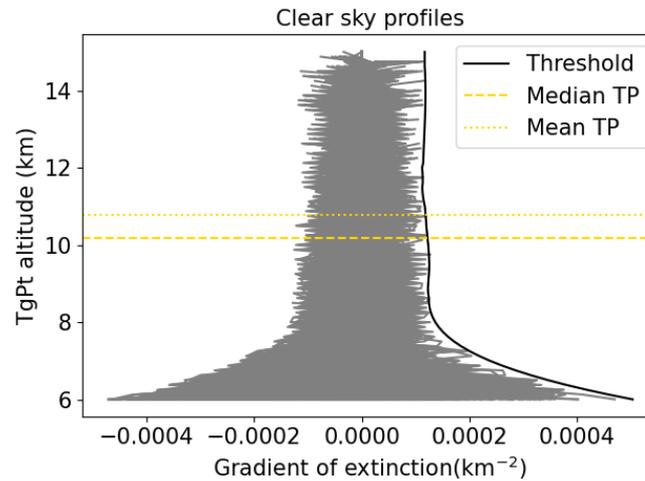


Figure 4. Clear sky profiles of the vertical Vertical gradient of the extinction coefficient for all flights together in the case of clear sky conditions. In black, the threshold defined as the median of the extinction gradient plus 5σ . Altitude of the tangent points (TgPt) in the y axis. The median tropopause height (Median TP) and the mean tropopause (Mean TP) height of all clear profiles is indicated by a dashed and a point yellow line, respectively.

extinction were calculated and normalized for each altitude bin. Using the PDF for guidance, a threshold for each parameter is was defined. The extinction coefficient threshold (k_{thres}) was defined as the median of the extinction plus 5σ . This threshold is sensitive to structures with very low extinction, down to $2 \times 10^{-4} \text{ km}^{-1}$ for a tangent point between $\sim 11.5 \text{ km}$ and 15 km . This value (Fig. 5a, b). This detection limit is similar to the one provided by Sembhi et al. (2012) for MIPAS, with an extinction detection limit above 13 km of 10^{-4} km^{-1} and to the findings of Griessbach et al. (2020), specified in Table 1 of the cited study. The CI threshold (CI_{thres}) is the percentile 1 (%) shifted by 0.3 (CI). Above 12 km we applied a constant CI-value-CI of 5 because there, the low number of counts observations and occurrences of clear sky shifts the threshold towards too high values of CI. This value, as well as the threshold for lower altitudes, CI numbers. Our threshold for this and lower altitudes agrees with the one defined by Sembhi et al. (2012) for northern mid-latitudes and Spang et al. (2012) for the MIPAS instrument. The threshold lines separate the clear air and cloudy cluster from each other, following the vertical gradient of the clear air cluster

(Fig. 5)-a, b). As seen in Fig. 5c, the relation between CI and extinction is not one-one. However, for CI between 3 and 5, which corresponds to optically thin clouds (Spang et al., 2008), the relation is stronger.

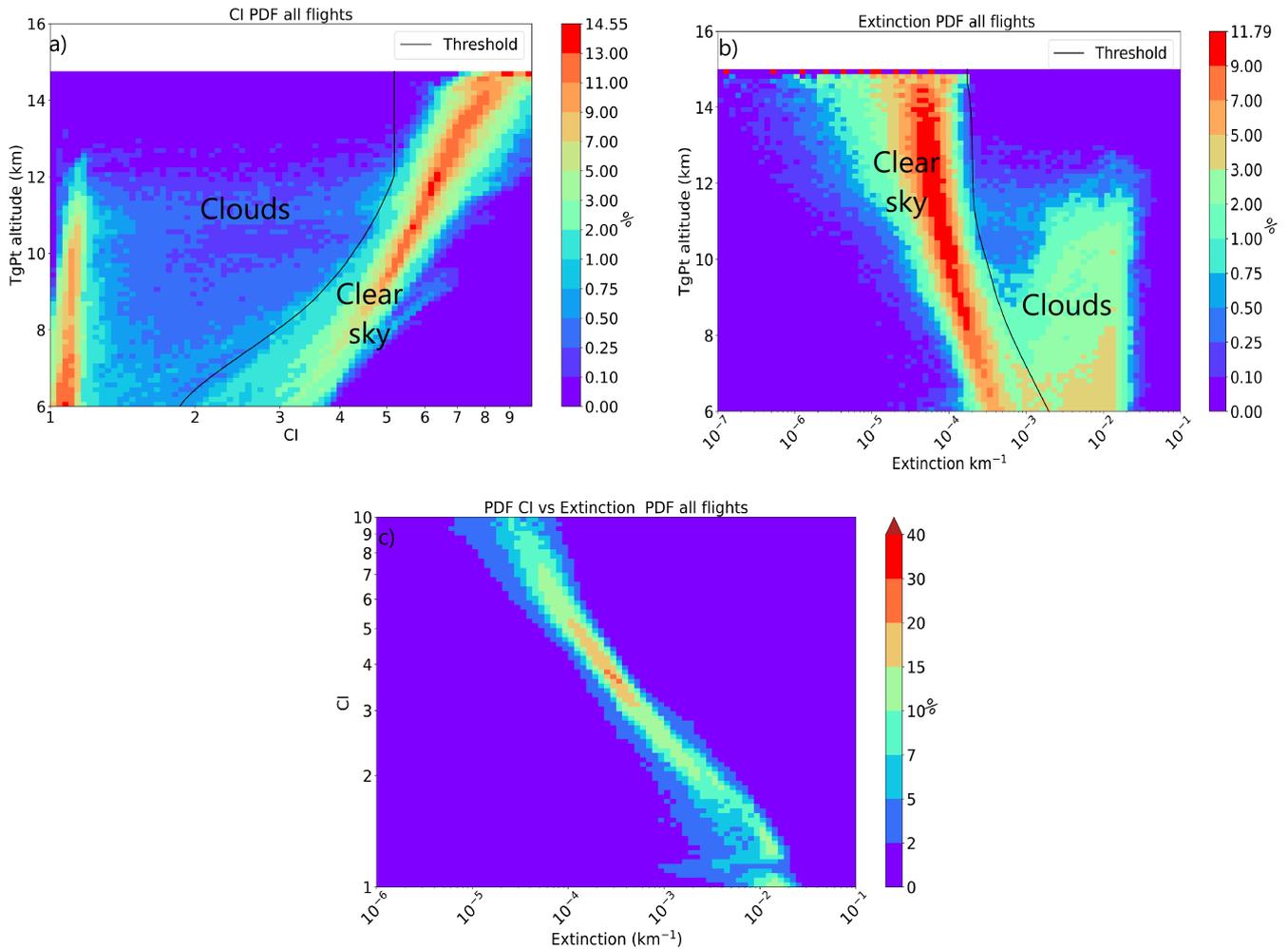


Figure 5. PDF for CI and extinction for all flights including all profiles. The bins are normalized by altitude. In black the threshold for differentiating cloudy conditions from clear sky. For (a) clouds correspond to small values of CI, i.e., the left side of the CI_{thres} . For (b) clouds correspond to high extinction values, i.e., to the right side of the k_{thres} . The altitude of the tangent points (TgPt) is the y axis. c) PDF of CI as a function of extinction, normalized by CI. The total number of analyzed profiles is 13539.

3.4 Definition of the macro-physical characteristics

Here, we define the macro-physical characteristics of the detected cirrus clouds that are presented in Sect. 4: cloud top height (CTH), cloud bottom height (CBH) and their vertical extent. In the limb geometry, the position of the cloud along the LOS is

not exactly known. For analyzing the data, the clouds were referred to the tangent point, i.e., the point of the LOS closest to the Earth's surface and the corresponding tangent height layer. Using this definition of the position of the cloud, the CTH was defined as the first point in which the extinction (or CI ~~has a value is~~ equal to or larger than the k_{thres} (or less than or equal to the CI_{thres}). For the analysis, we assumed a homogeneous cloud layer, which may underestimate the real extinction. This could

5 cause an underestimation of the CTH for some cases, in which the cloud is on the ray path far from the tangent point location (Kent et al., 1997). All the CTHs belong to the first cloud detected, i.e., the analysis did not include multi-layer clouds (two or more clouds with a clear separation in between). The CBH of a cloud using the extinction method is the altitude of the first

~~point detection in the series of limb observations~~ with an extinction smaller than the k_{thres} ; this ensures the identification of an altitude at or below the true cloud bottom. For the CI method, the CBH was computed using the minimum of the CI gradient

10 of the profile (Kalicinsky et al., 2020). CBH could only be reliably determined for optically thin clouds. For optically thick conditions, the CI profiles saturate and the extinction profiles decrease in an unrealistic manner. Optically thick profiles are characterized by ~~CI-values CI~~ lower than 1.2 from an altitude h down to the lowest altitude (Spang et al., 2015, 2016). ~~Thin profiles~~ Optically thin profiles, i.e. with small extinction, are those for which it was possible to define a CBH. Figure 6 shows an

15 example of a saturated CI profile and a profile for a cloud layer. It is possible to observe how the ~~saturated~~ CI profile reaches saturation ~~after CI = for CI's smaller than~~ 1.2. The last macro-physical characteristic that was analyzed is the vertical extent, defined as the CTH – CBH.

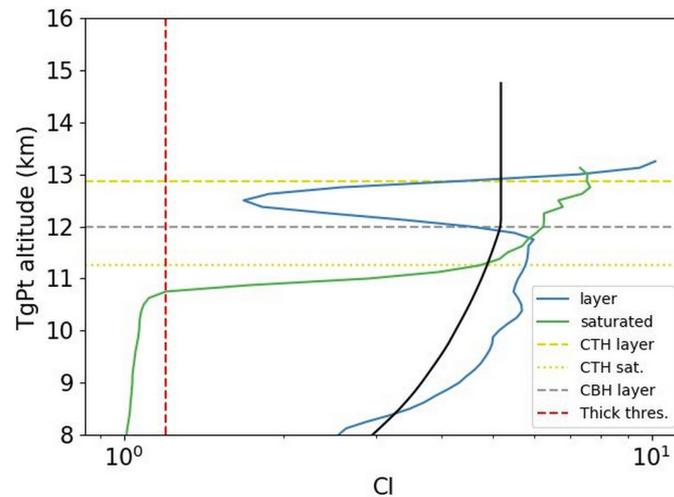


Figure 6. CI profile for a cloud layer (blue) and an optically thick case (green) that saturates. The horizontal yellow lines indicate the cloud top height (CTH) for the layer (dashed line) and the thick case (~~dashed point points~~ line). The horizontal dashed line in grey is the cloud bottom height (CBH) of the cirrus layer. The red vertical line corresponds to $CI = 1.2$ i.e. optically thick cases. In black, the CI threshold. The altitude of the tangent points (TgPt) is the y axis.

3.5 Differentiation between clouds and aerosol

Enhanced aerosol number densities can also affect the CI values and cause false cloud detection. To investigate if the presence of aerosol particles influenced the results, methods described by Griessbach et al. (2014) and Griessbach et al. (2016) were applied. These methods use the different spectral-slopes-wavelength dependence of ice and aerosols, such as volcanic ash or sulfuric acid, in five wavelength regions to establish thresholds that differentiate them. The results (not shown), indicated very little influence of these aerosols in our measurements.

4 Results

4.1 Analysis: cloud top height and cloud bottom height

During the WISE campaign, 61% of all observed profiles show CTHs using the extinction method and 59% for the CI. These values 58% of all profiles show a CTH for both methods, which indicates a similar performance. These fractions are comparable to the climatology presented in Goldfarb et al. (2001) for lidar observations, with a cirrus occurrence frequency of 60% for fall. However, a fraction of 60% is considerably larger than the $\approx 17\%$ reported by Sassen et al. (2008) for CALIPSO measurements and the International Satellite Cloud Climatology Project (ISCCP) for mid-latitudes. It is rather unlikely that this difference is related only to the disparate observational periods. We rather explain it by the differences in cirrus cloud selection criteria of the studies. While in our study there is no temperature threshold, Sassen et al. (2008) considered as cirrus only clouds with $\tau < \sim 3.0 - 4.0$ and with a maximum cloud top temperature of -40°C . Goldfarb et. al 2001 considered for the detection of cirrus a threshold that was defined for each nightly determination and required that the cloud layer was in an air mass with a temperature of -25°C or lower.

The extinction method and the CI method show good agreement in the determination of the CTHs, presenting a similar distribution (Fig. 7 a and b). The CTHs between 8 and 10 km present km were observed in air masses with equivalent latitudes that spread from tropical to polar regions, having a slightly higher frequency at the polar latitudes. For CTHs between 10 km and about 12.5 km the air masses have an often occurred at equivalent latitude typical of for mid-latitudes, whereas the highest CTHs, CTHs above about 12.5 km are almost subtropical were related to subtropical latitudes. The main difference between both methods is the that the CTHs inferred from the CI are slightly higher (1 – 2 pixels) CTHs of the CI grid points) than for the extinction method.

Considering all observed profiles From all considered profiles (13539), about 39% are (5232 profiles) can be characterized as optically thick using the extinction method and 41% (5517 profiles) the CI method. 36% of all profiles are optically thick for both methods. The maximum extinction detected for thin clouds, in which a CBH was possible to determine, is $4 \times 10^{-2} \text{ km}^{-1}$.

The distribution of the vertical extent of clouds is presented in Fig. 8. The extinction method results in a higher amount of vertically thin clouds than the CI method, due to the slightly higher CBHs of the extinction method (Ungermann et al., 2020). For both methods, a large fraction of the optically thin cirrus clouds have were located between $45\text{-}65^\circ\text{N}$ and had a vertical extent smaller than 1.5 km (31% of the clouds detected with the extinction method and 20% of the clouds detected

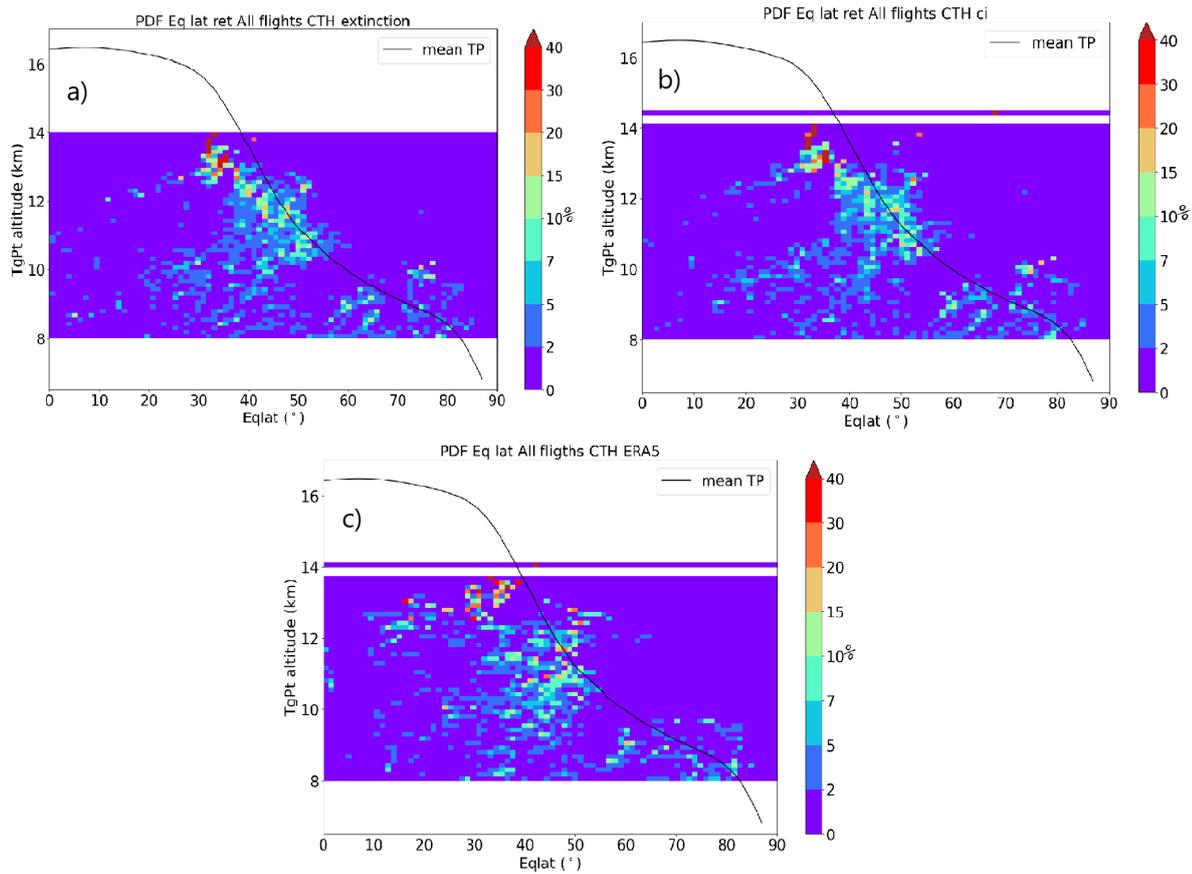


Figure 7. PDFs of CTH as function of equivalent latitude (EqLat) normalized for each altitude bin for from (a) CTH detected with the extinction, (b) CTH detected with the CI and (c) CTH from ERA5, discussed in Sect. 4.3. The y axis shows the altitude of the tangent points (TgPt) is. The black line represents the y-axis mean tropopause height during September-October 2017 as a function of the equivalent latitude. It was computed from ECMWF analysis data.

with the CI method). These results are qualitatively similar to the findings of Noël and Haeffelin (2007). They show showed that between May and November the vertical extent distribution frequency distribution of the vertical extent of the observed clouds is was biased towards values between 0 and 1.5 km. Our results are also in agreement with the mean layer thickness of 1.4 km computed found by Goldfarb et al. (2001).

5 4.2 Cloud top position with respect to the tropopause

The occurrence frequency of cirrus clouds above the tropopause remains a matter of debate. The vertical resolution of the underlying temperature profile of the meteorological analysis for the tropopause computation is a key point for respective

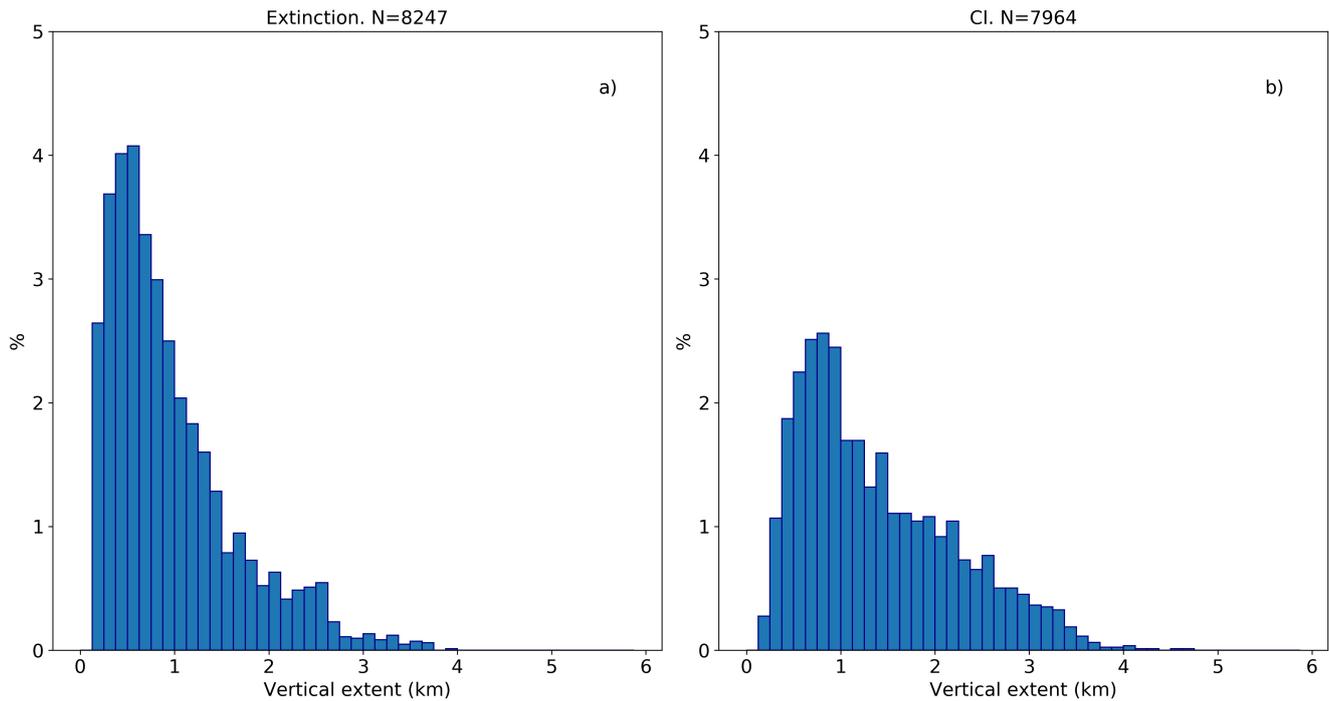


Figure 8. Distribution of the vertical extent of cirrus clouds for all flights for (a) the extinction method and (b) the CI method. The percentage is given in relation to the total number of CTHs (N) detected for each method.

analyses. As discussed in Pan and Munchak (2011) different definitions of the tropopause can lead to different results. For this study, the first thermal tropopause altitude was computed from ERA5 data. The LOS of GLORIA typically extends several hundreds of kilometers ~~sampling air masses that can be heterogeneous. Consequently, hence the sampled air masses could be~~ heterogenous in the horizontal. Further, the tropopause ~~is usually height was~~ not constant along the LOS (Fig. 2). Two methods

5 were ~~applied-used~~ for representative tropopause definition for the air mass sensed by the instrument: a) the median of the tropopause along the corresponding LOS of the CTH and b) the 95 % percentile. All extinction and CI cross-sections of the WISE campaign with CTHs, CBHs, median tropopause (TP_{med}) and 95 % percentile (TP_{95}) can be found in the supplement. Figure 3 illustrates the case of a flight with both homogeneous and heterogeneous air masses. E.g. the air mass at 16:18 UTC ~~is-was~~ homogeneous and TP_{med} and TP_{95} are close to each other (less than 125 m apart). At 11:29 UTC, there ~~are-were~~

10 heterogeneous air masses with TP_{med} and TP_{95} separated (three times the distance of the previous example), which affects the statistics of CTHs above the tropopause, since as to whether the CTH is located above or below the tropopause ~~depending~~ depends on the chosen tropopause altitude.

For the extinction method, the frequency of occurrence of CTHs above the TP_{med} is 24 % of the total number of observations, whereas for the CI method the ratio is 27 % (Fig. 9b). The $\approx 3\%$ difference is due to the CI detecting CTHs slightly higher

15 than the extinction method. When considering TP_{95} , the percentages decrease to 13 % and 16 % respectively as it uses a more

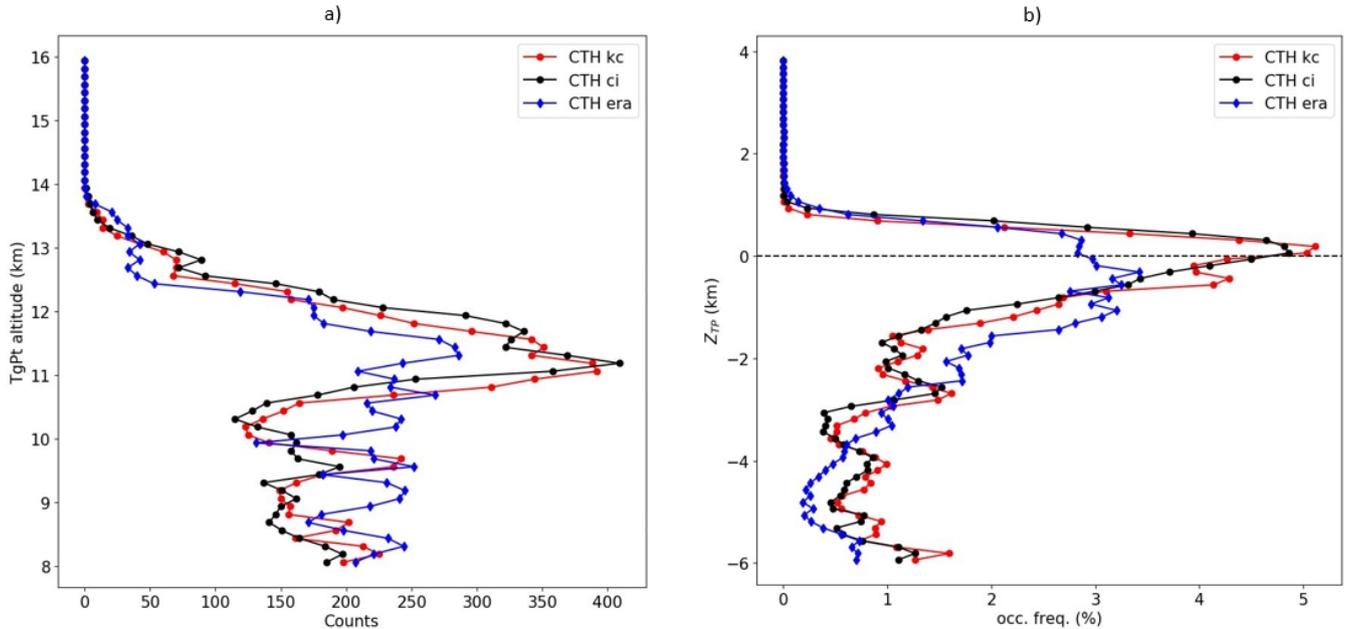


Figure 9. (a) Number of cloud top heights (CTH) per altitude bin for the extinction method (*kc*) in red, the CI method (black) and ERA5 (blue). The altitude of the tangent points (TgPt) is the y axis. (b) The same as a) but using as coordinates the distance of the CTHs to the tropopause in km (Z_{TP}). The used tropopause is the median tropopause (TP_{med}). The three profiles ~~have been~~ were smoothed with a three points running mean.

conservative criterion. This gives confidence to conclude that CTHs above the lapse rate tropopause were detected, even when considering the error in the CTH determination, which is in the order of ± 125 m. Figure 10 shows the distribution of all CTHs ~~and~~ (Fig. 10a) and the distribution of CTHs above TP_{med} (Fig. 10b) for the extinction method. As can be seen, most of the occurrences of CTHs above TP_{med} were found between 50-70° N, with varying altitudes from 8-13 km. The few occurrences

5 between 35-50° N were located at higher altitudes, from 10-14 km. About 6 % of all profiles show for both methods CTHs above the TP_{med} and are classified as optically thin. The ratio of clouds with both CTH and CBH above the TP_{med} is 2 % for the extinction method and 1 % for the CI method. When considering the TP_{95} , both ~~percentages~~ occurrences decrease but still ~~detect~~ CBHs above the TP were detected. The presence of complete layers above the tropopause is inconclusive, ~~as~~ since these CTHs and CBHs are ~~in general~~ just only separated by one altitude bin ~~apart~~ and the CBH is only one or two altitude bins

10 above the tropopause, which is within the uncertainties of the CBH. In Sect. 4.4, a potential case of a cloud layer above the tropopause is discussed in more detail. Our results (summarized in Table 2) agree with previous studies that claim the detection of CTHs above the tropopause for mid-latitudes. Goldfarb et al. (2001) used lidar ground based instruments and found 5 % of CTHs at least 1 km above the tropopause, and approximately 15 % above 0.5 km. Spang et al. (2015) analyzed CRISTA data ~~(Spang et al., 2015) and concluded with a~~ and concluded to a 5 % frequency of occurrence of 5 cirrus clouds (of all observa-

15 tions ~~and Zou et al. (2020) obtained~~) and Zou et al. (2020) inferred their occurrence to 2 % for CALIPSO data and 4 – 5 % for

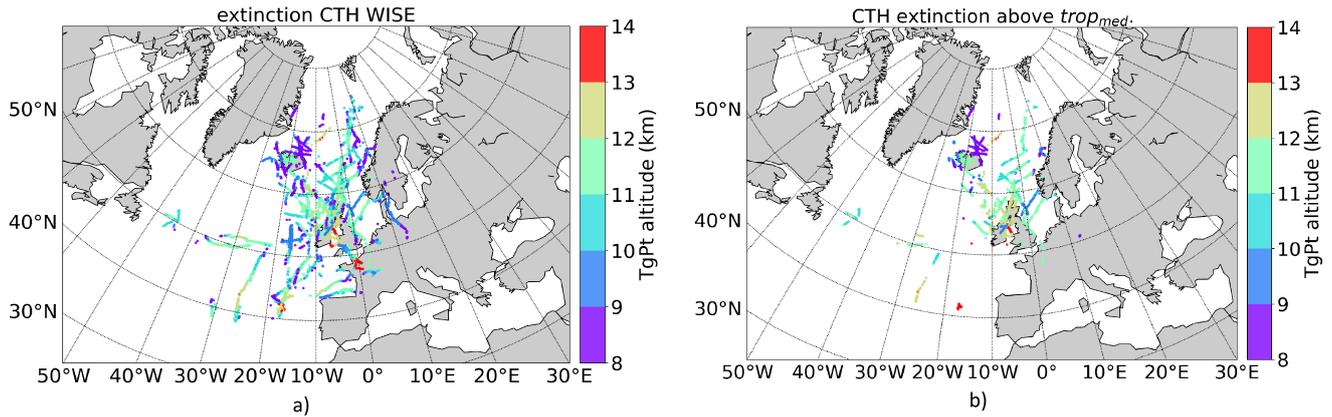


Figure 10. Distribution for (a) all cloud top heights (CTHs) for ~~extinction with color code as the tangent point altitude in km (TgPt) extinction method~~ and (b) CTHs for extinction ~~method~~ above the median tropopause (TP_{med}) ~~with color code equivalent latitude~~. Colors indicate the ~~tangent point altitude ($E_{qlat}TgPt$)~~.

MIPAS data. The analyses of Spang et al. (2015) and Zou et al. (2020) used the criterion of the cirrus CTH being 0.5 km above the ~~tropopause derived from~~ ERA-Interim ~~thermal tropopause~~. Using the same criterion, the frequency of occurrence is 4 % for CTHs above the TP_{med} for the extinction method and 7 % for the CI method. These ~~values occurrence frequencies~~ are comparable to ~~the ones of the literature~~ those reported in the literature (Goldfarb et al., 2001; Spang et al., 2015; Zou et al., 2020).

- 5 However, as we used ERA5 data, which has a better vertical resolution than ERA-Interim, the equivalent criterion would be ~~to mandate the cirrus CTH to be located~~ 0.25 km above the tropopause. In this case, the frequency of occurrence increases to 13 % above the TP_{med} for the extinction method and to 17 % for the CI method. We explain ~~the these~~ differences in the frequency of occurrence by different periods being compared, the sensitivity and vertical resolution of the instruments, the uncertainty of the meteorological data used to estimate the tropopause height and the definition of stratospheric cirrus used in each study.

10 4.3 Comparison with ERA5

We compared our CTH detections with the ERA5 ~~data set dataset~~ by applying the observation geometry of GLORIA. As explained in Sect. 2.3, one of the ~~variables parameters from ERA5~~ sampled following the viewing geometry of the GLORIA instrument, is the IWC ~~for ERA5~~, which when integrated along the LOS results in the limb IWP. Spang et al. (2012) showed that CI and the limb IWP divided by the effective radius of the particles size distribution are very well related to each other. This is ~~caused by the fact that since~~ for large particles (with respect to the wavelength) the observed cloud radiances are determined by the integrated surface area along the LOS, in contrast to the volume density for small particles. We defined a CTH for the ERA5-based ~~data set dataset~~ to each tangent point with $IWP > 0$.

Table 2. ~~Percentage with respect to all retrieved profiles~~ Percentages of cloud top heights (CTHs) and cloud bottom heights (CBHs) detected above the median tropopause (TP_{med}) and the percentile 95 of the tropopause (TP_{95}) ~~relative to all retrieved profiles~~ for both detection methods. ~~The last three rows correspond to the frequency of occurrence of stratospheric cirrus from the studies of Goldfarb et al. (2001), Spang et al. (2015) and Zou et al. (2020).~~

	TP_{med}	TP_{med}	TP_{95}	TP_{95}
	CI	ext	CI	ext
CTH all	27	24	16	13
CTH thin	7	7	5	4
CTH and CBH	1	2	1	1
Goldfarb et al. (2001)	Lidar > 1 km	5		
	Lidar > 0.5 km	15		
Spang et al. (2015)	CRISTA	5		
Zou et al. (2020)	CALIPSO	2		
	MIPAS	4 - 5		

Figure 7c shows a similar ~~distribution of CTHs in pattern of CTHs inferred from~~ ERA5 data as ~~the one those~~ derived from the measurements. ~~The fraction of CTHs detected in ERA5 is about~~ From all investigated profiles, the fraction of detected CTHs is 59% of all profiles, the same as the one of the CI method (from ERA5, 59%) and only slightly lower than the fraction for the extinction method (using the CI method and 61%) ~~the extinction method~~. Figure 9a shows that between 8 and 11 km altitude, ERA5 indicates more frequent CTHs than the observations. This could be related to ~~not considering discarded~~ multi-layer clouds in the detection algorithm, which ~~would mean could~~ increase the number of CTHs observed between 8 and 11 km, ~~as also CTHs below the first CTH of the multi-layer cloud would be included~~. The instrument is sensitive to higher and thinner cirrus clouds than the clouds assimilated by ERA5. Consequently, high CTHs detected by GLORIA will hide lower and thicker CTHs in the ERA5-based ~~data-set~~ dataset. When changing to a coordinate system with respect to the TP_{med} (Fig. 9b), the distribution of all CTHs is similar beyond 0.5 km distance from the TP_{med} . Between -0.5 km and 0.5 km, there are more ~~CTHs measured than for cirrus measured by GLORIA than present in~~ ERA5. ~~Considering all occurrences~~ When considering all occurrences of cirrus above the TP_{med} , the observations ~~detect indicate~~ about 50% more ~~than cirrus clouds than found in~~ ERA5 ~~data-set~~. This result indicates limitation in the cloud scheme used in the assimilation system of ERA5 for these optically thin clouds close to the tropopause.

15 4.4 Example of cirrus above the tropopause

~~In~~ The analysis presented in Sect. 4.2 ~~suggest~~ the presence of complete ~~layers cirrus layers located~~ above the tropopause ~~was suggested~~, i.e., both CTH and CBH ~~are were~~ found above the tropopause. As a case study, an observation made during flight 16 on the 21st of October was analyzed in more detail. Figure 11 shows a zoomed area of the cross-section of the flight. ~~Only cloudy points are colored for~~ For both the extinction method and CI. ~~The~~, ~~measurements with a cloud detection are marked~~

by colors. The altitude for corresponding TP_{med} and TP_{95} ~~have close values are close~~, indicating that the sampled air masses ~~are were~~ homogeneous with respect to the temperature structure around the tropopause. Both methods identify cirrus cloud at 72.59° N and 69.38° N with CTHs well above the tropopause (~ 0.5 to 1 km for the first cirrus cloud and ~ 0.5 km for the second). ~~The CBH is slightly higher for the extinction method and above the tropopause~~ For the extinction method, the CBH
5 was located slightly higher than for the CI method, but still within the detection error, ~~therefore, no affirmation of it being undoubtedly~~. ~~Therefore, the cirrus cannot unambiguously be ascribed to locations~~ above the tropopause ~~is made. In~~. At the location of the second cirrus there ~~is was~~ a second tropopause at ~ 18 km. Therefore, the CTH of this cirrus ~~is was~~ in between tropopauses. Both clouds ~~are were~~ optically thin, with an extinction between 3×10^{-4} and $5 \times 10^{-3} \text{ km}^{-1}$. The meteorological situation ~~is was~~ characterized by a weak low pressure system on the surface close to Iceland, with an occluded front. The
10 clouds ~~are were~~ located in an area where the wind at 200 hPa ~~changes changed~~ from southwest to west to northwest with velocities between $20 - 28 \text{ km h}^{-1}$. The air mass in both clouds ~~have had~~ mid-latitude characteristics, with an equivalent latitude of approximately 51° N. The cloud at 72.59° N ~~is was~~ in an area where the PV ~~varies varied~~ from 2.4 to 6 PVU and ~~is was~~ in a stable region with N^2 between 1.6 and $5.2 \times 10^{-4} \text{ s}^{-2}$. ~~These values of~~ Therefore both the PV and N^2 indicate the transition region between troposphere and stratosphere (Kunz et al., 2009, 2011). The cloud at 69.38° N ~~has PV values had~~
15 a PV characteristic of stratospheric air masses, between 3.7 and 5.7 PVU and large static stability, $5.6 < N^2 < 7.1 \times 10^{-4} \text{ s}^{-2}$. ~~Values of~~ N^2 close to $7 \times 10^{-4} \text{ s}^{-2}$ ~~are is~~ an indication of mixed sub-tropical and mid-latitudinal air masses (Kunz et al., 2009).

5 Conclusions

In this study, we analyzed cirrus cloud observations taken with the limb sounder GLORIA on board of the research aircraft HALO during the WISE campaign. We used two methods for cloud identification, the cloud index and the ~~derived retrieved~~
20 extinction coefficient. The analysis focused on high cirrus clouds close to the tropopause and ~~did not include excluded~~ multi-layer clouds. The extinction method indicated very thin clouds with an extinction ~~of as low as~~ $2 \times 10^{-4} \text{ km}^{-1}$. Both methods are in good agreement, having similar frequencies of occurrence and similar CTHs. The main differences are the slightly higher CTHs of the CI method and the higher CBHs from the extinction method. For studying the presence of cloud tops above the tropopause we used two approaches. First, we calculated the median tropopause from ERA5 along the LOS of the GLORIA
25 instrument and second, we used the more conservative 95th percentile. We considered similar tropopauses as an indication of homogeneous air masses. The frequency of occurrence above the tropopause varied from 27 % to 16 % for the CI and from 24 % to 13 % for the extinction method, where the difference between both approaches were due to LOS scenes with heterogeneous tropopause heights. Our results support the higher occurrence frequencies reported in literature (Goldfarb et al., 2001; Spang et al., 2015; Zou et al., 2020) in contrast to lower ~~values frequencies~~ derived from CALIPSO (Pan and Munchak,
30 2011; Zou et al., 2020) at mid-latitudes. Using the same criterion as in Spang et al. (2015); Zou et al. (2020), i.e. 0.5 km above the tropopause, the frequency of occurrence is 4 % – 7%. However, as the ERA5 ~~data set dataset~~ presents a higher vertical resolution, when analyzing the frequency of occurrence 0.250 km above the tropopause, the ~~value fraction~~ increases to 13-17%. This means, that when the uncertainty of the tropopause estimate and the measurements is smaller, the stratospheric

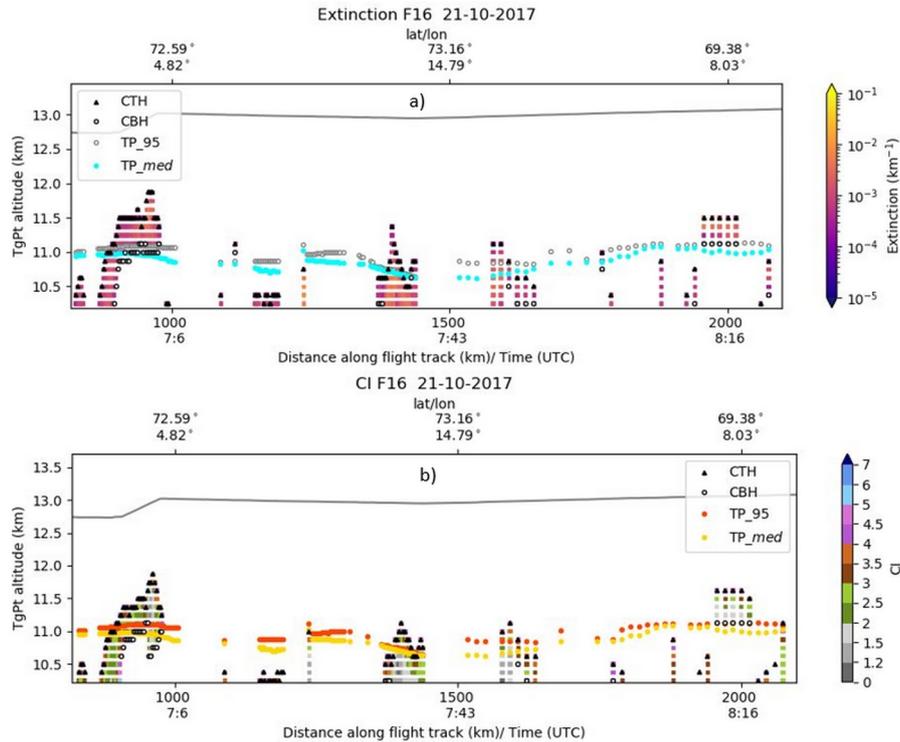


Figure 11. Zoomed area of the cross-section of flight 16 on the 21st of October 2017 focusing on two examples of thin cirrus above the tropopause. (a) Extinction coefficient color scale. Median tropopause (TP_{med}) and the percentile 95 of the tropopause (TP_{95}) are indicated with blue dots and grey dots, respectively. (b) Cloud index color scale. Median tropopause (TP_{med}) and the percentile 95 of the tropopause (TP_{95}) are indicated with yellow dots and orange dots, respectively. Black triangles indicate the CTHs and the white circles the CBHs. The [grey line marks the flight trajectory](#). The altitude of the tangent points (TgPt) is the y axis.

5 cirrus cloud occurrence frequencies are even higher. 1.5 km below the tropopause both identification methods present good agreement with the clouds indicated by the ERA5 [data-set](#)[dataset](#), when taken the observation geometry of GLORIA into account. However, the observed occurrence of cloud tops close to and above the tropopause is about 50 % higher than indicated by ERA5. We found CBHs above the tropopause, but they were within the uncertainties. Consequently, the GLORIA WISE campaign data cannot confirm the presence of unattached cirrus layers above the first thermal tropopause, but can confirm the presence of cirrus clouds at the tropopause with CTHs penetrating well into the lower stratosphere.

Data availability. The retrievals can be requested from the author.

Competing interests. The authors declare that they have no conflict of interests.

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