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2 **The role of the Indian Ocean sector for prediction of the coupled Indo-Pacific system:**
3 **Impact of atmospheric coupling**

4 **E.C. Hackert¹, A.J. Busalacchi^{2,3}, J. Carton³, R. Murtugudde^{1,3}, P. Arkin¹, and M. N.**
5 **Evans^{1,4}**

6 ¹Earth System Science Interdisciplinary Center, University of Maryland, College Park,
7 Maryland, USA.

8 ²University Corporation for Atmospheric Research, Boulder, Colorado, USA.

9 ³Department of Atmospheric and Oceanic Sciences, University of Maryland, College Park,
10 Maryland, USA.

11 ⁴Department of Geology, University of Maryland, College Park, Maryland, USA.

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13 Corresponding author: Eric Hackert (ehackert@essic.umd.edu)

14 **Key Points:**

- 15 • Indian Ocean teleconnections generate off-equatorial easterly winds and curl that act to
16 amplify the oceanic Rossby waves in the Pacific
- 17 • These Rossby waves eventually positively impact the eastern Pacific via reflected
18 western boundary then equatorial Kelvin waves
- 19 • Coupled hindcasts that include interannual forcing in the Indian Ocean significantly
20 improve ENSO prediction skill from 3-9 months

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22 **Abstract**

23 Indian Ocean (IO) dynamics impact ENSO predictability by influencing wind and
24 precipitation anomalies in the Pacific. To test if the upstream influence of the IO improves
25 ENSO validation statistics, a combination of forced ocean, atmosphere, and coupled models are
26 utilized. In one experiment, the full tropical Indo-Pacific region atmosphere is forced by
27 observed interannual SST anomalies. In the other, the IO is forced by climatological SST.
28 Differences between these two forced atmospheric model experiments spotlight a much richer
29 wind response pattern in the Pacific than previous studies that used idealized forcing and simple
30 linear atmospheric models. Weak westerlies are found near the equator similar to earlier
31 literature. However, at initialization strong easterlies between 30°S to 10°S and 0°N to 25°N and
32 equatorial convergence of the meridional winds across the entire Pacific are unique findings
33 from this paper. The large-scale equatorial divergence west of the dateline and northeasterly-to-
34 northwesterly cross-equatorial flow converging on the equator east of the dateline in the Pacific
35 are generated from interannual IO SST coupling. In addition, off-equatorial downwelling curl
36 impacts large-scale oceanic waves (i.e. Rossby waves reflect as western boundary Kelvin
37 waves). After 3 months, these downwelling equatorial Kelvin waves propagate across the
38 Pacific and strengthen the NINO3 SST. Eventually Bjerknes feedbacks take hold in the eastern
39 Pacific which allows this warm anomaly to grow. Coupled forecasts for NINO3 SST anomalies
40 for 1993-2014 demonstrate that including interannual IO forcing significantly improves
41 predictions for 3-9 month lead times.

42 **1. Introduction**

43 El Niño/Southern Oscillation (ENSO) is the single most important and societally
44 impactful mode of global climate variability on interannual time scales (e.g. [*Lau and Nath,*
45 2003], [*Glantz, 2001*], [*Horel and Wallace, 1981*]) but its prediction still has much to improve
46 upon (e.g. [*National Academies of Sciences and Medicine, 2016*], [*National Research Council,*
47 2010]). For example, although six month lead forecasts from June 2014 confidently predicted
48 strong ENSO warm phase conditions based on heat storage anomalies, an event did not develop,
49 with the most likely explanation the failure to predict the absence of coupling between the ocean
50 and the atmosphere [*McPhaden, 2015*].

51 There are several possibilities for this prediction failure which include 1) initial triggering
52 events (i.e. westerly wind bursts) were out of sync with an amplifying mode and with the typical
53 El Niño development timing (occurring 1 month earlier than for 1997 event) [*Menkes et al.,*
54 2014], 2) negative feedbacks such as upwelling ocean waves may have damped warm ENSO sea
55 surface temperature anomalies (e.g. as happened for the 2002 event [*Hackert et al., 2007*]), 3)
56 stronger trade wind easterlies associated with the cool phase of the Pacific Decadal Oscillation
57 (PDO) could have inhibited migration of the precipitation from the warm pool eastward [*Min et*
58 *al., 2015*], and 4) Indian Ocean (IO) dynamics may have anchored deep convection over the
59 Indo-Pacific warm pool rather than allowing it to anomalously develop and couple with
60 central/eastern Pacific SST anomalies [*Santoso et al., 2012*].

61 Here we focus on the last possibility by isolating the impact of the IO atmosphere on the
62 development of ENSO events. In previous work, [*Wu and Kirtman, 2004*], [*Annamalai et al.,*
63 2005], and [*Annamalai et al., 2010*] proposed that cold IO sea surface temperature anomalies
64 (SSTA) could generate an atmospheric Kelvin wave manifesting as equatorial westerly wind
65 anomalies over the western Pacific, deepening the thermocline in the eastern Pacific via large-

66 scale oceanic Kelvin wave processes (e.g. [Kessler *et al.*, 1995]), and enhancing an ongoing El
67 Niño.

68 [Wu and Kirtman, 2004] compared coupled and decoupled general circulation model
69 (CGCM) experiments to test the impact of the IO on ENSO development. They showed that the
70 ENSO variability is reduced by a factor of two when the IO is decoupled (0.56°C to 0.27°C).
71 Composite equatorially averaged SST anomalies over longitude and time for the Pacific show
72 that maximum coupled SST anomalies at 165°W are located 15° east of those observed in the
73 uncoupled experiment (as in [Yu *et al.*, 2002]) and eastern upwelling associated with Kelvin
74 wave arrival is delayed by one month. The dominant period of variability is extended by half a
75 year by decoupling the IO, inconsistent with earlier work of [Yu *et al.*, 2002]. Using a linear
76 atmospheric model and idealized SSTA forcing, [Wu and Kirtman, 2004] found that the
77 influence of the IO is via the convective heating and modulation of the Walker circulation. IO
78 SST can induce anomalous Walker circulation over the eastern equatorial IO (EEIO) and
79 western-central Pacific through anomalous heating over the IO. For example, cold IO SST
80 induces development of anomalous westerlies to the east of Indonesia and easterlies to the west,
81 producing the atmospheric Kelvin wave pattern and a weakening of the Walker circulation [Wu
82 and Kirtman, 2004]. Therefore, IO SST forcing results indicate a mechanism that can enhance
83 westerlies over the western Pacific resulting in development of stronger El Niño conditions.

84 Consistent with these results, [Annamalai *et al.*, 2010] find that El Niño is much stronger
85 when occurring with Indian Ocean Dipole Zonal Mode (IODZM) and cold SST over the EIO and
86 in the Indonesian Seas (110°E-140°E, 10°S-0°). Winds are westerly over the Pacific from 130°E
87 east to 120°W and easterly over Indonesia west to the central IO indicating a weaker Walker
88 circulation. The eastern Pacific thermocline deepens and SST warms east of the dateline.

89 Precipitation is decreased from the central IO to 160°E in the Pacific and increased just east of
90 160°E and in the western Pacific. Further experiments with the Linear Baroclinic Model (LBM)
91 of [Watanabe and Jin, 2003] shows that EIO SST forcing generates an atmospheric Rossby
92 wave signature in the eastern IO but no signal in the Pacific, similar to the idealized forcing of
93 IODZM in [Annamalai et al., 2005]. However the impact of the Indonesian Seas (120°E-160°E,
94 5°S-5°N) on the atmospheric linear model response is surprisingly strong and far reaching. Cold
95 SST forcing in the Indonesian Seas results in strong negative precipitation anomalies
96 ([Annamalai et al., 2010] Figure 7b) creating an atmospheric Kelvin response that is evident by
97 easterlies over Indonesia and strong westerlies stretching to the east over the western equatorial
98 Pacific.

99 In summary, the IO can have strong influence for ENSO via atmospheric pathways.
100 Regional coupling of basin-scale IO and Indonesian Seas SSTA force enhanced westerlies over
101 the entire Pacific and increased ENSO forcing. The proposed mechanism is as follows: cold SST
102 over the EIO 1) reduces the normal east/west temperature gradient across the Pacific providing
103 favorable conditions for westerly anomalies to develop, 2) suppresses convection over the
104 Maritime continent and the resulting atmospheric Kelvin wave forces westerlies to the east, 3)
105 leads to convergence of the westerlies that enhance western Pacific precipitation, and 4) results
106 in an increased temperature gradient between Indonesia and the dateline further enhancing
107 westerlies. These westerlies then lead to downwelling oceanic Kelvin waves further enhancing
108 the growth of El Niño. Although [Annamalai et al., 2010] conclude that regional IO SST and
109 heating anomalies are not the primary cause, but rather serve to enhance the development of El
110 Niño, the IO can have strong influences for ENSO via atmospheric teleconnections.
111 Unfortunately, all previous studies (i.e. [Wu and Kirtman, 2004], [Annamalai et al., 2005], and

112 [*Annamalai et al.*, 2010], etc.) used idealized SSTA patterns and simplified linear atmospheric
113 models to show impacts of the IO on the wind field without assessing observed ENSO
114 predictability.

115 Our approach is to use a combination of ocean-only and coupled models to diagnose the
116 impact of the IO atmospheric teleconnections to ENSO predictability. We will use similar
117 techniques as in previous studies ([*Yu et al.*, 2002], [*Wu and Kirtman*, 2004], [*Annamalai et al.*,
118 2005], [*Annamalai et al.*, 2010], and [*Santoso et al.*, 2012]) to diagnose the impact of the
119 interannual SSTA forcing in the IO. Namely, we difference results from experiments that fully
120 couple the SSTA throughout the Indo-Pacific region with ones that decouple the IO by forcing
121 with climatological SST in this region. Unlike all previous studies, however, we develop
122 realistic coupled hindcast experiments using realistic interannual anomalies as forcing, and
123 validate the results against observations of forecasted ENSO state. The overriding hypothesis
124 that we wish to test is that the upstream influence of the Indian Ocean improves ENSO
125 predictions through mechanisms associated with the atmospheric bridge as coined by [*Alexander*
126 *et al.*, 2002]. We will use “atmospheric bridge”, “atmospheric teleconnection” or “atmospheric
127 impact” interchangeably throughout the following text for this impact.

128 The organization of this paper is as follows. Section 2 covers ocean and coupled models
129 and Section 3 describes the simulations and analysis techniques. Section 4 reports the various
130 model results, Section 5 contains the discussion, and Section 6 summarizes the paper results and
131 provides conclusions.

132

133 2. Models

134 2.1 Ocean Model

135 The ocean general circulation model (OGCM) that is used in this study is the primitive-
136 equation, sigma-coordinate model with variable depth oceanic mixed layer of *Gent and Cane*
137 [1989]. It is described and validated in a series of simulation studies of circulation in all three
138 tropical ocean basins [*Hackert et al.*, 2001; *Murtugudde and Busalacchi*, 1998; *Murtugudde et*
139 *al.*, 1996; *Murtugudde et al.*, 1998]. Solar radiation (Earth Radiation Budget Experiment -
140 ERBE) and interannual precipitation from the Global Precipitation Climate Project - GPCP
141 [*Adler et al.*, 2003] are specified externally. Monthly anomalies of the cloud data [NCEP
142 Reanalysis *Kalnay et al.*, 1996] are added to the Interannual Satellite Cloud Climatology Project
143 –ISCCP annual cycle [*Rossow and Schiffer*, 1991] in order to provide a more realistic mean.

144 Our OGCM uses the hybrid vertical mixing scheme of *Chen et al.* [1994] which
145 combines the advantages of the traditional bulk mixed layer of *Kraus and Turner* [1967] with the
146 dynamic instability model of *Price et al.* [1986]. This allows simulation of all three major
147 processes of oceanic vertical turbulent mixing - atmospheric forcing is related to mixed layer
148 entrainment/detrainment, gradient Richardson number accounts for shear flow, and instantaneous
149 adjustment simulates high frequency convection in the thermocline. The vertical structure
150 consists of a variable depth mixed layer and 19 sigma layers with a deep motionless boundary
151 being specified as $T_{bottom} = 6^{\circ}\text{C}$ and $S_{bottom} = 35$ PSU.

152 The ocean model configuration used for all simulations covers the tropical Indo-Pacific
153 basin (34°E - 76°W , 30°S - 30°N) with a homogeneous 1° longitudinal grid and a variable
154 latitudinal grid (down to $1/3^{\circ}$ within 10° of the equator). This resolution is dense enough to allow
155 mesoscale eddies and realistic flow. Surface fluxes are calculated interactively by coupling the
156 OGCM to a thermodynamic atmospheric mixed layer model [*Murtugudde et al.*, 1996] thus

157 allowing feedbacks between SST, SSS, and surface fluxes. The open boundaries are treated as a
158 sponge layer within 10° of the north and south borders smoothly relaxing to World Ocean Atlas
159 2009 (WOA09 - [Antonov *et al.*, 2010]). Note that this model surface is allowed to vary freely as
160 a natural boundary condition ([Huang, 1993]) and only relaxes back to Levitus temperature and
161 salinity ([Locarnini *et al.*, 2010]) within the north and south boundary sponge layers.

162 The model is spun up from rest using climatological winds with the initial conditions
163 derived from WOA09 data and is allowed to come to equilibrium after 30 years of forcing by the
164 *ECMWF* [1994] analysis climatology. Interannual runs are initialized from this climatological
165 spin-up starting in 1975 and the wind speeds required for sensible and latent heat fluxes are
166 computed from interannual *ECMWF* 10 m wind converted to stress using the bulk formula ($\rho =$
167 1.2 kg/m^3 , $C_D = 1.2 \times 10^{-3}$).

168 **2.2 Atmospheric Model**

169 An intermediate complexity atmospheric general circulation model (AGCM), the
170 International Centre for Theoretical Physics AGCM (nicknamed SPEEDY, for “Simplified
171 Parameterizations, primitive-Equation DYNAMics” - [Molteni, 2003]; [Kucharski *et al.*, 2006])
172 provides an accurate atmospheric model response, yet is highly computationally efficient. We
173 use SPEEDY Version 41, which has global T30 resolution (roughly 3.75°) with 8 standard sigma
174 layers (925 – 30 mb) and surface information. The winds in the tropics have been improved by
175 adding cumulus momentum transport (CMT) to the convective parameterization code using the
176 technique of [Kim *et al.*, 2008]. This technique transports momentum downward within
177 subsidence regions surrounding regions of convection. Adding CMT to the atmospheric model
178 shifts wind and western Pacific precipitation anomalies eastward, which are more in line with
179 observations. In addition, the meridional extent of the wind anomalies is expanded due to the

180 incorporation of the CMT. For example, [Kim *et al.*, 2008] show that 850 mb westerlies during
181 ENSO expand from 15°S-0°N without CMT to 15°S-10°N with CMT. Implementation of CMT
182 has also shown to improve intraseasonal precipitation, SST and winds such as those associated
183 with Madden Julian Oscillations [Zhou *et al.*, 2012]. Hence, effects of the IO on the coupled
184 ENSO system should be distinguishable within SPEEDY simulations via analysis of wind and
185 precipitation anomalies on intraseasonal to interannual timescales.

186 The winds and precipitation from SPEEDY have similar validation statistics as for other
187 atmospheric models and observations. For example, the mean 925 mb winds of SPEEDY over
188 the tropics closely match the European Centre for Medium-Range Weather Forecasts reanalysis
189 (ERA - [Gibson *et al.*, 1997]). For precipitation, all the major features of the observations
190 (CMAP from [Xie and Arkin, 1998]) are reproduced by SPEEDY. However, the SPCZ has less
191 abundant rainfall and relatively more precipitation over the tropical IO [Molteni, 2003] and
192 SPEEDY tends to underestimate the zonal wind anomalies associated with ENSO events (see
193 Figure 9 of [Kroeger and Kucharski, 2011]). For a full description of latest version of SPEEDY
194 see [Kucharski *et al.*, 2013].

195 **2.3 Coupled Model**

196 Coupling of an intermediate complexity atmospheric model such as SPEEDY is justified
197 since the atmospheric time scale is much shorter than that of the ocean. The SPEEDY AGCM
198 has been successfully coupled with other ocean models for the Pacific (e.g. [Kucharski *et al.*,
199 2011]), Indian ([Kucharski *et al.*, 2006]), and Indo-Pacific regions ([Bracco *et al.*, 2005]).
200 Similar to the implementation of [Kroeger and Kucharski, 2011], we use the technique of
201 anomaly coupling to couple the ocean and atmospheric models. Within the tropical Indo-Pacific
202 region, our ocean model SSTA forces the SPEEDY AGCM. For the rest of the globe, the

203 observed SSTA of HadISST [*Rayner et al.*, 2003] is used and climatological values are used for
204 other atmospheric model boundary conditions such as surface albedo, climatological SST, sea
205 ice, snow depth, vegetation, heat flux parameters, and soil moisture (matching those described in
206 [*Kucharski et al.*, 2013]). The SST anomaly is formulated with respect to the ECMWF/GPCP
207 climate experiment (described in Section 2.1). The atmospheric model is then spun up for 1
208 month using this SSTA and anomalies of surface zonal and meridional wind stress (τ'_x , τ'_y) and
209 precipitation (P') are formulated with respect to the mean seasonal cycle over 1993-2014 of the
210 similarly forced atmospheric model. These anomalies are subsequently added back to the
211 ECWMF and GPCP climatologies to force the next month of the ocean model simulation. While
212 more efficient than the operational coupled models which use high resolution and more complete
213 atmospheric models, the coupling of SPEEDY nevertheless allows adequate physics to quantify
214 the impact of the atmospheric bridge on ENSO prediction. Using this technique, one year
215 forecasts are completed for each month for 1993-2014.

216 In order to validate the coupled model, NINO3 SST anomalies are compared against
217 observations. SPEEDY coupled model has significantly better correlation (Figure 1a) and
218 amplitude validation (Figure 1b) than observational persistence after 4 months and 3.5 months,
219 respectively. The correlation of SPEEDY versus observations remains significant at $p < 0.05$
220 ($df=35$) for 8 month lead times. As a forecast skill comparator, we include the Climate Forecast
221 System Reanalysis Reforecast ([*Saha et al.*, 2014]) as a reference (Figure 1 - black line). These
222 coupled hindcasts are comprised of the atmospheric assimilation/model with resolution ~ 38 km
223 (detailed in [*Saha et al.*, 2010]) along with the MOM4 ocean model ([*Griffies et al.*, 2004]) with
224 0.5° resolution within 30°N - 30°S and the Global Ocean Data Assimilation System (GODAS)
225 ocean assimilation ([*Behringer*, 2007]) of all available oceanic in situ data. The CFSRR model

226 was chosen to substantiate our coupled model results since it is a well-known, state of the art,
227 operational coupled model (i.e. the reanalysis, reforecast version of CFSv2). For these long
228 validation runs (i.e. January 1993 to March 2011), correlation between forecasted and observed
229 NINO3 SSTA are equivalent (Figure 1a). For validation by root mean square difference
230 (RMSD), results from our coupled model outperform the CFSRR for all lead times. CFSRR
231 RMSD errors reach 1.4°C at 10 month lead times, whereas SPEEDY coupled model RMSD
232 errors are 1°C for the same lead time. Based on these diagnostics, our coupled model validates at
233 least as well as the NOAA operational model.

234 **3. Simulations and Analysis**

235 **3.1 Uncoupled Simulations**

236 SSTA is calculated over 1993-2014 from the ocean model that is forced using all
237 available observed winds, cloudiness, and precipitation (described in Section 2.1). SPEEDY
238 atmosphere-only experiments are then initiated using different ocean model SSTA for the IO
239 basin to isolate the ocean forcing impacts via the atmosphere on the coupled Indo-Pacific system.
240 In this work, the Pacific (abbreviated PAC) is defined as 30°N-30°S, 130°E-70°W and the Indian
241 Ocean (IO) is defined as 30°N-30°S, 30°E-129°E. Outside the tropical Indo-Pacific region, the
242 interannual SSTA from the Hadley Centre (HadISST, [Rayner *et al.*, 2003]) is used to force the
243 global SPEEDY model. Within the Indo-Pacific region, experiments were initiated that are
244 designed to isolate the impact of the IO region surface forcing on the atmosphere.

245 Table 1 shows the complete set of experiments performed for this study. The
246 experiments either use interannual (i.e. INT) SSTA forcing or climatology seasonal cycle
247 (CLIM) SST separated by basin, PAC and IO. For example, forcing SPEEDY using interannual
248 SSTA for the Pacific and IO is abbreviated as INT_PAC, INT_IO. Following the similar
249 methodology of e.g. [Wu and Kirtman, 2004], we subtract the results from these different
250 experiments in order to isolate the impact of the IO sector ocean forcing. Thus, subtracting
251 INT_PAC, CLIM_IO results from INT_PAC, INT_IO will isolate the impact of the IO SSTA via
252 the atmospheric teleconnections to the Pacific.

253

254 **3.2 Coupled Simulations**

255 A series of coupled experiments designed to isolate the full impact of the interannual IO
256 SSTA forcing is executed. Operationally the same initial conditions are used as for the
257 uncoupled simulations, since the goal is to completely eliminate any potential impacts caused by

258 different initialization. However, within the anomaly coupling procedure we replace the regional
259 SST anomaly with zeros effectively substituting the forecast interannual SST forcing with
260 climatological seasonal cycle values. A series of two 12 month coupled experiments were
261 completed for each month from 1993-2014: for each experiment, a total of 264 12 month runs
262 were completed. The two experiments are 1) INT_PAC, INT_IO (interannual SST anomaly
263 forcing for the Pacific and the IO) and 2) interannual Pacific, climatological IO (INT_PAC,
264 CLIM_IO). As in the uncoupled experiments (section 3.1), the experiments with similar Pacific
265 forcing are compared, e.g. INT_PAC, INT_IO versus INT_PAC, CLIM_IO.

266 **3.3 Analysis Techniques**

267 Unlike all previous similar research, the impact of the IO on ENSO predictability is
268 evaluated using observed quantities. Specifically, the observed NINO3 (5°S-5°N, 90°W-150°W)
269 SSTA from [Reynolds *et al.*, 2002] is used to validate all coupled and forced model results using
270 correlation and RMSD. For correlation, the effective degrees of freedom (df) is calculated using
271 the technique of [Quenouille, 1952] (pp. 168-170) with the equation:
272 $df = N / (1 + 2 \cdot r_a(1) \cdot r_b(1) + 2 \cdot r_a(2) \cdot r_b(2) + 2 \cdot r_a(3) \cdot r_b(3))$ where N is original number of
273 observations and r_a and r_b are autocorrelations for time series a and b, respectively for 1, 2, and 3
274 months lags (indicated by indices). After the effective degrees of freedom are calculated the
275 Students T test is used to establish significance of correlation values. For all statistics, a
276 probability of less than $p=0.05$ that a correlation is zero will be considered statistically
277 significant and interpretable. In order to test the impact of the IO atmospheric teleconnections
278 to ENSO, forecast lead time correlations will be compared between different coupled model
279 results. Since all experiments are validated against observed SST anomalies, and so share a
280 common variable, these correlations are not independent (known as correlated correlations).

281 Therefore, the Steiger's Z-test [Steiger, 1980] will be utilized to test the significance of the
 282 differences between correlations as applied in [Uehara et al., 2014]. The details follow:
 283
$$Z = \frac{[Z_{aa} - Z_{ba}] * \sqrt{N-3}}{\sqrt{2*[1-r_{aa}]*h}}$$
 where Z_{ao} , Z_{bo} are Fisher Z transformations of r_{ao} and r_{bo} (the
 284 correlation of experiments a and b, respectively versus observations (o), N is the number of
 285 observations and r_{ab} is the correlation between the two forecast experiments, a and b, $h =$
 286 $\frac{1-f*rr^2}{1-rr^2}$, $f = \frac{1-r_{aa}}{2*[1-rr^2]}$, and $rr^2 = \frac{r_{aa}+r_{bb}}{2}$. This technique has the benefit of producing a
 287 statistic that is normally distributed, so for $|Z| > 1.96$, $p \leq 0.05$. In addition, the lead time
 288 amplitude of the various forecasts will be validated against observed NINO3 SST anomaly using
 289 RMSD. Forecast standard deviation and mean will also be used to compare different forecasts
 290 versus observed values. The forecast mean (standard deviation) is simply the mean (standard
 291 deviation) across all forecasts, on lead times from 0 to 12 months.

292 In order to quantify the impact of Kelvin and Rossby wave propagation on El Niño
 293 events, sea level anomalies are first converted to geostrophic currents using the methodology of
 294 [Picaut and Tournier, 1991]. Next, the technique derived by [Delcroix et al., 1994] is used to
 295 separate the sea level anomalies geostrophic current data into Kelvin and Rossby components.

296

297 **4. Results**

298 **4.1 Forced Ocean and Atmospheric Model Results**

299 The results of the SPEEDY atmospheric model differences described in Section 3.1 are
300 designed to isolate the impact of the IO and are presented in Figure 2a-f for zonal and meridional
301 wind stresses, precipitation, curl and divergence of the wind stress, respectively. By differencing
302 experiments with full coupling in the IO minus those with decoupled IO, the impact of the
303 variations in the IO summer monsoon is readily apparent for both precipitation and wind stress.
304 For precipitation (Figure 2c), positive anomalies can be seen stretching from the equator to 10°N
305 in the eastern Arabian Sea (AS), at 7°N to 12°N in the Bay of Bengal (BOB), and 10°N to 20°N
306 in the South China Sea (SCS). Abundant rainfall is consistent with convergence of the monsoon
307 flow starting south of the equator as southeasterlies, recurving to southerlies near the equator and
308 decelerating as southwesterlies in the AS, BOB, and SCS (Figure 2d and f). These
309 southwesterlies converge into northeasterlies found north of 10°N in the BOB and SCS. In the
310 Southern Hemisphere, between 10°S and the equator, negative precipitation anomalies are
311 generally found west of 95°E. These precipitation patterns are consistent with the general
312 divergence of the winds in these regions as they feed into the northward monsoon flow. In
313 addition, positive precipitation is found over the southern Indonesian islands between 95°E and
314 130°E stretching between 12°S to 5°S. This feature is due to the onshore convergence of the
315 westerlies found west of 95°E and is consistent with anomalies that are associated with the
316 transition of the northwest to summer monsoons in boreal spring. In the southwest IO between
317 25°S-15°S and west of 80°E, a band of positive precipitation is evident just to the east of
318 Madagascar and is the result of southeasterlies to the south converging with northwesterlies to
319 the north (Figure 2f). Warm SST leads to atmospheric advection, enhanced inflow, convergence
320 and abundant atmospheric convection and precipitation. The patterns in the IO are consistent

321 with the anomalies of the monsoon wind and precipitation patterns (those patterns associated
322 with interannual minus climatological seasonal cycle SST forcing in the IO).

323 In the Pacific, generally positive precipitation anomalies are found off the equator at 5°N,
324 15°S centered near 160°W (Figure 2c). In addition, positive anomalies are seen in the upwelling
325 region of the eastern equatorial Pacific east of 130°W and in the South Pacific Convergence
326 Zone (SPCZ) at 10°S, 160°E. North of 10°N and south of 20°S, negative precipitation anomalies
327 are simulated. Strong easterly anomalies can be seen between equator and 20°N and south of
328 15°S across the entire Pacific basin (Figure 2a). North of 20°N, strong westerly anomalies
329 prevail. Between 10°S and the equator, wind differences are generally very weak but westerly.
330 The meridional winds (Figure 2b) converge to roughly 5°S with northerlies to the north and
331 southerlies to south especially east of the dateline. Along 20°N winds are generally divergent for
332 the meridional wind plot.

333 **4.2 Coupled Model Results**

334 The validation of the two coupled simulations versus observed NINO3 SSTA over all 12
335 month lead times, 1993-2014, is presented in Figure 3a. Both simulations are significantly
336 correlated with observations out to 8 and 5.8 months for INT_PAC, INT_IO and INT_PAC,
337 CLIM_IO, respectively. After 3 month lead times, the correlation of the full coupling begins to
338 outperform the INT_PAC, CLIM_IO coupled simulation. Correlation differences climb to
339 $r=0.16$ by 7 month lead times. At this time the Steiger Z Test ([*Steiger*, 1980]) shows that the
340 differences are significant (thick dashed line on top x axis in Figure 3a). After that, the
341 differences drop to about $r=0.1$ out to 10 month lead times when the Figure 3 differences are no
342 longer significant. The important result of this plot is that the interannual forcing of the IO
343 significantly improves coupled forecasts for ENSO. Results for RMSD of simulated versus

344 observed NINO3 SSTA (Figure 3b) are consistent with results for correlation (Figure 3a) and
345 quantify the validation error amplitude.

346

347 **5. Discussion**

348 Over most of the forecast period and particularly between 3 to 9 month lead times,
349 interannual SST forcing in the IO improves correlation and reduces the RMS differences
350 between observed NINO3 SSTA and those simulated by the fully coupled model. Therefore,
351 these results suggest that including the impacts of the IO atmospheric teleconnection serves to
352 improve the coupled predictability as validated with real observations over 1993 to 2014.

353 The next step is to examine why the interannual SST forcing of the IO improves the
354 coupled forecasts. Figure 4 shows the mean and standard deviation of the NINO3 SSTA of all
355 the 12 month forecasts from 1993-2014. The mean plot (Figure 4a) shows that the experiment
356 with interannual IO forcing has higher mean values (relative warming signal in the NINO3
357 region) after 3 months. On the other hand, the INT_PAC, INT_IO and INT_PAC, CLIM_IO
358 standard deviation lines in Figure 4b practically overlay one another. This result is different than
359 that of [*Santoso et al., 2012*] and [*Wu and Kirtman, 2004*] who found that the IO increased the
360 amplitude of ENSO events. On the contrary, we conclude that the interannual signal in the IO
361 serves to warm the mean state in the eastern Pacific after 3 months rather than impact the
362 variability.

363 To further diagnose the source of the warming after 3 months, the mean forecast
364 difference, INT_PAC, INT_IO minus INT_PAC, CLIM_IO, is presented for all 12 months of
365 lead times. Equatorial longitude versus time plots track the evolution over the average forecast
366 in Figure 5. Early in the average forecast difference, prior to month 3, easterly winds along the
367 equator between 140°E-160°E and between 180°-140°W (Figure 5c) set off upwelling Kelvin
368 waves (Figure 6a), cooling SSTA (Figure 5a), and inducing westward flow across the entire
369 Pacific (Figure 5d). This is consistent with the general upwelling favorable curl in the initial
370 conditions (Figure 2e) between 15°S-10°N. After this slight upwelling and cooling in the central

371 Pacific associated with equatorial easterlies, the SST in the NINO3 region begins to warm after 3
372 month lead times (Figure 5a). In the east, westerlies centered at approximately 130°W generate
373 a downwelling Kelvin wave that arrives at the eastern boundary at month 4 (Figure 6a). At this
374 time the NINO3 region begins to warm (Figure 5a). In the west, westerlies on the equator west
375 of 140°E and near the dateline act in the equatorial Pacific setting off a second downwelling
376 Kelvin wave, which is identified by positive sea level anomaly and eastward flow (Figure 5b, d
377 and Figure 6a) that starts in month 4 and traverses the Pacific and arrives at the eastern boundary
378 by month 6. The cumulative effects of the downwelling Kelvin waves after month 5 are to
379 continue to warm the NINO3 region. For month 6 through 8, warmest SSTA is building in the
380 central Pacific between 160°E and 140°W. Westerlies to the west and easterlies to the east
381 converge into this warm region (Figure 5c) near the dateline. A weak upwelling Kelvin wave
382 (Figure 6a dashed line) is initiated that is associated with these easterlies east of the dateline. At
383 this time, the prevailing eastward flow is interrupted and westward currents are found in the
384 eastern Pacific between months 6-8 (Figure 5d). The SSTA in the NINO3 region briefly cools
385 (Figure 5a) in month 7. At this same time (forecast months 6-8), westerlies prevail from the
386 western boundary all the way to the dateline. The next downwelling Kelvin wave is initiated in
387 the west and arrives at the eastern boundary roughly at forecast month 9. As it enters the NINO3
388 region this downwelling Kelvin wave warms the SSTA. The warmest SSTA fills in to the west
389 and by month 10 some of the warmest SSTA is located just east of the dateline. Bjerknes
390 feedback becomes entrenched and westerlies to the west of the SSTA maximum converge with
391 easterlies to the east (Figure 5c).

392 Careful examination of the equatorial signal and Kelvin/Rossby wave decomposition of
393 the ocean waves helps to explain the timing and sign of the differences in the mean state in

394 Figure 4a. After 3 month forecasts, downwelling Kelvin waves that are forced by westerlies in
395 the western Pacific, start to warm the eastern Pacific. After 7 month lead times, the Bjerknes
396 feedback mechanism begins to lock in leading to enhanced westerlies over the western Pacific
397 (Figure 5c) and growth of the air-sea coupled mode. The atmospheric impact of including the
398 interannual forcing in the IO is to impart a large-scale downwelling favorable signal in the
399 Pacific, increasing the warming in the NINO3 region after the 3 months. By 7 month lead times,
400 the El Niño signal is enhanced/reinforced due to Bjerknes feedback.

401 To a large part, the previous discussion reinforces the conjecture of [Annamalai *et al.*,
402 2010] who suggested that the impact of the IO would be to enhance the westerlies along the
403 equator and amplify an ongoing El Niño. However, examination of the various fields besides
404 equatorial Hovmöller plots suggests that the initialization and growth of the warming in the
405 NINO3 region is influenced by off-equatorial factors and by not only zonal but also meridional
406 wind stress. Therefore, the discussion will now focus on the Pacific basin using plots of the
407 mean forecast for 3, 5, 7, and 10 month lead times for SSTA, sea level anomaly, curl and
408 divergence differences for INT_PAC, INT_IO minus INT_PAC, CLIM_IO results (Figure 7 to
409 Figure 10, respectively).

410 On the equator, Ekman pumping velocity is undefined (since the Coriolis parameter is in
411 the denominator). However, near the equator the wind stress divergence can be diagnosed to
412 infer regions of upwelling or downwelling. By month 3 of the mean forecast, divergence
413 corresponds to upwelling between 140°E-150°W on the equator and convergence is found
414 between 140°W-110°W (Figure 7d). Off the equator, downwelling favorable curl (curl <0 in the
415 Northern Hemisphere and > 0 in the Southern Hemisphere) can be seen west of 140°W generally
416 within 10° of the equator (Figure 7c). West of 160°W in the far western Pacific downwelling

417 favorable curl off the equator corresponds to positive sea level anomalies off New Guinea
418 (Figure 7b). This feature is important since it initiates the transition from the upwelling prior to
419 month 3 across the basin to overall downwelling after that time. In other words, the off-
420 equatorial curl initializes a downwelling Rossby wave and positive sea level anomaly in the far
421 western Pacific that soon reflects as a downwelling Kelvin wave that begins the eventual
422 transition to warm SSTA in the NINO3 region by month 7. This is an instance where the off-
423 equatorial signal (a downwelling Rossby wave) contributes to converting upwelling to
424 downwelling along the equator and so features prominently in ENSO predictability.
425 Unfortunately, this downwelling in the west is not well represented by the Kelvin/Rossby
426 decomposition plot (Figure 6) since it lies west of 160°E which is the western extent of the land-
427 free symmetric box that is required by this decomposition analysis. However, the subsequent
428 downwelling Kelvin wave (spawned from the reflected Rossby wave) in the far west starting in
429 month 4 is well diagnosed.

430 To the east, a pair of upwelling-favorable (negative in the Northern Hemisphere positive
431 in the Southern Hemisphere) curl patches are located within 15°S - 10°N between 140°W - 110°W
432 (Figure 7c). This feature corresponds with a pair of negative sea level anomalies centered at
433 5°N and 12°S at 130°W and is identified as an upwelling Rossby wave in the Kelvin/Rossby
434 diagnosis in Figure 6b. East of 160°W , an upwelling Rossby wave at 140°W acts to shoal the
435 thermocline at 5°N and 10°S reshaping the meridional gradient to help focus the downwelling
436 Kelvin wave train along the equator coming later in the average forecast.

437 In summary, downwelling Rossby waves forced by wind stress curl off the equator in the
438 far western Pacific reflect to downwelling Kelvin waves eventually transitioning the NINO3

439 region to warming. The upwelling Rossby wave at 140°W at month 3 shapes the meridional
440 gradient to focus intensification on the equator.

441 By month 5 the downwelling Rossby wave hitting the western boundary in month 3 has
442 reflected into a downwelling Kelvin wave and this wave has propagated eastward across the
443 Pacific as far as ~140°W (Figure 8b and Figure 6a). The effects of this downwelling Kelvin
444 wave are demonstrated by positive sea level and SST anomaly throughout the waveguide (+/- 2°)
445 across the entire Pacific (Figure 8a). The upwelling features in Figure 8c are echoed in negative
446 sea level at 5°N and 10°S at 145°W (Figure 8b). The NINO3 region is warming and SSTA is
447 largest at about 120°W on the equator. It is also interesting to note that the warmest SSTA is just
448 south of the equator whereas the sea level anomaly maximum is centered on the equator.
449 Convergence found on the equator and positive curl and downwelling just to the south (5°S-0°S,
450 140°W-110°W) coincide with maximum SSTA. Going from 5°N to 12°S along 130°W winds
451 are starting northerly recurving to northwesterlies just south of the equator. West of the dateline
452 and south of 5°S, pervasive positive curl (downwelling favorable) is collocated with positive sea
453 level anomaly against New Guinea and Australia coasts. To the north of the equator, positive
454 curl and upwelling are found with negative sea level west of 150°E off the Philippines. Thus the
455 southeasterlies to the south recurving to southwesterlies north of the equator in the far western
456 Pacific act to deepen and shoal sea level, respectively. To reiterate, not only are the equatorial
457 signals important for the diagnosing the impact of the IO on ENSO, but the off-equatorial
458 impacts such as oceanic Rossby wave formation and propagation are also important.

459 By month 7 the second Kelvin wave has reflected at the eastern boundary as a
460 downwelling Rossby wave as evident by positive sea level at 10°N, 5°S at 120°W (Figure 9b and
461 Figure 6b). Another positive sea level and SSTA maximum is centered on the equator at

462 ~170°W (Figure 9a, b). Equatorial westerlies, best demonstrated by the westerly wind burst in
463 Figure 5c that extends from the western boundary to 160°E (note the 2×10^{-3} N/m² contour), force
464 this downwelling Kelvin wave. To the north, downwelling curl corresponds to positive sea level
465 and to the south negative sea level is collocated with upwelling favorable wind stress curl at
466 10°N, 10°S at ~150°W, respectively. Off the equator, west of 160°E the curl is positive to the
467 north and this forces upwelling 0-10°N and negative sea level. It is also interesting to note that
468 upwelling curl within 5° of the equator in the NINO3 region (particularly at 120°W) is causing
469 weak upwelling and cold SSTA at 5°N driving the warmest SST south of the equator (Figure 9a).

470 By month 10 the Bjerknes feedback has locked in (Figure 10). SSTA is positive
471 throughout the equatorial band between 160°E to the eastern boundary. The negative sea level
472 horseshoe pattern is evident off the equator in the west and positive values east of 160°E near the
473 equator typically associated with a mature El Niño. On the equator, winds are diverging between
474 150°E-175°E and converging to the east of there between 150°W-100°W. To the east of 150°W
475 and off the equator, the curl and sea level are in good agreement. At 10°N, 150°W, downwelling
476 curl corresponds with positive sea level anomaly. At 2°N, 135°W positive curl overlays with a
477 small region of negative sea level. Just south of the equator at 135°W, downwelling curl
478 coincides with a maximum of sea level and SSTA. Further to the south at 10°S and 140°W
479 upwelling curl and negative sea level coincide. Thus the pattern of upwelling/downwelling curl
480 of the wind maintains the meridional sea level gradient east of 160°W. Off the equator west of
481 160°W, upwelling curl is acting to reinforce the negative sea level off the Philippines and off the
482 coast of New Guinea and Australia. To summarize, the mean forecast by 10 month lead times
483 shows winds that are primarily diverging away from the equator west of the dateline
484 (southwesterlies to the north and northwesterlies to the south of the equator) and converging

485 towards the equator east of the dateline (with northeasterlies north of the equator slowing and
486 turning towards northwesterlies at the equator). These diagnostics of the average coupled
487 forecast reveals that the response of the ENSO system in the Pacific is more complicated than
488 simply triggering a westerly wind burst in the western Pacific on the equator and setting off
489 downwelling Kelvin waves eventually warming the NINO3 region as assumed by [Annamalai *et*
490 *al.*, 2010] and others. Our diagnosis suggests that the atmospheric response is more complicated
491 than previously thought, and a previously unaccounted-for significant signal corresponds to
492 strong easterlies south of 15°S and between 0°N to 20°N.

493 Our results may be usefully contrasted with previous work employing simpler
494 atmospheric models and idealized surface forcing. Similar to previous work, there are weak
495 westerlies near the equator (10°S-0°N) across the entire Pacific. These relatively weak winds we
496 simulate near the equator match those of [Annamalai *et al.*, 2005] who used a simple linear
497 atmospheric model (a moist linear baroclinic model – LBM of [Watanabe and Jin, 2003]) to
498 show that the atmospheric Kelvin wave of the western dipole of the IODZM cancels that of the
499 eastern dipole (their Figures 8b, 10d). However, our results show the importance of not only the
500 near-equatorial winds but also the off-equatorial zonal and meridional winds for the diagnosis of
501 the IO SSTA teleconnections to Pacific ENSO (Figure 2a).

502 The off-equatorial easterlies represented in Figure 2a are a prominent feature but are
503 lacking in previous studies (e.g. [Wu and Kirtman, 2004] Figure 7d, [Annamalai *et al.*, 2010]
504 Figure 7d). There are several reasons why the simple atmospheric models that were used to
505 highlight the IO atmospheric teleconnections to the Pacific ([Wu and Kirtman, 2004] and
506 [Annamalai *et al.*, 2010]) might lack the off-equatorial easterlies simulated in SPEEDY. In
507 previous results, the IO SST field is idealized in some way or another. Either the 1st EOF of the

508 coupled model results or the SST differences with and without IODZM for El Niño is utilized to
509 simplify the SST forcing. In addition, these models have been linearized about different mean
510 states for specific seasons (JJAS and MJ, respectively) so the seasonal cycle remaining in
511 SPEEDY may play a role in forming the off-equatorial easterlies. When we limit the SSTA
512 forcing in the IO to just the 1st EOF of the simulated SSTA (not shown but a similar pattern as
513 [Wu and Kirtman, 2004] Figure 7a for the IO) for the forced SPEEDY AGCM, the anomalous
514 westerlies near the equator are enhanced: the atmospheric Kelvin wave is present as in previous
515 research but the easterlies off the equator remain.

516 The lack of a strong signal off the equator for the LBM results of the previous authors is
517 surprising considering the results of [Watanabe and Jin, 2003]. They used a similar model
518 (LBM) as previous authors and forced it with El Niño minus La Niña observed SSTA limited to
519 the IO region. Their Figure 8c indicates that a basin-scale cooling in the IO (their M3 region)
520 results in a positive precipitation response symmetric within 15° of the equator that is centered at
521 140°E. West of the dateline, the 850 mb streamfunction response to this heating shows nearly
522 collocated cyclonic flow and easterlies between 10°N-35°N, westerlies for 5°N-10°S, and
523 easterlies between 15°S-30°S west of the dateline, which are broadly similar to our results. On
524 the other hand, our precipitation results have this maximum centered to the east, at roughly
525 160°W (Figure 2c), so this displacement of the precipitation heating might explain the elongated
526 off-equatorial easterlies found in the SPEEDY results (Figure 2a).

527 Another potential difference between previously reported results and the current wind
528 results is the amplitude and location of the precipitation anomalies in the Pacific. For example,
529 [Annamalai et al., 2010] shows (their Figure 2b) the strong positive precipitation anomalies
530 centered at 10°S and 5°N centered at 180°, roughly similar to our results. However, for these

531 previous results there is also a strong negative anomaly with similar zonal extent and amplitude
532 to the west, centered at 150°E that may act to offset any off-equatorial signal in the winds. Our
533 precipitation results (Figure 2c) show that there are no such offsetting precipitation anomalies to
534 the west of the main positive values located between 160°E to 160°W centered at 10°S and 5°N.
535 Therefore, off-equatorial easterlies are not opposed by westerlies for the SPEEDY results.

536 The last and most likely potential reason for off-equatorial easterlies may be the
537 convective scheme within the SPEEDY results. [Kim *et al.*, 2008] show that implementation of
538 CMT leads to enhanced off-equatorial precipitation (roughly 5°-15° off the equator) and
539 decreased precipitation between 5°S-5°N. The wind response to implementation of CMT is
540 increased 850 mb westerlies between 10°S-10°N and also easterlies poleward of the enhanced
541 precipitation. However, these results are only valid west of 150°W for the December - February
542 climatological forcing used for the [Kim *et al.*, 2008] example. A fundamental concept of CMT
543 is that upper atmosphere momentum is transported to the surface via downdrafts around
544 convection. In our example, the generally enhanced precipitation (Figure 2c) between 15°S-5°N
545 drags westerly momentum from upper branch of the Walker circulation to the surface (Figure
546 2a). At the same time, weaker precipitation for the coupled IO with respect to the decoupled IO
547 does the opposite leaving enhanced easterlies between 5°N-20°N and south of 15°S. Thus,
548 implementation of CMT within SPEEDY, but not within any of the linear model results, may
549 also contribute to the off-equatorial easterlies found in the SPEEDY results. Although there are
550 multiple potential reasons for differences between the nonlinear LBM and SPEEDY atmospheric
551 results, exploring differences further is beyond the scope of the current paper.

552 The combined impact of the zonal and meridional winds in the Pacific on the ocean can
553 be conveniently summarized by diagnosing the differences of the SPEEDY experiments using

554 curl and divergence of the wind stress. On the equator, surface convergence of the wind leads to
555 convergence of the surface currents, downwelling in the ocean, a deepening of the thermocline,
556 and an increase in sea level. The divergence of the atmospheric teleconnections is presented in
557 Figure 2f and this shows pervasive downwelling favorable winds all along the entire equator.
558 Off the equator, the curl can be used to estimate the sense of Ekman pumping velocity as a
559 measure of upwelling or downwelling. Figure 2e shows that upwelling favorable winds (positive
560 in the Northern Hemisphere and negative in the Southern Hemisphere) are predominant between
561 15°S to 10°N in the Pacific. However, the curl just to the south of the equator between 160°E-
562 140°W is positive indicating a narrow band of downwelling favorable curl. North of ~10°N and
563 in the southwest Pacific (off Australia) downwelling curl is also prevalent.

564 To summarize differences between the present study and prior work, forced
565 experimental minus control atmospheric simulations produce strong easterly differences south of
566 15°S and between the equator and 20°N in the Pacific, with weak westerly differences near the
567 equator between 10°S and the equator. For the meridional component, winds converge towards
568 5°S especially over the eastern half of the basin with abundant precipitation in the eastern Pacific
569 cold tongue region near the equator. In addition, differences show strong positive precipitation
570 anomalies in the central Pacific. Convergence along the equator indicates that there is pervasive
571 downwelling favorable conditions present at initialization of the coupled system along the
572 equator. However, off the equator between 15°S-10°N the prevailing curl indicates that IO
573 SSTA is generally forcing upwelling in this region. As [Annamalai *et al.*, 2005] noted, the weak
574 winds within the waveguide may allow nascent El Niño/La Niña events to grow unencumbered.

575

576 **6 Summary and Conclusions**

577 Our results suggest that additional validated forecast skill is available for operational
578 ENSO forecasting improvements by including IO forcing and realistically nonlinear modelling
579 of the response of the coupled Indo-Pacific ocean atmosphere system. A key potential source
580 that we have identified in this study is the impact of atmospheric teleconnections originating
581 from the IO. Coupled experiments described herein that are initialized with the full observed
582 SST forcing and utilize a nonlinear atmosphere indicate that our atmospheric response in the
583 Pacific to interannual IO forcing includes weak westerly winds equatorward of 10°S, enhanced
584 off-equatorial trade winds and strengthened easterlies between 30°S to 15°S and the equator to
585 25°N. The differences between the previous linear atmospheric model and our AGCM
586 (SPEEDY) results may be due to either simplification of IO forcing, displacement of
587 precipitation (and heating) to the east with no compensating anomaly, or most likely, the
588 convective momentum transport in SPEEDY. These off-equatorial winds have profound impact
589 in that they generate wind stress curl that act to amplify the oceanic Rossby wave signal which
590 eventually impact the eastern Pacific by way of reflected Kelvin waves.

591 Differences between coupled experiments show that including the impact of interannual
592 teleconnections from the IO have significantly higher ENSO correlation (exceeding the 95%
593 significance level from 3-9 months) and lower RMS validation statistics. The reason for this is a
594 combination of equatorial and off-equatorial coupling that eventually warms the NINO3 region.
595 Early in the forecast period, prior to 3 month lead times, equatorial upwelling in the western
596 Pacific weakly cools the NINO3 region via propagation of upwelling Kelvin waves. After that
597 time, off-equatorial downwelling favorable curl in the western Pacific helps to amplify the
598 transition from cooling to warming in the NINO3 region by way of reflected downwelling
599 Rossby to downwelling Kelvin waves. Downwelling Kelvin waves, amplified by equatorial

600 convergence, warm the eastern Pacific and improve correlation validation after 3 month lead
601 times with respect to observations. The improvement in correlation peaks at 7 months which
602 corresponds with the time it takes for the transmission of the reflected downwelling Rossby wave
603 to reflect into the downwelling Kelvin wave then to propagate across the Pacific into the NINO3
604 region. Therefore, a main conclusion from these results is that the interannual variability of IO
605 SST forcing is responsible for overall somewhat lagged widespread downwelling in the Pacific,
606 assisted by off-equatorial curl, leading to warmer NINO3 SST anomaly and improved validation
607 after 3 month lead times.

608 Currently ENSO forecast discussions (see [http://origin.cpc.ncep.noaa.gov/
609 products/GODAS/ocean_briefing_gif/global_ocean_monitoring_current.ppt](http://origin.cpc.ncep.noaa.gov/products/GODAS/ocean_briefing_gif/global_ocean_monitoring_current.ppt)) include
610 descriptions of large-scale ocean waves present in the initialization of coupled forecasts.
611 However, these discussions only assess the state of the oceanic Kelvin wave (using the Ocean
612 Kelvin Wave Index, an extended EOF technique) and this would suggest a lack of emphasis on
613 off-equatorial processes in coupled model initialization. On the contrary, the results of the
614 impact of the teleconnections from the IO to the Pacific presented herein demonstrate the
615 significance of the off-equatorial processes that generate oceanic Rossby waves. Therefore, we
616 recommend that the impact of the Rossby waves on ENSO should be included in forecast
617 discussions. We have shown that the impact of the IO atmospheric teleconnections to ENSO
618 significantly improve coupled forecasts from 3-9 month lead times, so both upstream IO
619 influences and off-equatorial processes should be considered/included in ENSO forecasting
620 systems.

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785 **Figure 1:** Validation of the SPEEDY coupled model. Our Indo-Pacific SPEEDY coupled
786 model (red) is a) correlated and b) RMSD against observed NINO3 SSTA for Jan. 1993-Mar.
787 2011. CFSRR coupled model results (black) are included to put our coupled results into the
788 context of a more widely known coupled model. Individual correlations exceed the 95%
789 significance out to 8.3 (35) and 10 months (34) (effective degrees of freedom) for red and black
790 lines, respectively. Observation persistence is indicated by the thin black dotted line. This
791 version of the SPEEDY coupled model assimilates all available satellite (sea level, SST) and in
792 situ information (sea surface salinity and subsurface temperature and salinity) using the data
793 assimilation technique described in [Hackert et al., 2014].

794 **Figure 2:** Impact of interannual IO SST forcing. Differences between two sets of SPEEDY
795 atmosphere-only experiments for a) zonal, b) meridional wind stress, c) precipitation, d) vector
796 representation of a) and b), e) curl and f) divergence of the wind stress. Differences are full SST
797 anomaly forcing over the Indo-Pacific region (i.e. INT_PAC, INT_IO) minus the experiment that
798 uses climatological seasonal cycle forcing over the IO (INT_PAC, CLIM_IO). Letters “U” and
799 “D” represent regions of upwelling and downwelling favorable winds and absolute values greater
800 than $3.3 \times 10^{-3} \text{ N/m}^2$, $2.7 \times 10^{-3} \text{ N/m}^2$, 13.2 mm/mon, $0.53 \times 10^{-9} \text{ N/m}^3$, $0.35 \times 10^{-9} \text{ N/m}^3$ are
801 significant at the 95% level for a), b) c), e), and f), respectively.

802 **Figure 3:** Impact of IO interannual forcing on coupled NINO3 SST results. Validation statistics
803 for a) correlation and b) RMS differences between coupled experiments with full atmospheric
804 coupling (i.e. INT_PAC, INT_IO) in red and interannual coupling in the Pacific and
805 climatological forcing in the IO (i.e. INT_PAC, CLIM_IO) in blue. The coupled experiments are
806 validated against observed NINO3 SST anomaly for 1993 to 2014. Individual correlations
807 exceed the 95% significance out to 8 (43) and 5.8 months (41) (effective degrees of freedom) for
808 red and blue lines, respectively. The thick black line on the top x-axis shows where the red line
809 is significantly larger than the blue line using the Steiger-Z test.

810 **Figure 4:** Mean and variability of NINO3 SST for impact of interannual IO SST forcing. Plots
811 showing the NINO3 SST a) mean forecast and b) variability for INT_PAC, INT_IO (red) and
812 INT_PAC, CLIM_IO (blue) for all forecasts from 1993-2014.

813 **Figure 5:** Hovmöller plots of impact of interannual IO SST forcing. Plots showing the mean
814 temporal evolution of the impact of IO atmospheric coupling using longitude versus lead time (in
815 months) averaged between 2°N and 2°S for a) SST, b) sea level (SL), c) zonal wind stress, and d)
816 zonal currents. The mean is taken for the average forecast differences, INT_PAC, INT_IO
817 minus INT_PAC, CLIM_IO, over all months from 1993 to 2014.

818 **Figure 6:** Kelvin/Rossby wave decomposition of interannual IO SST forcing. Longitude versus
819 time distribution of the equatorial (a) Kelvin and (b) the first meridional mode of equatorial
820 Rossby waves through their signature in zonal surface current deduced from the average forecast
821 SL differences, (INT_PAC, INT_IO) – (INT_PAC, CLIM_IO). In order to follow possible wave
822 reflections on the western (WB) and eastern (EB) boundaries, the Rossby panel (b) is inverted
823 and the Kelvin wave pattern is repeated (c). The color scale for the Rossby panel is also inverted
824 since reflection on meridional boundaries results in zonal currents of opposite sign. Solid lines
825 (downwelling) and dashed lines (upwelling) represent theoretical wave speeds for Kelvin
826 (2.5m/s) and Rossby waves (-0.8m/s or ~5months to cross this Pacific basin at 5°N) on each plot.

827 **Figure 7:** Average 3 month forecast INT_PAC, INT_IO - INT_PAC, CLIM_IO. Average
828 forecast values for month 3 for a) SST, b) sea level, c) curl of the wind stress (color) and wind
829 stress (vector), and d) divergence of the wind stress (color) and wind stress (vector). The scale
830 of the vector plot is indicated in the bottom left of the panel. For the reader's convenience,
831 regions of upwelling and downwelling are marked by letters U and D, respectively.

832 **Figure 8:** Average 5 month forecast INT_PAC, INT_IO - INT_PAC, CLIM_IO. Same as
833 previous but for 5 month average forecasts.

834 **Figure 9:** Average 7 month forecast INT_PAC, INT_IO - INT_PAC, CLIM_IO. Same as
835 previous but for 7 month lead forecast mean.

836 **Figure 10:** Average 10 month forecast INT_PAC, INT_IO - INT_PAC, CLIM_IO. Same as
837 previous but for 10 month forecast mean.
838

Experiment Name	Period	Model Geometry (Atmosphere/Ocean)	Indo-Pacific Forcing
INT_PAC, INT_IO	1993-2014	Global/Indo-Pacific	Interannual SSTA forcing for Pacific and IO
INT_PAC, CLIM_IO	1993-2014	Global/Indo-Pacific	Interannual SSTA forcing for Pacific, climatological seasonal cycle SST for IO

839 **Table 1:** Experiment description for impact of interannual IO SST forcing. The far left column
840 describes the experiments, “INT” and “CLIM” stand for interannual and climatological forcing
841 and “PAC” and “IO” stand for Pacific (30°S-30°N, 130°E-70°W) and Indian Oceans (30°S-30°N,
842 30°E-129°E), respectively. The far right column describes the SST anomaly forcing (SSTA) for
843 the Indo-Pacific region. In order to isolate the impact of the IO, differences between
844 INT_PAC, INT_IO – INT_PAC, CLIM_IO are presented. Note that SSTA are formulated with
845 respect to the 1983-2014 mean seasonal cycle using [Reynolds et al., 2002] OI SST.
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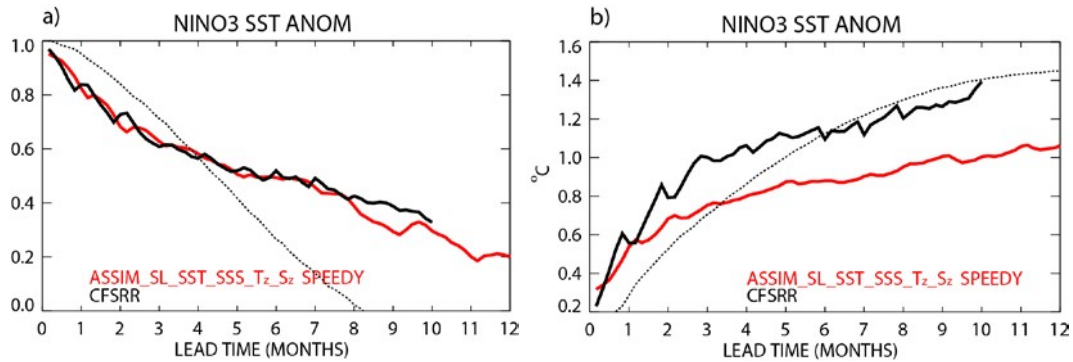


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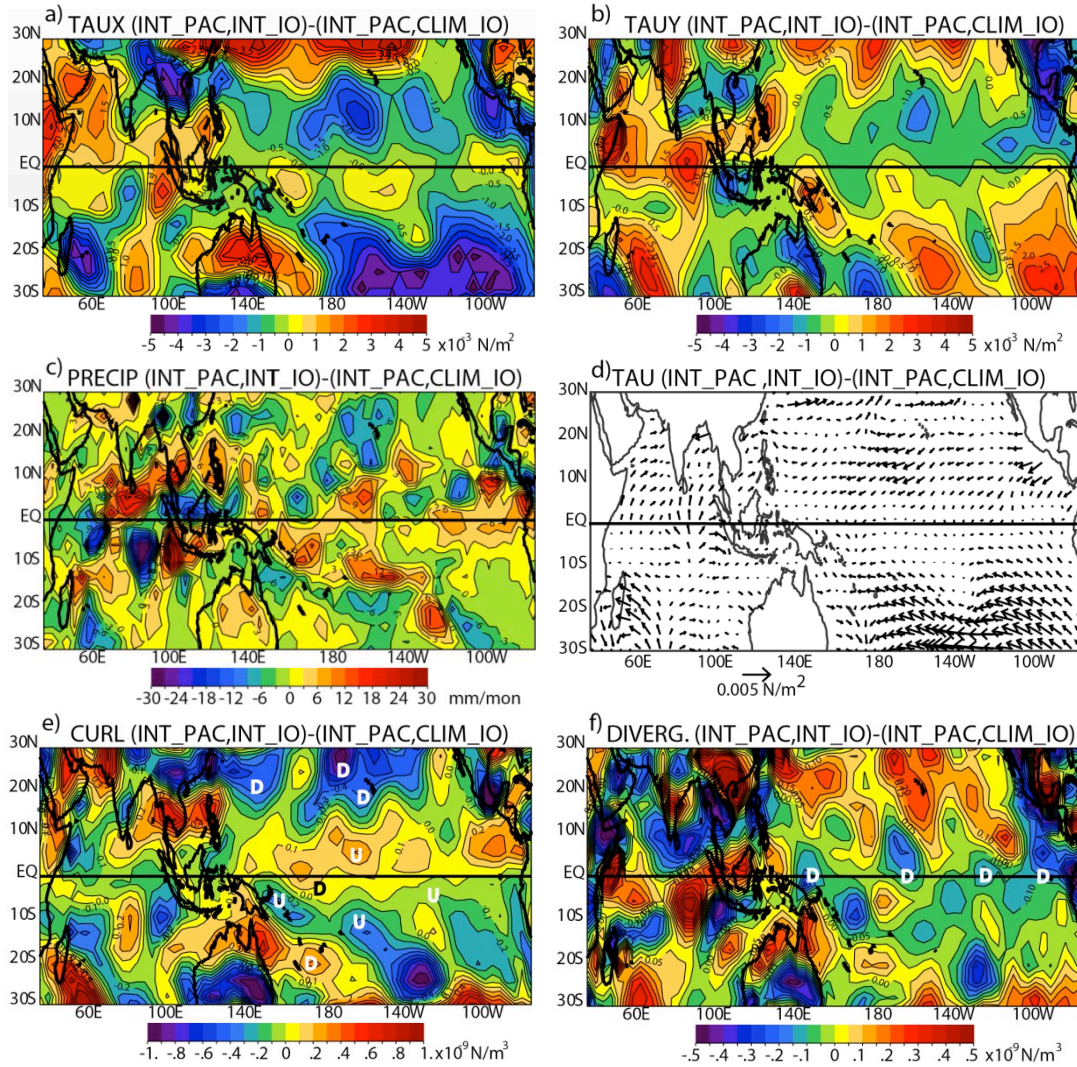


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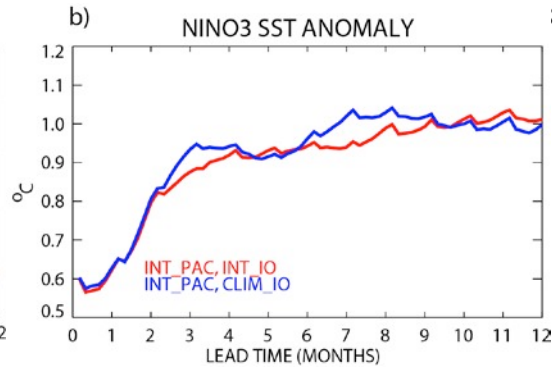
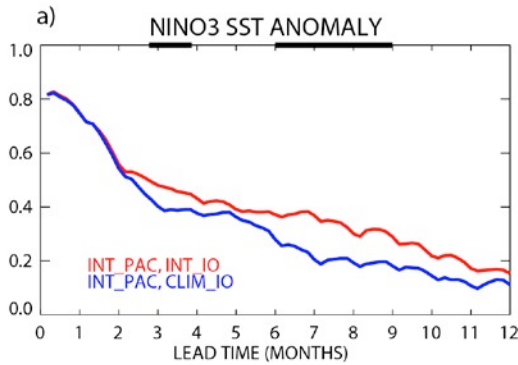


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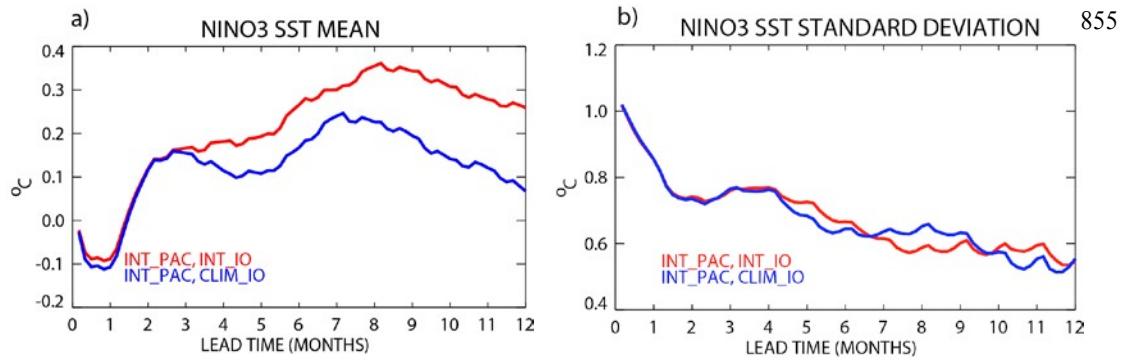


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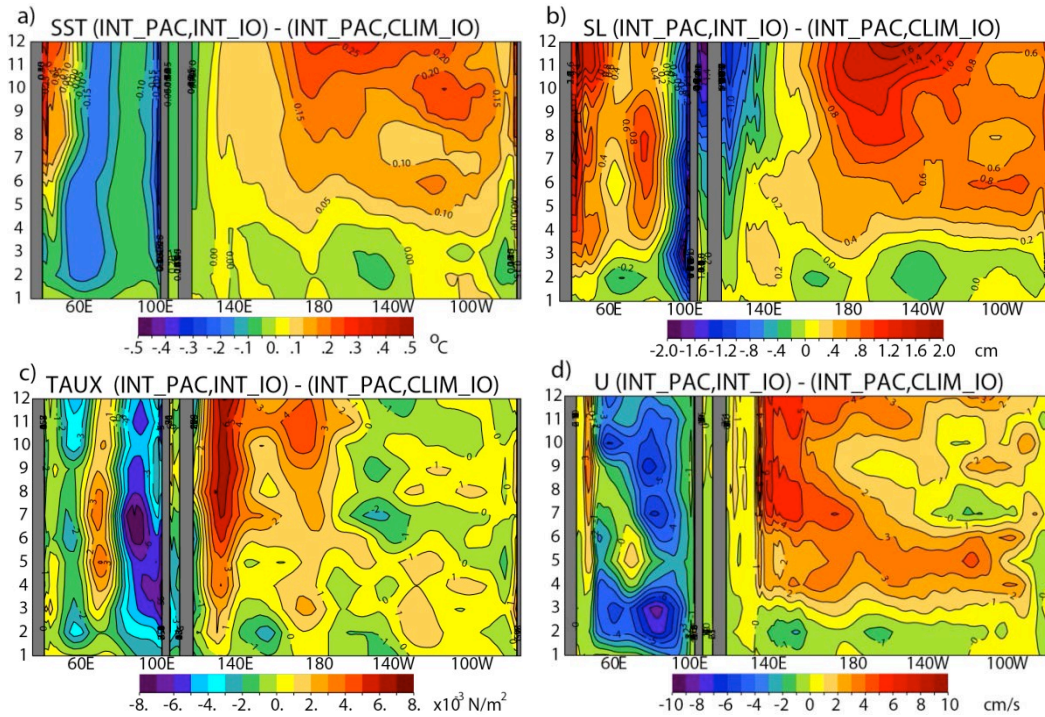


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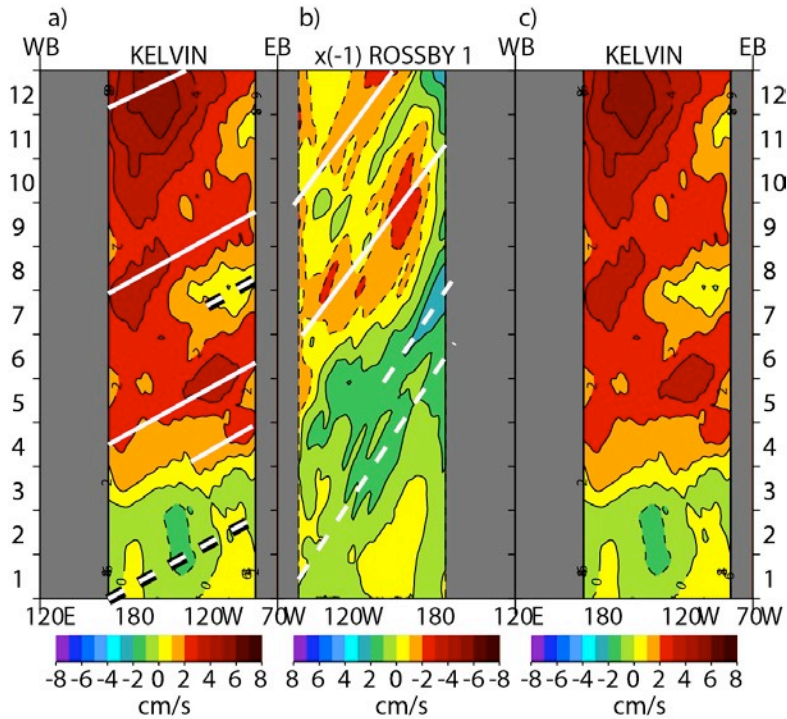


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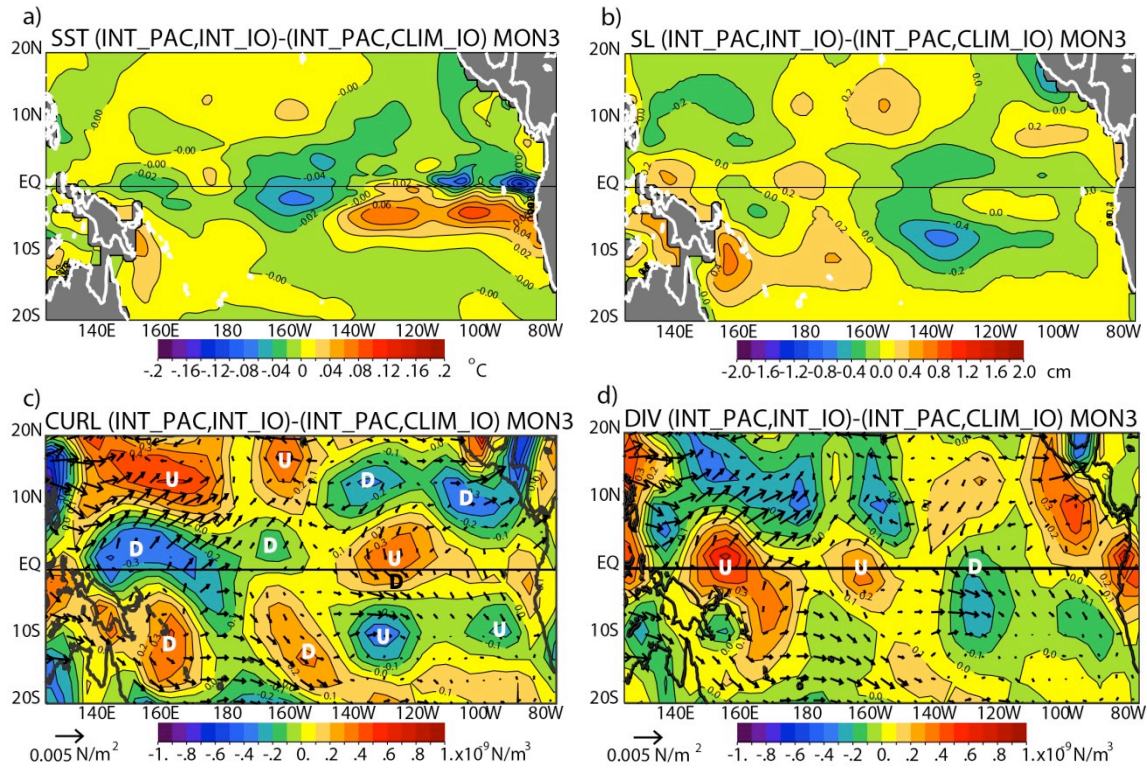


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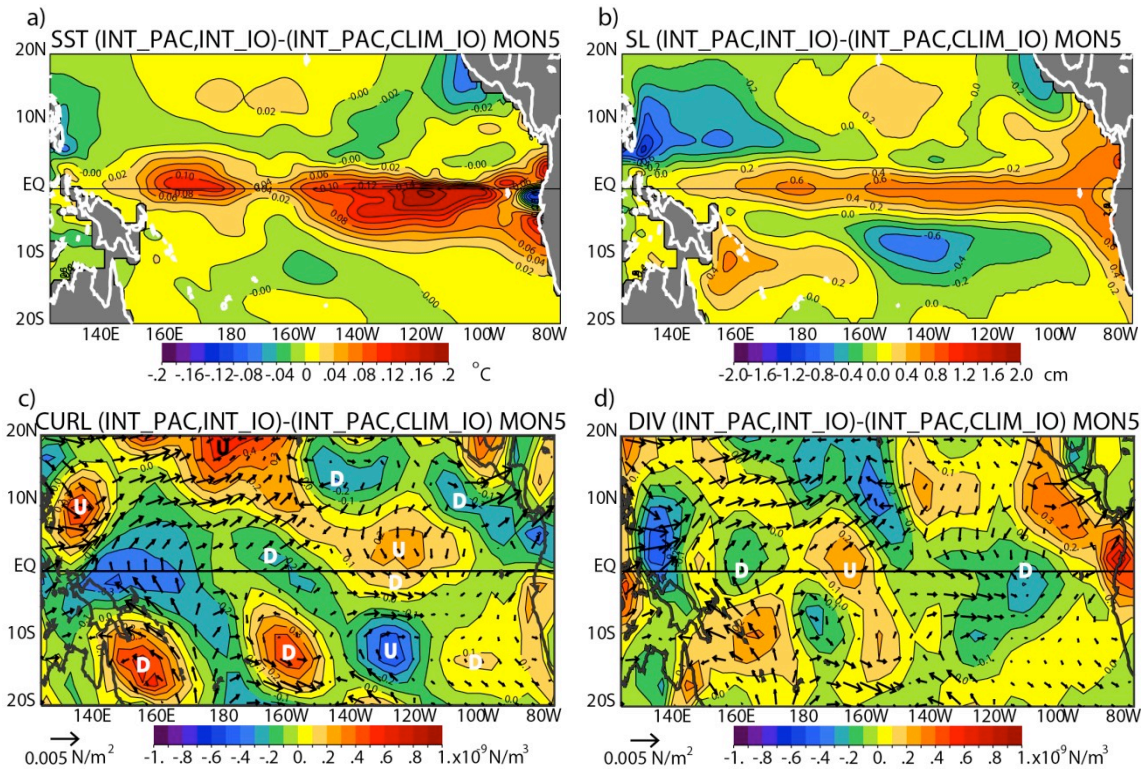


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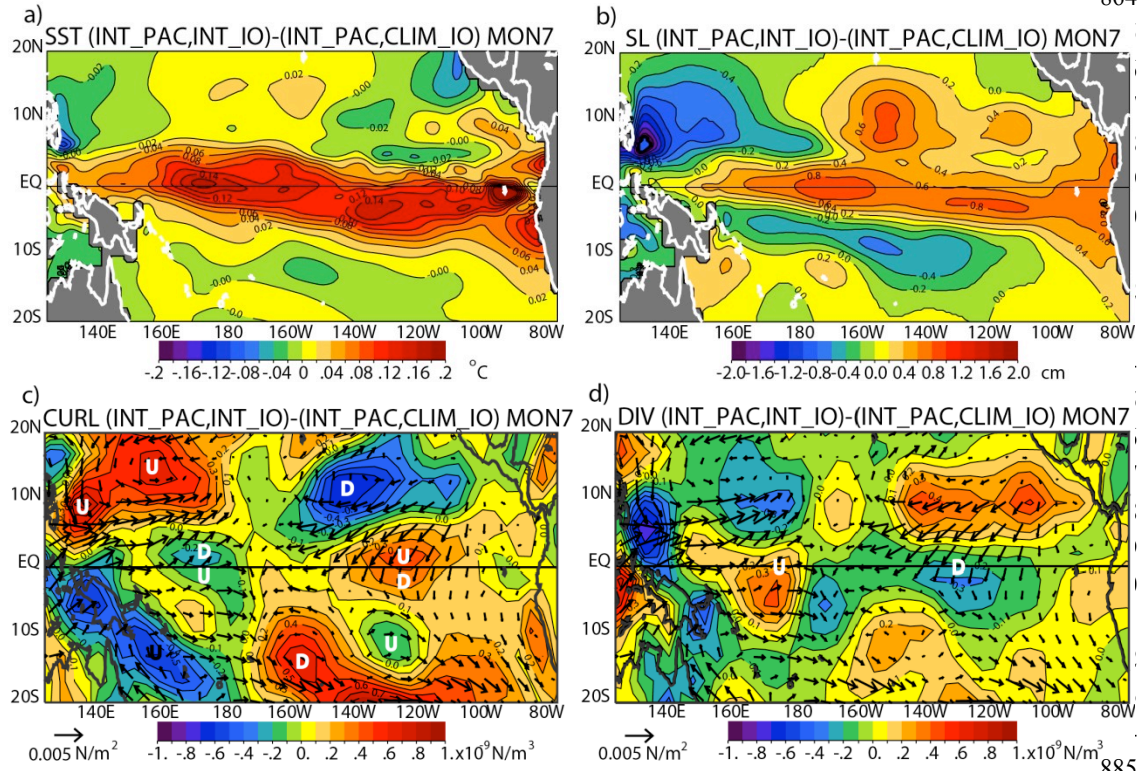


Figure 9: Average 7 month forecast INT_PAC, INT_IO - INT_PAC, CLIM_IO. Same as previous but for 7 month lead forecast mean.

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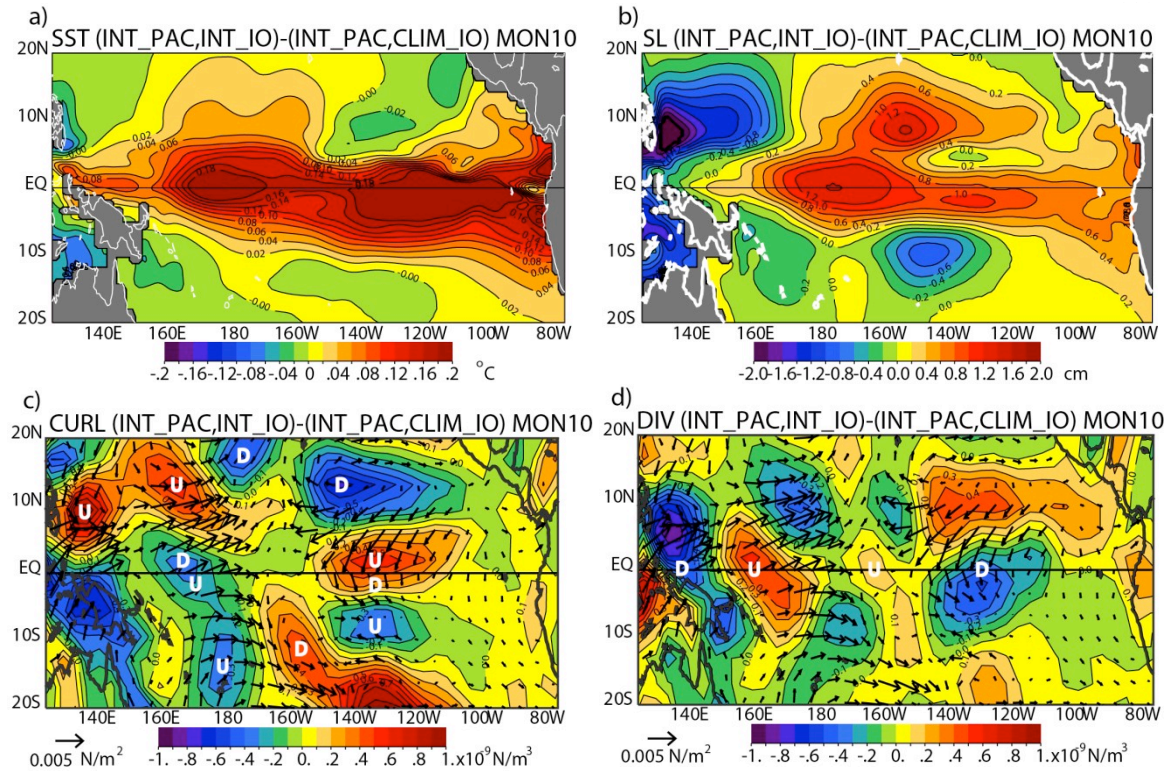


Figure 10: Average 10 month forecast INT_PAC, INT_IO - INT_PAC, CLIM_IO. Same as previous but for 10 month forecast mean.