

# Paleoceanography and Paleoclimatology



## RESEARCH ARTICLE

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### Key Points:

- At a CO<sub>2</sub> level of 450 ppm, a Miocene simulation shows a global mean surface warming of +3.1°C relative to the preindustrial state
- Atmospheric CO<sub>2</sub> increase from 280 to 450 ppm causes a warming of ~1.4°C, which is as strong as all other forcing factors combined
- At higher atmospheric CO<sub>2</sub> levels, the Miocene climate shows a reduced polar amplification linked to a breakdown of seasonality in the Arctic

### Supporting Information:

Supporting Information may be found in the online version of this article.

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## The Impact of Different Atmospheric CO<sub>2</sub> Concentrations on Large Scale Miocene Temperature Signatures

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**Abstract** Based on inferences from proxy records the Miocene (23.03–5.33 Ma) was a time of amplified polar warmth compared to today. However, it remains a challenge to simulate a warm Miocene climate and pronounced polar warmth at reconstructed Miocene CO<sub>2</sub> concentrations. Using a state-of-the-art Earth-System-Model, we implement a high-resolution paleobathymetry and simulate Miocene climate at different atmospheric CO<sub>2</sub> concentrations. We estimate global mean surface warming of +3.1°C relative to the preindustrial at a CO<sub>2</sub> level of 450 ppm. An increase of atmospheric CO<sub>2</sub> from 280 to 450 ppm provides an individual warming of ~1.4°C, which is as strong as all other Miocene forcing contributions combined. Substantial changes in surface albedo are vital to explain Miocene surface warming. Simulated surface temperatures fit well with proxy reconstructions at low- to mid-latitudes. The high latitude cooling bias becomes less pronounced for higher atmospheric CO<sub>2</sub> concentrations. At such CO<sub>2</sub> levels simulated Miocene climate shows a reduced polar amplification, linked to a breakdown of seasonality in the Arctic Ocean. A pronounced warming in boreal fall is detected for a CO<sub>2</sub> increase from 280 to 450 ppm, in comparison to weaker warming for CO<sub>2</sub> changes from 450 to 720 ppm. Moreover, a pronounced warming in winter is detected for a CO<sub>2</sub> increase from 450 to 720 ppm, in contrast to a moderate summer temperature increase, which is accompanied by a strong sea-ice concentration decline that promotes cloud formation in summer via enhanced moisture availability. As a consequence planetary albedo increases and dampens the temperature response to CO<sub>2</sub> forcing at a warmer Miocene background climate.

## 1. Introduction

Proxy reconstructions show that the Miocene was a time period of global warmth. During this time, the configuration of continents, oceans and main orographies were only moderately different from those at present. With moderately higher atmospheric CO<sub>2</sub> and higher temperatures, the Miocene Climatic Optimum (MCO; ~16.9–14.7 Ma) has been suggested as a partial analog for the Earth's future greenhouse climate (Steinthorsdottir et al., 2021).

During the entire Miocene most proxy records reveal that atmospheric CO<sub>2</sub> was near or only moderately higher than preindustrial values (Beerling & Royer, 2011; Pagani et al., 2013; Sossdian et al., 2020; Steinthorsdottir et al., 2021; Super et al., 2018). Proxy reconstructions indicate that CO<sub>2</sub> concentrations were in the range of 300–600 ppm during the Miocene (Foster et al., 2017; Sossdian et al., 2018). For the MCO, a similar range of 400–600 ppm has been reported (Beerling et al., 2009; Kürschner et al., 2008; Royer, 2001; Steinthorsdottir et al., 2021). However, some reconstructions suggest that CO<sub>2</sub> levels may have been up to 1,137 ppm (Herbert et al., 2022; Rae et al., 2021; Sossdian et al., 2018; Stoll et al., 2019).

Previous modeling studies targeting the Early, Middle and Late Miocene using CO<sub>2</sub> concentrations of 200–850 ppm, modern orbital forcing, preindustrial aerosols, and taking reconstructed paleogeography, vegetation, and ice sheet differences into account, suggest a substantial high-latitude (>60°N and 60°S) warming (0–18°C in the Northern Hemisphere and 0–38°C in the Southern Hemisphere), while the temperature increase in the tropics (~0–8°C) is less pronounced (Bradshaw et al., 2012, 2021; Burls et al., 2021; Farnsworth et al., 2019; Frigola et al., 2018; Herold, Huber, Greenwood, et al., 2011; Herold, Huber, & Müller, 2011; Herold et al., 2012; Knorr et al., 2011; Knorr & Lohmann, 2014; Stärz et al., 2017; Zhang et al., 2014). In these simulations the polar

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amplified warming is a robust feature and therefore the meridional temperature gradient is weaker during the Miocene than today (Burls et al., 2021). The wide range of temperature increase in the Southern Hemisphere reflects differences in Antarctic Ice Sheet configurations prescribed in these simulations.

Furthermore, several modeling studies have explored the role of different potential mechanisms on the climate of the Miocene. Global temperature and climatic changes are believed to have been primarily related to increased CO<sub>2</sub> concentrations, paleogeographic changes (including bathymetry, orography and ocean gateways; Hossain et al., 2020, 2021; Micheels et al., 2009; Mikolajewicz & Crowley, 1997; Von der Heydt & Dijkstra, 2006), changes in the vegetation (Bradshaw et al., 2015; Forrest et al., 2015; Knorr et al., 2011) and the sea ice-albedo feedback mechanism. The radiative forcing including prescribed atmospheric CO<sub>2</sub> concentration reveals a potentially dominant control on global-scale temperature changes (Steinhorsdottir et al., 2021). Miocene non-CO<sub>2</sub> boundary conditions such as paleogeography and ice sheets can raise the mean global temperature by ~2°C (Burls et al., 2021). Higher atmospheric CO<sub>2</sub> and more effective ocean mixing could have contributed to a reduced summer-to-winter range of temperature (Lohmann et al., 2022; Spicer et al., 2004; Valdes et al., 1996). While these mechanisms have been identified to enable warmer temperatures in the models, it is still difficult to reconcile the Miocene polar amplified warmth observed in the proxy data with simulations (Burls et al., 2021; Steinhorsdottir et al., 2021).

Comparison of MPI-ESM Middle Miocene simulations with terrestrial proxies shows best agreement with simulations of 480 and 720 ppm CO<sub>2</sub>, whereas the best agreement for marine proxies is detected at 360 and 480 ppm CO<sub>2</sub> (Krapp & Jungclaus, 2011). A different study using CCSM3 Middle Miocene simulations (conducted with 335 ppm CO<sub>2</sub> and comparing with terrestrial temperature records) shows +1.4°C warming in the model compared with +6°C in the proxies (Herold, Huber, & Müller, 2011). Goldner et al. (2014), using CESM1.0 simulations of the Middle Miocene with 400 ppm CO<sub>2</sub>, find that global mean surface temperature is ~4°C colder than indicated by the proxy reconstructions. The largest cold biases are in the mid- to high-latitudes, indicating a pronounced meridional temperature gradient of ~17°C (Goldner et al., 2014; Herold, Huber, & Müller, 2011; Steinhorsdottir et al., 2021). Burls et al. (2021) assess the current range of model-data agreement and current advancement toward simulating Miocene warmth and demonstrate that the degree of weakening of the meridional temperature gradient and polar amplification increases with prescribed CO<sub>2</sub> forcing. A recent study (Lohmann et al., 2022) reveals that, global mean surface and meridional temperature characteristics similar to those found in MCO reconstructions may be obtained in climate simulations assuming relatively moderate CO<sub>2</sub> levels (450 ppm) with enhanced ocean mixing. The study finds a moderate low-latitude and pronounced high-latitude warming where substantial temperature increase by up to ~5–10°C in surface temperature is widespread and Arctic temperature anomalies reach ~12°C relative to preindustrial (Lohmann et al., 2022). However, it remains a major challenge to successfully simulate the Miocene high-latitudes climate with a fully coupled ocean-atmosphere model (Burls et al., 2021).

Using the proxy estimates of Miocene atmospheric CO<sub>2</sub> levels (300–600 ppm), no climate model experiment has so far reproduced the elevated proxy paleo temperatures (Burls et al., 2021; Steinhorsdottir et al., 2021) unless the effectivity of the ocean in transporting heat between low- and high latitudes on the one hand and surface and deep ocean on the other hand is enhanced, for example, via adaptation to the model's mixing parameterization (Lohmann et al., 2022). The model simulations cannot capture the full extent of the mid-latitude and polar warmth of the Miocene and do not have the skill to reproduce a reduced Miocene meridional temperature gradient (Burls et al., 2021; Goldner et al., 2014). It is obvious that our understanding of important physical parameters or positive feedbacks is incomplete to explain and describe processes that maintained the much weaker than preindustrial equator-to-pole temperature difference.

In this contribution we apply a state-of-the-art fully coupled Earth System Model to investigate the effect of newly and enhanced Miocene on-/offshore topographic information on the climate sensitivity at different atmospheric CO<sub>2</sub> concentrations. Our model is based on the work by Sidorenko et al. (2019) but considers vegetation dynamics. The model simulation uses a high-resolution global reconstruction of Miocene bathymetry and topography (Hochmuth, Gohl, et al., 2020; Paxman et al., 2019; Straume et al., 2020), which captures the major features of paleobathymetry (such as ocean ridges, plateaus and margins) and paleotopography (such as mountain ranges, e.g., the Andes). Reflecting the impact of many of these topographic features in climate simulations is only possible based on the flexibility of our ocean model with respect to spatial resolution that comes with the finite volume approach. Based on this novel setup, we investigate the climate impact of Miocene boundary conditions,

separating the effect of atmospheric CO<sub>2</sub> and non-CO<sub>2</sub> Miocene boundary conditions and quantifying the most important mechanisms/feedbacks that dominate temperature responses relative to the pre-industrial climate. The model simulations are evaluated with available proxy records of terrestrial and sea surface temperature (SST) reconstructions. In our model experiments, we examine the breakdown of seasonality in the Arctic Ocean with increasing CO<sub>2</sub> levels.

## 2. Materials and Methods

### 2.1. Model

We apply the AWI Earth System Model, version 2.1 (AWI-ESM2.1), which consists of the atmosphere general circulation model ECHAM6 (version 6.3.05p2; Stevens et al., 2013), the land-vegetation model JSBACH (Brovkin et al., 2009; Giorgetta et al., 2013; Raddatz et al., 2007; Reick et al., 2013) and the ocean model FESOM2 (Danilov et al., 2017; Scholz et al., 2019; Sidorenko et al., 2019). The coupling between ECHAM6 and FESOM2 is achieved via the OASIS3-MCT coupler (Valcke, 2013). AWI-ESM2.1 is derived from the AWI Climate Model, version 2 (AWI-CM2) that is based on the finite-volume formulation of FESOM2 (Danilov et al., 2017; Sidorenko et al., 2019). The ECHAM6 employs a spectral dynamical core and is used in our study at T63 resolution ( $\sim 1.88^\circ \times 1.88^\circ$ ;  $\sim 180$  km horizontal resolution at the equator) with 47 vertical layers. The land surface model JSBACH runs at the same horizontal resolution as ECHAM6. Spatial resolution in the ocean on the other hand is fundamentally different as FESOM2 employs, depending on the geographical setup, either the COREII mesh ( $\sim 127,000$  nodes) or one of its paleo-derivates. The mesh resolution for FESOM2 is high in critical areas (up to  $\sim 20$  km) where small scale processes influence ocean dynamics.

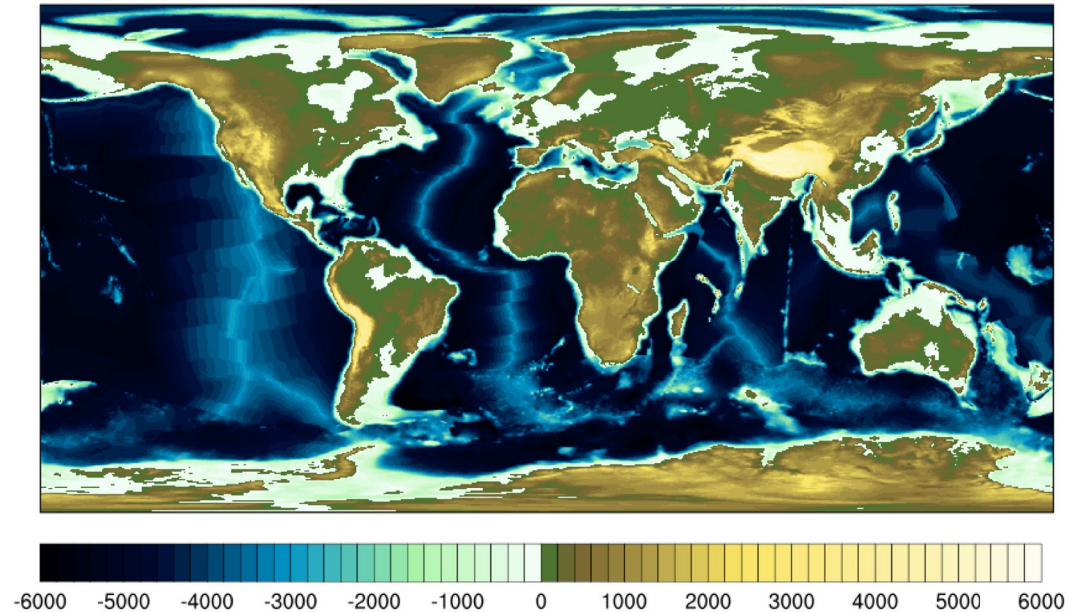
AWI-ESM2.1 includes JSBACH with interactive vegetation dynamics, which ensures that climate-vegetation feedbacks are resolved in the model and that for any simulated climate state vegetation and climate are consistent with each other. Plant functional types are used in JSBACH to reduce the complexity that lies in the diversity of plants while still enabling differentiation of plant type's characteristics in the model. Our model setup considers thirteen plant functional types that describe various types of shrubs, grasses and trees. Vegetation types compete with each other and provide distinct properties for, among others, water carrying capacity and vegetation albedo (Groner et al., 2018), thus influencing both the water and energy balance in dependence of simulated vegetation distribution. Atmosphere-ocean coupling is performed in two steps. The ocean communicates its surface state to the atmosphere and is at the same time driven by atmospheric fluxes. Four ocean fields are sent to ECHAM6: sea ice concentration, sea ice thickness, SST, and snow on sea ice. ECHAM6 computes 12 air-sea fluxes (e.g., heat, momentum, freshwater fluxes) based on surface fields provided by FESOM2. So far, the AWI-ESM2 has not only been validated under modern climate conditions (Sidorenko et al., 2019) but also has been successfully applied for marine radiocarbon concentrations (Lohmann et al., 2020), the latest Holocene (Vorrath et al., 2020), the Last Interglacial (Otto-Bliesner et al., 2021) and the Last Glacial Maximum (Kageyama et al., 2021).

### 2.2. Paleobathymetry and Paleotopography

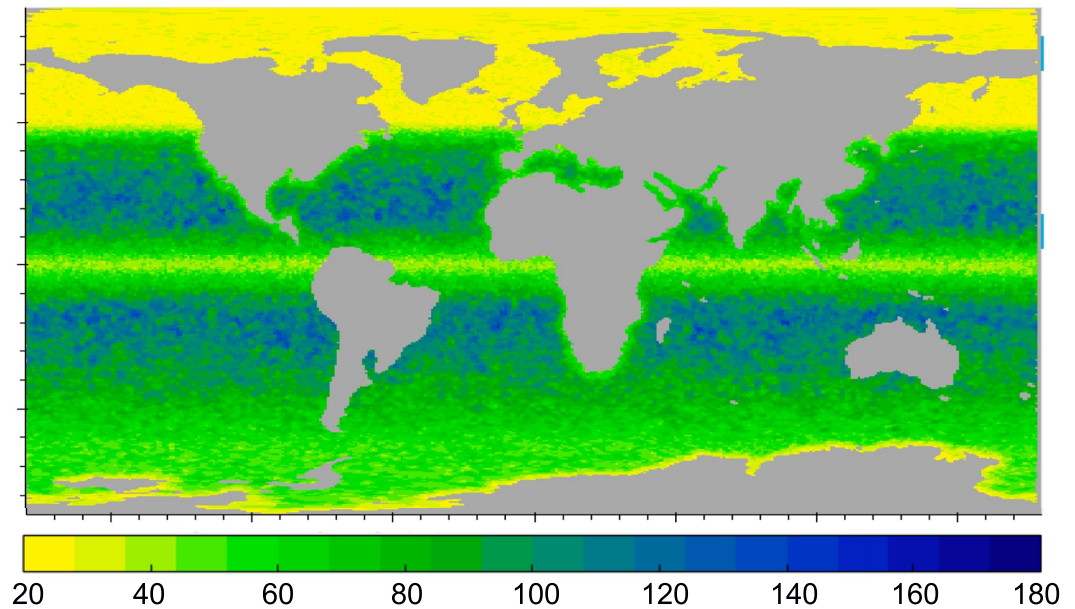
The paleomodel setup is based on the Middle Miocene time period ( $\sim 14$  Ma) comprising the combined high-resolution ( $0.1^\circ \times 0.1^\circ$ ) global paleobathymetry and paleotopography of Straume et al. (2020), Hochmuth, Gohl, et al. (2020) and Paxman et al. (2019) (Figure 1). Paleobathymetry at latitudes south of  $30^\circ\text{S}$  is reconstructed following the paleobathymetric reconstruction of Hochmuth, Gohl, et al. (2020), using sediment back-stripping (Steckler & Watts, 1978). It is based on the reconstruction by Straume et al. (2020) and includes a suite of new paleobathymetric grids of the Southern Ocean. Hochmuth, Paxman, et al. (2020) merged the Southern Ocean (Hochmuth, Gohl, et al., 2020) and Antarctic bathymetry/topography (Paxman et al., 2019). This Antarctic median topography is the most recent reconstruction with a resolution of approximately 5 km. The northern part (north of  $30^\circ\text{S}$ ) of it uses the paleobathymetric reconstruction of Straume et al. (2020). The transition between the grids is smoothed to avoid artificial abrupt changes in the bathymetry.

Straume et al. (2020) have re-evaluated the evolution of the Northern Hemisphere oceanic gateways (i.e., Fram Strait, Greenland-Scotland Ridge, Central American Seaway, and Tethys Seaway) and embedded their tectonic histories in a new global paleobathymetry and paleotopography model. The model implements updated plate kinematics, oceanic lithospheric ages, estimated sediment thickness, and paleodepths of oceanic plateaus and microcontinents.

## Paleobathymetry and Paleotopography



### Ocean model mesh



**Figure 1.** Global compilation of Middle Miocene paleobathymetry and paleotopography (in m) (Hochmuth, Gohl, et al., 2020; Paxman et al., 2019; Straume et al., 2020) and the ocean model mesh (in km).

### 2.3. Model Setup and Experimental Design

In our reference Miocene simulation (MIO\_450) we prescribe an atmospheric CO<sub>2</sub> concentration of 450 ppm. We implement a high-resolution paleobathymetry and paleotopography of the Middle Miocene as described above. The Fram Strait represents a single ocean gateway control toward the Arctic Ocean (Butt et al., 2002). The North Atlantic gateways are wide enough to maintain rotationally controlled flows across the gateways and have geometries that are documented in Table 1 (in particular, Greenland-Scotland Ridge: depth: ~410 m; Fram Strait: depth: ~2,400 m, width: ~420 km). Other ocean gateways like the Canadian Archipelago, Bering Strait, Tethys Seaway, and similarly the Barents Sea, evolved after the Middle Miocene. Moreover, the Panama Seaway still connects the Pacific and Atlantic Oceans. In our Miocene setup the Greenland ice sheet is absent, whereas the height of the

**Table 1**  
*List of Sensitivity Experiments Including Relevant Model Parameters*

Model exp.	Greenland-Scotland ridge depth (m)	Max. Fram depth (m)	Bathymetry and topography	Atmos. CO <sub>2</sub> (ppm)
MIO_280	~410	~2,400	Middle Miocene	280
MIO_450	~410	~2,400	Middle Miocene	450
MIO_720	~410	~2,400	Middle Miocene	720
PI_CTRL	~1,100	~2,800	Preindustrial	280
PI_450	~1,100	~2,800	Preindustrial	450

Antarctic ice sheets and the Miocene orography (East Africa, Andes, Rocky Mountains, Tibetan Plateau) are reduced compared to preindustrial. In our simulations orbital parameters are kept constant at preindustrial values. Similarly, we prescribe aerosols and atmospheric concentrations of greenhouse gases other than CO<sub>2</sub> (e.g., CH<sub>4</sub> and N<sub>2</sub>O) to preindustrial levels. Distribution of vegetation in all simulations is computed by the model based on vegetation dynamics in JSBACH so that geographical coverage of plants varies based upon the climatic conditions (Figure S1 in Supporting Information S1).

To set up the Miocene simulations we first created an ocean mesh (Figure 1b) using the paleobathymetry and paleotopography (Hochmuth, Gohl, et al., 2020; Paxman et al., 2019; Straume et al., 2020). In order to create an initial spin-up of the ocean state FESOM2 was run in standalone mode for around 300 model years, initializing the ocean from a zero motion, constant

temperature (3.5°C), constant salinity (34.7 psu) state. The coupled atmosphere-ocean model was then initialized from the standalone ocean spin up and integrated for 1,000 model years until a quasi-equilibrium state had been reached (Figure S2 in Supporting Information S1).

For reference, we also perform another AWI-ESM2.1 model simulation using an atmospheric CO<sub>2</sub> concentration of 280 ppm (PI\_CTRL) and employing preindustrial boundary conditions (ocean bathymetry and topography, orbital forcing and ice sheet topography), vegetation again being adjusted dynamically based on the simulated climate state. This simulation has been initialized from three-dimensional preindustrial ocean salinity and temperature fields of the Polar Science Center Hydrographic Climatology (Steele et al., 2001).

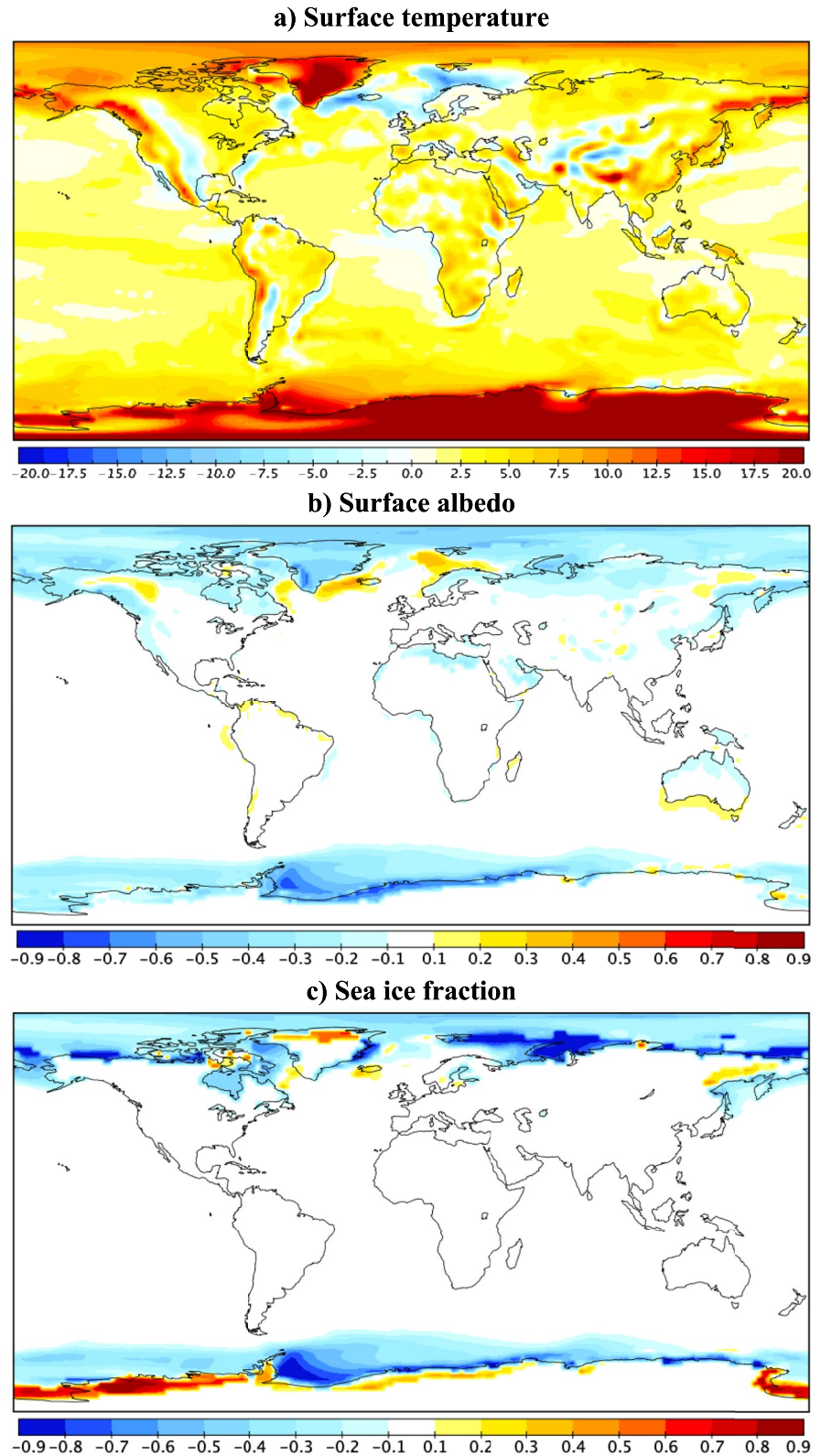
In order to separate effects, and analyze relative importance of CO<sub>2</sub> forcing versus forcing by other boundary conditions, we present three additional simulations MIO\_280, MIO\_720 and PI\_450 (Table 1). For simulation MIO\_280 we apply the same CO<sub>2</sub> concentration as that used in PI\_CTRL, but force the model with other boundary conditions as per Miocene. Simulation PI\_450 adopts the same boundary conditions as PI\_CTRL, while it is run with a higher CO<sub>2</sub> concentration of 450 ppm. In order to analyze the effect of boundary conditions, their complex interaction and synergy between them, we utilized a factor separation analysis (Stein & Alpert, 1993). Additionally, to investigate and disentangle dominant mechanisms that govern the global surface temperature changes in the high- and low-latitudes and shape Miocene climate, we employ both a zero-dimensional and one-dimensional energy balance model (Heinemann et al., 2009; Lunt et al., 2012). Further details of the energy balance model are given in Supporting Information S1 (Text S1).

Results of model simulations are compared to available reconstructions of surface temperature over land and ocean. We employ Middle Miocene terrestrial annual mean temperature estimates as collected and employed in MioMIP1 (Burls et al., 2021). We compare these estimates, that are derived mainly from fossil plant data, to the annual-mean land surface temperature of our simulations. In order to quantify the agreement of simulated and reconstructed Miocene SST we rely on temperature estimates as collected and employed in MioMIP1 (Burls et al., 2021) and as present from the Miocene temperature portal (Lawrence et al., 2021 and references therein). SST reconstructions employed in MioMIP1 are based on Mg/Ca, U<sup>k</sup><sub>37</sub>, and TEX<sub>86</sub> proxies, uncertainties are 3–5°C. Reconstructions of SST are representative of the Late Miocene (ranging between 11.6 and 5.33 Ma), Middle Miocene (ranging between 15.97 and 11.63 Ma) and MCO (ranging between 16.75 and 14.5 Ma). Information on all SST proxy records of Middle Miocene, MCO and Late Miocene considered in our study are, together with the original reference, provided in Tables S4 and S5 (extended version of the original table published in Burls et al. (2021)).

### 3. Results

#### 3.1. Climatic Effect of Miocene Boundary Conditions

In experiment MIO\_450 with Miocene boundary conditions, we simulate a mean surface air temperature (SAT) of ~16.4°C, which is warmer (~3.0°C) than the preindustrial climate (PI\_CTRL, ~13.4°C). In comparison to the preindustrial the simulated Middle Miocene climate shows reduced sea-ice cover and increased water vapor (Figure 2 and Table 2). Spatial temperature anomaly patterns between MIO\_450 and PI\_CTRL are heterogeneous (Figure 2a). In combination with ice-albedo feedback (Figures 2b and 2c), the resulting temperature variation is largely pronounced in the high-latitudes.



**Figure 2.** Annually averaged differences of (a) surface air temperature (SAT; in °C), (b) surface albedo and (c) sea ice fraction between the Middle Miocene (MIO\_450) and the pre-industrial climate state (PI\_CTRL).

**Table 2**  
Key Diagnostics of Different Model Simulations

Model ex.	Mean SAT (°C)	Mean SST (°C)	Mean temperature at ~2,400 m	Mean SSS (psu)	Mean Arctic SAT (°C)	DJF mean Arctic SAT (°C)	MAM mean Arctic SAT (°C)	JJA mean Arctic SAT (°C)	SON mean Arctic SAT (°C)	Mean Arctic SST (°C)	Mean Arctic SSS (psu)	Equator to pole <sup>a</sup> temperature gradient (K)	Global mean vert. integr. water vapor (kg/m <sup>2</sup> )
MIO_280	14.7	17.5	3.1	34.8	-15.2	-28.7	-18.4	-0.8	-12.5	-1.6	31.7	34.4	22.7
MIO_450	16.4	18.7	3.9	34.7	-9.8	-21.8	-13.8	-0.3	-3.6	-1.4	31.2	31.8	25.5
MIO_720	18.1	20.0	4.7	34.6	-5.1	-10.9	-9.5	0.7	-0.4	-0.7	30.8	29.4	28.9
PI_CTRL	13.3	16.6	1.8	34.6	-16.9	-33.1	-22.3	-1.6	-18.5	-1.8	32.8	34.6	21.4
PI_450	14.7	17.5	3.2	34.7	-12.8	-27.8	-17.4	-1.1	-11.6	-1.6	32.3	32.2	23.6

<sup>a</sup>Equator-to-pole temperature gradient for proxies is 24.5°C.

The most pronounced warming occurs over Antarctica, exceeding temperature anomalies of +35°C, and Greenland (+28°C). Other regions of exceptional warming are the Weddell Sea and Ross Sea, with a warming of up to +20°C. Furthermore, the warming at the western border of North and South America and across the Tibetan Plateau is mainly related to topography changes between Miocene and preindustrial simulation setups (Figure 2). The only region with a pronounced cooling is located in the Nordic Seas (e.g., by ~14°C), which is associated with a relatively shallow Greenland-Scotland Ridge in comparison to preindustrial (please see Section 3.2 for further details) and in combination with ice-albedo feedback (Figures 2b and 2c). Albedo changes at the continental boundaries are mostly controlled by displacement of the continents during the Miocene (Figure 1), contributing to the temperature changes in those regions (Figure 2).

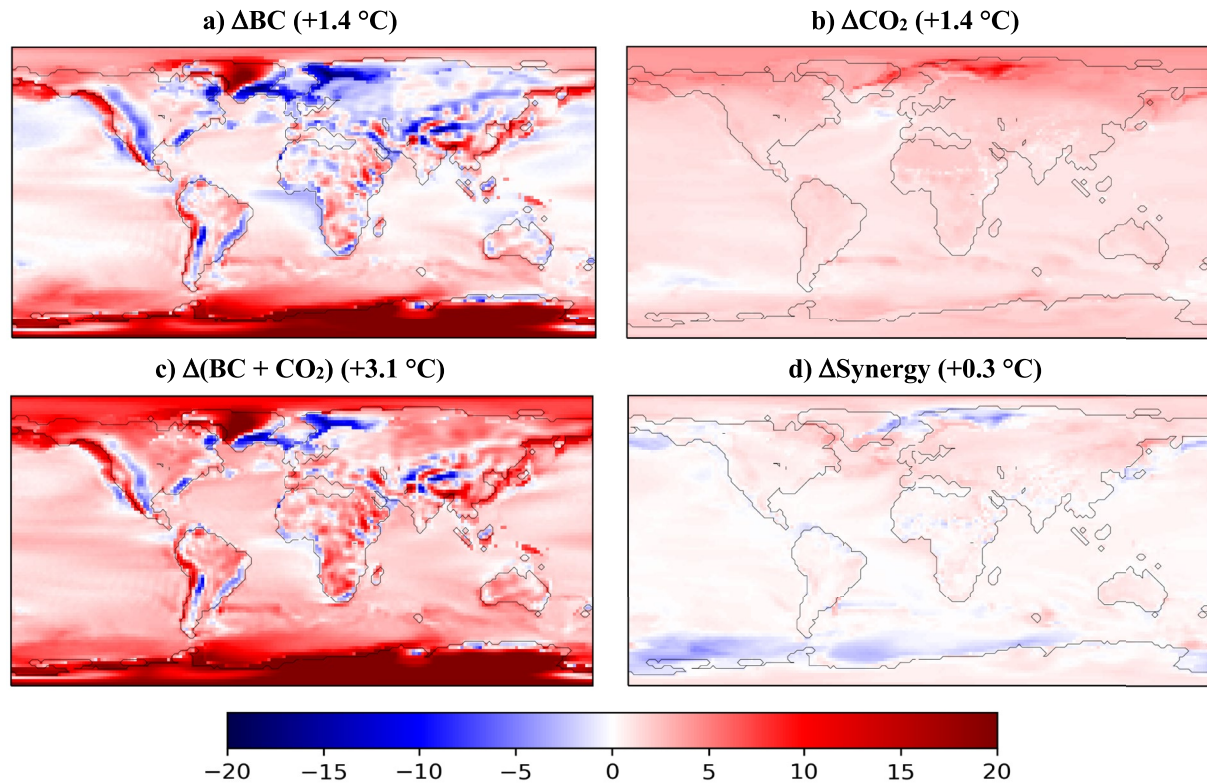
### 3.2. Impact of Atmospheric CO<sub>2</sub> and Synergetic Effects

To evaluate the relative importance of CO<sub>2</sub> concentrations ( $\Delta\text{CO}_2$ ) and non-CO<sub>2</sub> Miocene boundary conditions ( $\Delta\text{BC}$ ) as forcing factors we used a factor separation analysis (Stein & Alpert, 1993). We compare our simulations PI\_450 and MIO\_280 with the preindustrial climate simulation (PI\_CTRL). According to this analysis, the synergy ( $\Delta\text{Synergy}$ ) is the difference of the combined boundary conditions effect ( $\Delta(\text{BC} + \text{CO}_2)$ ) and the singular effects  $\Delta\text{BC}$  and  $\Delta\text{CO}_2$  (Figure 3). The two simulations PI\_450 and MIO\_280 (Figures 3b and 3a) clearly show that changes in the CO<sub>2</sub> concentrations and non-CO<sub>2</sub> boundary conditions strongly alter the global temperature pattern. The global-mean surface temperature increase of ~3.1°C in MIO\_450 can be attributed to the impact of the atmospheric CO<sub>2</sub> increase from 280 to 450 ppm ( $\Delta\text{CO}_2 = +1.4^\circ\text{C}$ ) and the effect of boundary conditions changes other than CO<sub>2</sub> ( $\Delta\text{BC} = +1.4^\circ\text{C}$ ), while the synergy between them is positive ( $\Delta\text{Synergy} = +0.3^\circ\text{C}$ ).

The resulting temperature increase is very pronounced over Antarctica (+30°C), Greenland (+22°C), Weddell Sea and Ross Sea, which is largely controlled by reduced ice sheet height and sea ice cover (SIC) during the Miocene. In contrast, a pronounced cooling occurs in the Nordic Seas and Barents Sea where temperature decreases by -16°C in combination with increased SIC and surface albedo (Figure 2). Temperature changes in this region are related to a Greenland-Scotland Ridge that is shallower than for the preindustrial (Hossain et al., 2020). The relatively shallow Greenland-Scotland Ridge reduces the transport of warmer and saltier Atlantic waters to the Nordic Seas. The reduced exchange of warm salty water across the gateway largely controls the overall temperature and salinity decrease (by up to -6 psu) at the ocean surface in the Nordic Seas and Barents Sea (Figure S3 in Supporting Information S1; Hossain et al., 2020).

The factor separation analysis indicates that warming over the Arctic and Southern Ocean (except for the regions of the Weddell Sea) can be attributed rather equally to both forcing factors (atmospheric CO<sub>2</sub> and non-CO<sub>2</sub> Miocene boundary conditions). The warming at the western border of North America, southern border of Siberia and Tibetan Plateau is related to displacement of the continents (between Miocene and preindustrial; Figure 3a), while the warming over all land masses is due to CO<sub>2</sub> changes (Figure 3b). The surface temperature changes in the Nordic Seas and Barents Sea are dominated by the associated bathymetry changes in these regions that predominantly have a cooling effect on climate.

The Labrador Sea and the North Atlantic (e.g., south of Iceland) are strongly influenced by the positive (i.e., warming) synergy between the non-CO<sub>2</sub> boundary conditions and the CO<sub>2</sub> forcing. In contrast to these



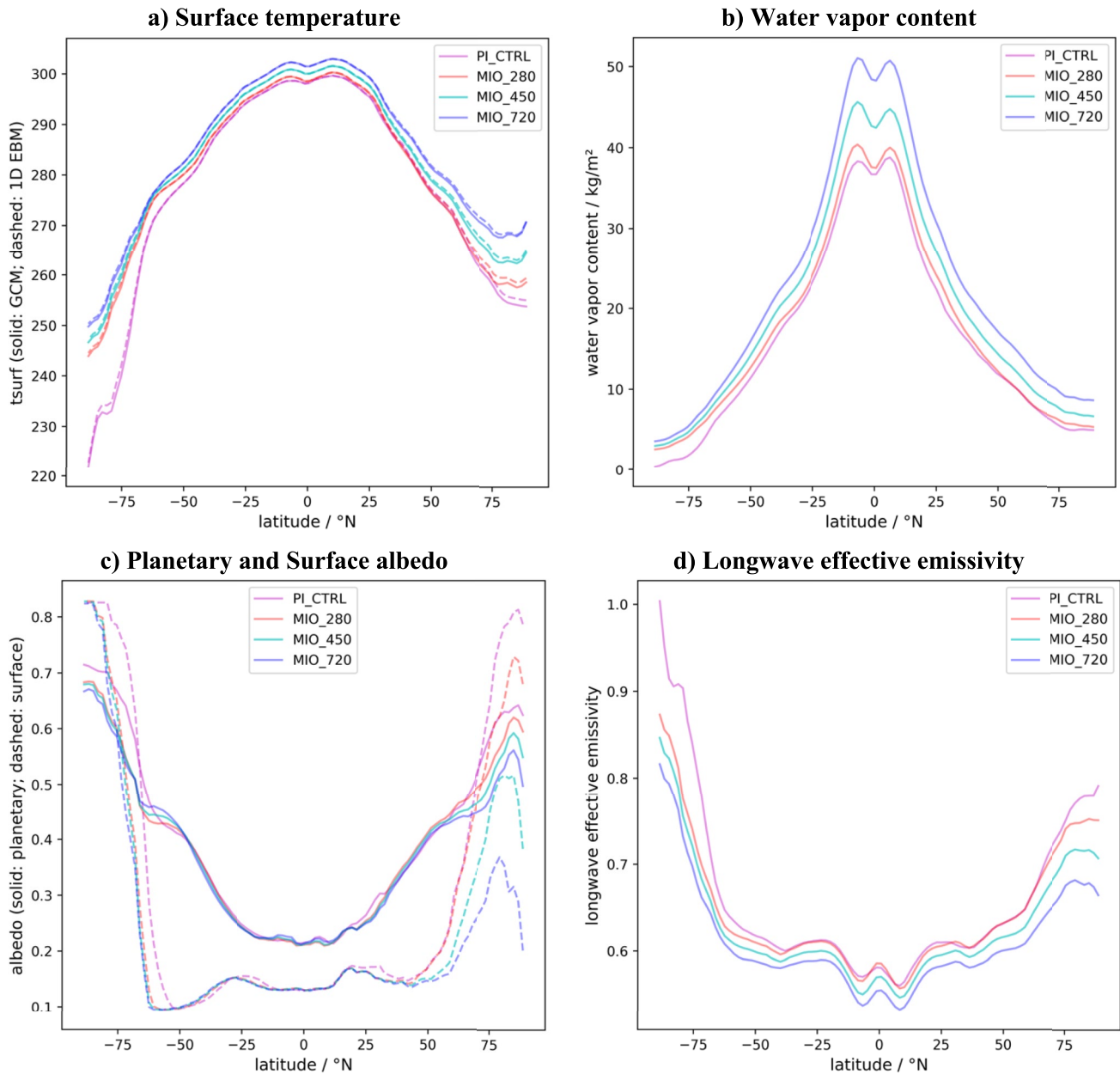
**Figure 3.** Application of a synergy analysis between non-CO<sub>2</sub> boundary conditions and atmospheric CO<sub>2</sub>. Synergy analysis ( $\Delta$ Synergy, (d) between (a) changing non-CO<sub>2</sub> Miocene boundary conditions ( $\Delta$ BC), (b) changing CO<sub>2</sub> ( $\Delta$ CO<sub>2</sub>), and (c) the combined effect  $\Delta$ (BC + CO<sub>2</sub>) with respect to a change in the surface air temperature (SAT in °C).

regions the negative (i.e., cooling) synergy is pronounced over Nordic Seas and Barents Sea. At the southern high-latitudes, the negative synergy effect is pronounced in the Southern Ocean, particularly in the Weddell Sea, the Ross Sea and larger coastal region of the Antarctica (Figure 3). The enhanced synergy impact in these regions can be explained by high temperature sensitivity of sea-ice and associated feedbacks that are already triggered by global temperature change in  $\Delta$ BC and  $\Delta$ CO<sub>2</sub>. Therefore, the combined effect of both forcing factors can cause a weaker warming at regional-scale, as well as an overall positive effect at the global-scale (Figure 3d).

To investigate the dominant mechanisms that govern global surface temperature differences in the high- and low-latitudes responses, we analyze a one-dimensional energy balance model for SAT, which shows a good agreement with the global mean SAT of the earth system model (Table S1 in Supporting Information S1). Deviations between the SAT as diagnosed by the one-dimensional energy balance model and the simulated climate are mainly occurring in the high latitudes (Figure 4a). The increase in zonal mean SAT, that comes with Miocene boundary conditions and increased CO<sub>2</sub>, and that is biased toward the high latitudes, is associated with increased water vapor in the atmosphere, which reduces effective longwave emissivity (Figures 4b and 4d).

Our study suggests that substantial changes in surface albedo (Figure 4c) are vital to explain the Miocene surface warming (Figure 2). We compare the effective longwave emissivity and the planetary albedo of MIO\_450 and PI\_CTRL to quantify the impact on surface warming and to better explain the global radiation balance. The planetary albedo in MIO\_450 is reduced by  $\sim$ 0.01 (relative to PI\_CTRL; 0.30), which causes less shortwave reflection, and, as a result, warming. The emissivity in MIO\_450 also decreases by  $\sim$ 0.02, which is largely governed by a  $\sim$ 19% increase of the water vapor content in the atmosphere (Table 2) and enhances the greenhouse effect. Based on the energy balance model (Heinemann et al., 2009; Lunt et al., 2012) the impact of albedo and emissivity can be quantified (see e.g., Lohmann et al., 2022). About two-thirds ( $\sim$ 1.74 K) of the overall temperature anomaly with respect to PI\_CTRL ( $\sim$ 2.60 K) are due to emissivity, whereas the remainder is due to reduced planetary albedo (Figure 4 and Table S1 in Supporting Information S1).

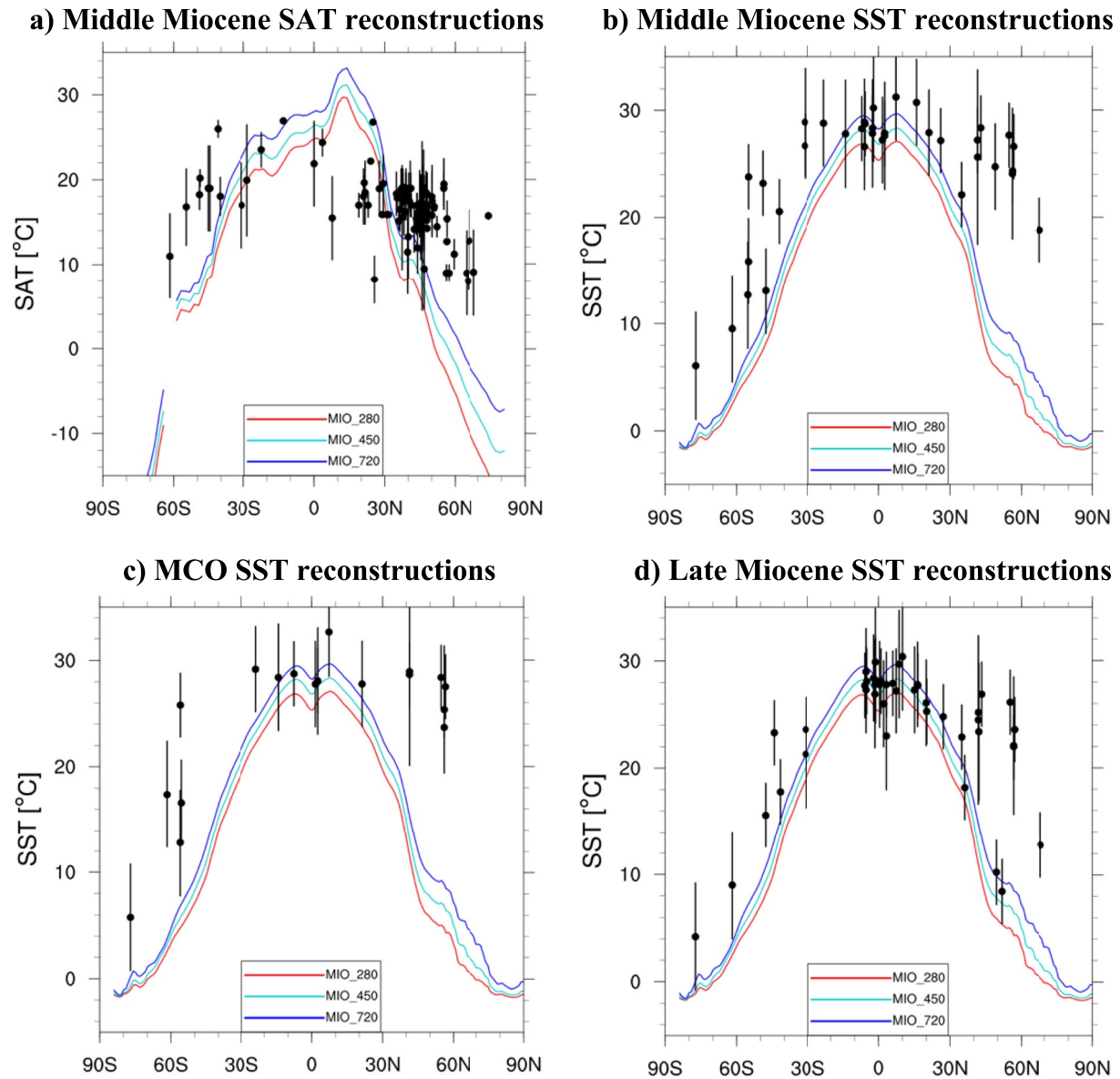




**Figure 4.** Meridional profile of contributors to temperature change in Miocene simulations. (a) Zonal mean profiles of the Miocene surface temperature (in K) as calculated by climate model (GCM; solid lines) and as diagnosed from one-dimensional (1D EBM) energy balance model (dashed lines); (b) vertically integrated water vapor content in the GCM; (c) surface albedo, simulated by the GCM (dashed), and planetary albedo, diagnosed from the 1D EBM (solid); (d) longwave effective emissivity diagnosed from the 1D EBM.

### 3.3. Data-Model Comparison

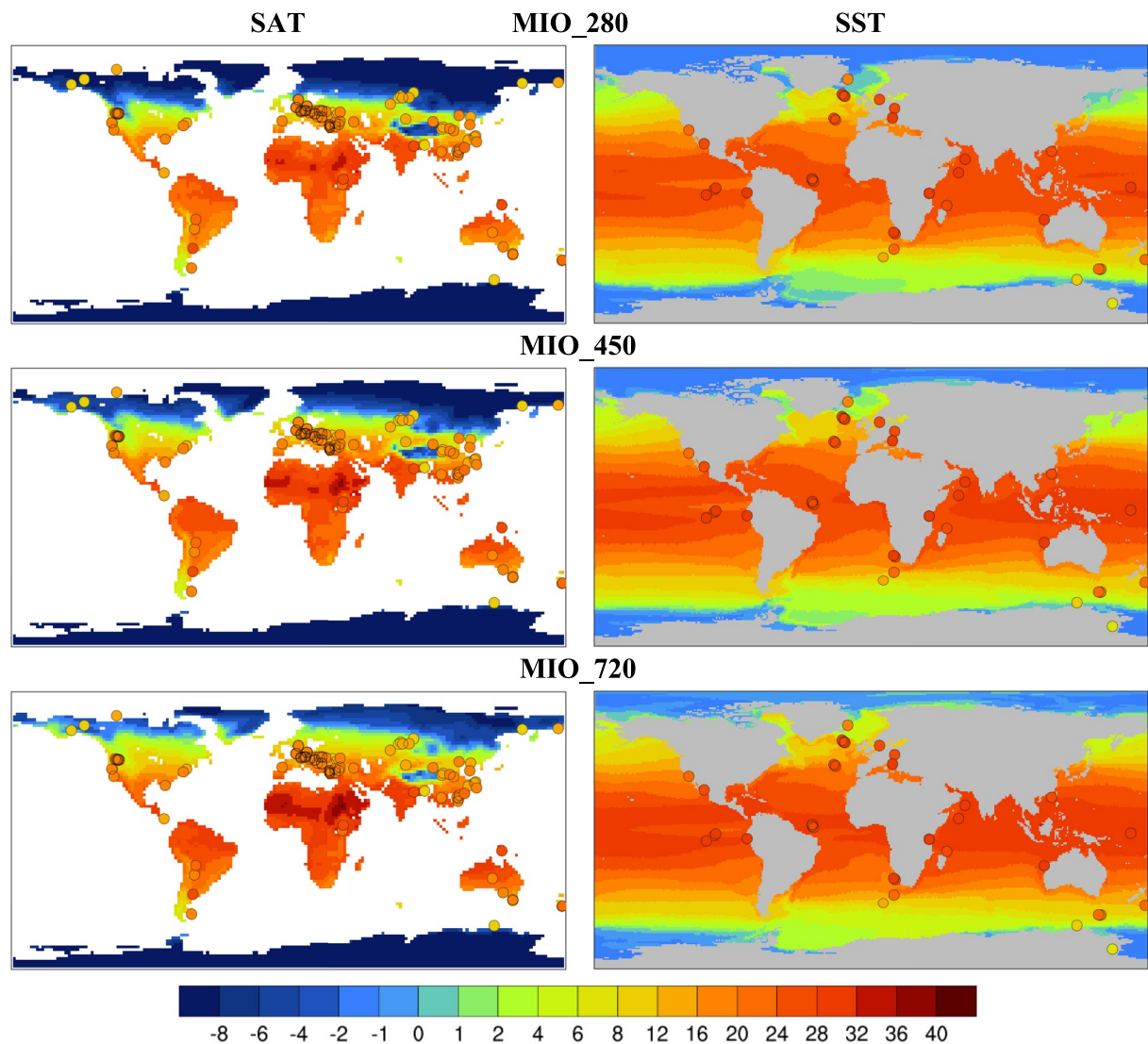
We compare the simulated annual-mean surface temperatures of land and ocean for Miocene experiments against available proxy data estimates of Middle Miocene, MCO and Late Miocene temperature proxy reconstructions (for details of the proxy compilation please see Tables S4 and S5; Burls et al., 2021; Lawrence et al., 2021 and references therein). Reconstructed temperatures are compared to zonal means of simulations and spatial patterns of simulated surface temperatures are shown in Figures 5 and 6 alongside a data set of Middle Miocene temperature proxy reconstructions (Burls et al., 2021; Lawrence et al., 2021). Both the terrestrial and SST proxies of the Middle Miocene indicate a reduced meridional temperature gradient while the model simulates a substantial meridional temperature gradient (Figures 5a and 5b). The model simulations appear to demonstrate



**Figure 5.** (a) Zonal-annual-mean surface air temperature (SAT; in °C) for all Miocene experiments. The circles localize Middle Miocene terrestrial temperature reconstructions (Burls et al., 2021). Zonal-annual-mean sea surface temperature (SST; in °C) for all Miocene experiments are shown in (b–d). The circles localize (b) Middle Miocene, (c) Miocene Climatic Optimum (MCO) and (d) Late Miocene sea surface temperature reconstructions (Table S5).

a reasonable fit with the low-latitude Middle Miocene SST records and the mid-latitude Middle Miocene SAT records (Figures 5b and 6). Simulations generally suffer from cold biases outside of the tropics. Modeled mid- to high-latitude warmth tends to show better agreement with the proxy data as CO<sub>2</sub> concentrations increase.

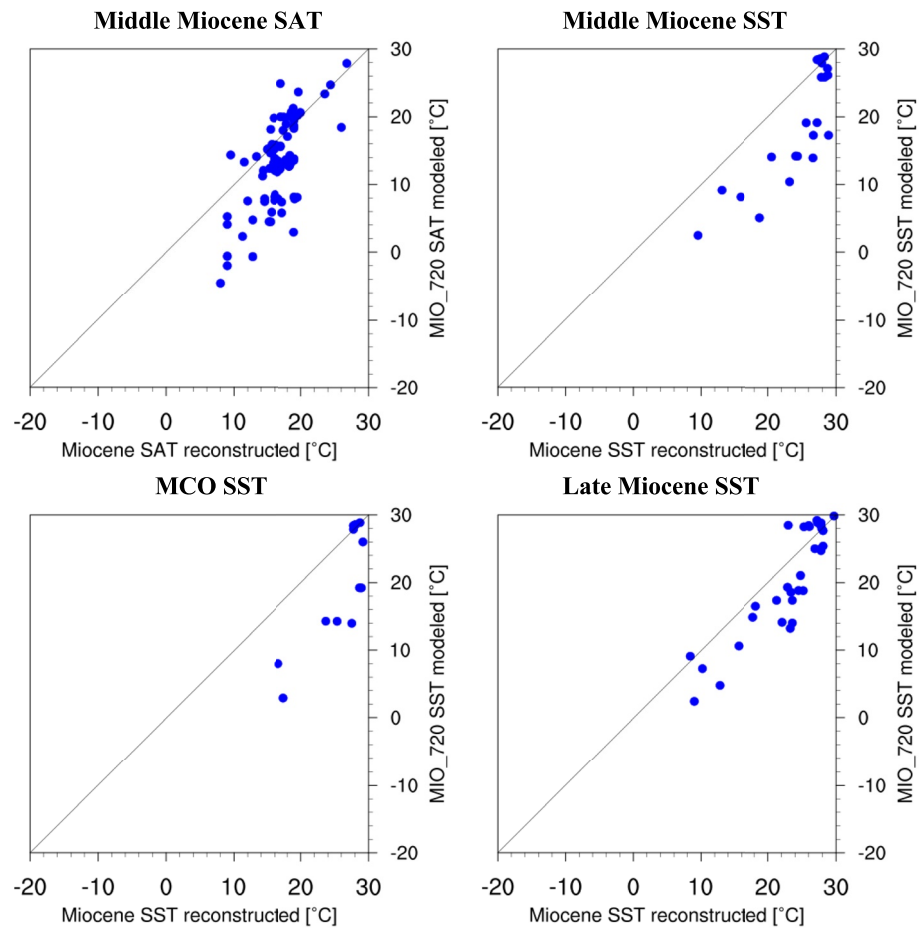
We detect cold SST biases in the Southern Ocean and the North Atlantic (Figure 6). In general, model simulations capture low to mid-latitude temperature distribution of the proxy data, but fail to capture the full extent of Miocene polar amplified warmth observed in the proxy records (Figures 5a and 5b). The nature of this mismatch can be explained by observing the equator-to-pole temperature gradient that is 4.9–9.9°C larger in the simulations than in the proxy reconstructions (Table 2). A reduction in modelled meridional temperature gradient is detected as CO<sub>2</sub> concentrations increase. Our simulations, MIO\_450 and MIO\_720 are roughly  $5.8 \pm 0.8^\circ\text{C}$  and  $4.5 \pm 0.8^\circ\text{C}$  colder compared to the SST calculated from the proxy records presented here ( $\sim 24.5 \pm 0.8^\circ\text{C}$ ; Burls et al., 2021). However, the model simulations show general agreement and a high and significant correlation coefficient with proxy data. The most significant correlation coefficient and lowest root-mean-square error (RMSE) with SST



**Figure 6.** Global annual mean surface temperature of different Miocene experiments compared with the Middle Miocene mean annual surface air temperature (SAT; in °C) and sea surface temperature (SST; in °C) reconstructions. Background color fill: simulated global pattern of annual mean SAT and SST (in °C; left: SAT; right: SST). Colors of circles show the temperature as recorded by different proxy records, respectively.

records is detected for the Miocene simulation with 720 ppm of CO<sub>2</sub> ( $R = 0.86$ ,  $RMSE = 7.1$ ; Figure 7; Table S2 in Supporting Information S1). However, correlation coefficients of other simulations are very similar. Terrestrial temperature proxies also demonstrate the lowest RMSE with the MIO\_720 simulation.

Deviation between model and reconstructions becomes larger when we consider the MCO SST proxies (Figure 5; Table S2 in Supporting Information S1). Our model simulations struggle to reproduce the elevated temperatures and reduced meridional temperature gradient estimated by the MCO SST proxies. In our experiments, the low-latitudes appear to provide a reasonable fit with Late Miocene proxies while mid- to high-latitudes are too cold (Figure 5 and Figure S4 in Supporting Information S1). We find most significant correlation coefficient and lowest deviations for the simulation with 720 ppm of CO<sub>2</sub> ( $R = 0.90$ ,  $RMSE = 4.3$ ; Table S2 in Supporting Information S1). Overall, we find that model simulations have better alignment with Late Miocene proxies than with reconstructions of Middle Miocene and MCO (Figure 7 and Figure S5 in Supporting Information S1). We note that the overall disagreement of simulated and reconstructed climate (i.e., a relatively cold climate state in the model) is evident in different regions, and in particular at the high latitudes (Figures 5 and 6). Furthermore, we remark that, despite the relatively long model integration, the overall energy balance of the Earth System is not yet in equilibrium, with the net energy flux into the Earth System being positive and increasing with the prescribed



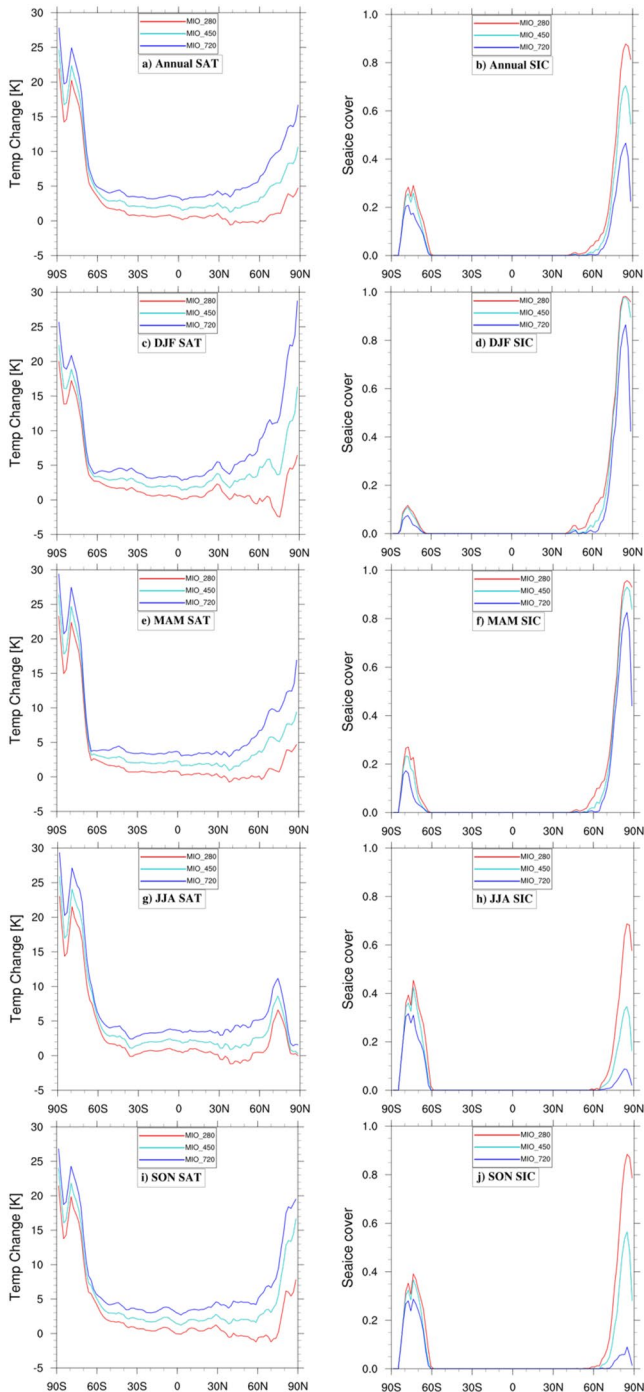
**Figure 7.** Comparison of reconstructed annual mean Miocene temperature changes versus Miocene experiment (that fits best with proxy reconstructions; MIO\_720). All other cases are shown in Supporting Information S1 (Figure S5). The black line represents the 1:1 slope that indicates a perfect fit between reconstruction and simulation.

level of carbon dioxide (Table S1 in Supporting Information S1). We suggest that prolonged integration of the model could reduce the model data mismatch in particular in those regions where (polar) amplification of global warming is large (Figures 5 and 8), which have an overlap with regions of substantial model data mismatch.

### 3.4. Meridional Temperature Changes at Elevated CO<sub>2</sub> Concentration

Across the Miocene simulations (at different atmospheric CO<sub>2</sub> concentrations) the magnitude of high-latitude warming spans 10.2–13.3°C in the Southern Hemisphere and 1.7–11.8°C in the Northern Hemisphere compared to preindustrial, while low-latitude warming spans 0.6–3.4°C (Figure 8). We observe substantial polar amplified warmth in the high latitudes of both hemispheres across all Miocene simulations. In the higher northern latitudes, there is a pronounced polar amplification effect for CO<sub>2</sub> increase from 280 to 450 ppm (latitudinal mean surface temperature increase by ~5.4°C; latitudes >80°N). The effect is weaker for the same radiative CO<sub>2</sub> forcing change from 450 to 720 ppm (latitudinal mean surface temperature increase by ~4.7°C; latitudes >80°N) (Figure 8a). That means the impact of the CO<sub>2</sub> forcing is less pronounced at higher levels of CO<sub>2</sub> forcing. Temperature difference at low latitudes, is almost constant independent of the background level of CO<sub>2</sub>.

Our warmest Miocene climate state with a CO<sub>2</sub> level of 720 ppm is characterized by a breakdown of seasonality in the Arctic Ocean. We detect a pronounced warming in boreal winter (December-January-February; DJF mean surface temperature increase by ~10.9°C) for a CO<sub>2</sub> increase from 450 to 720 ppm, in contrast to a moderate boreal summer (June-July-August; JJA) temperature increase (mean surface temperature increase by ~1.0°C; Figure 8 and Table 2). The change in the boreal summer temperature signature is accompanied by a strong sea-ice



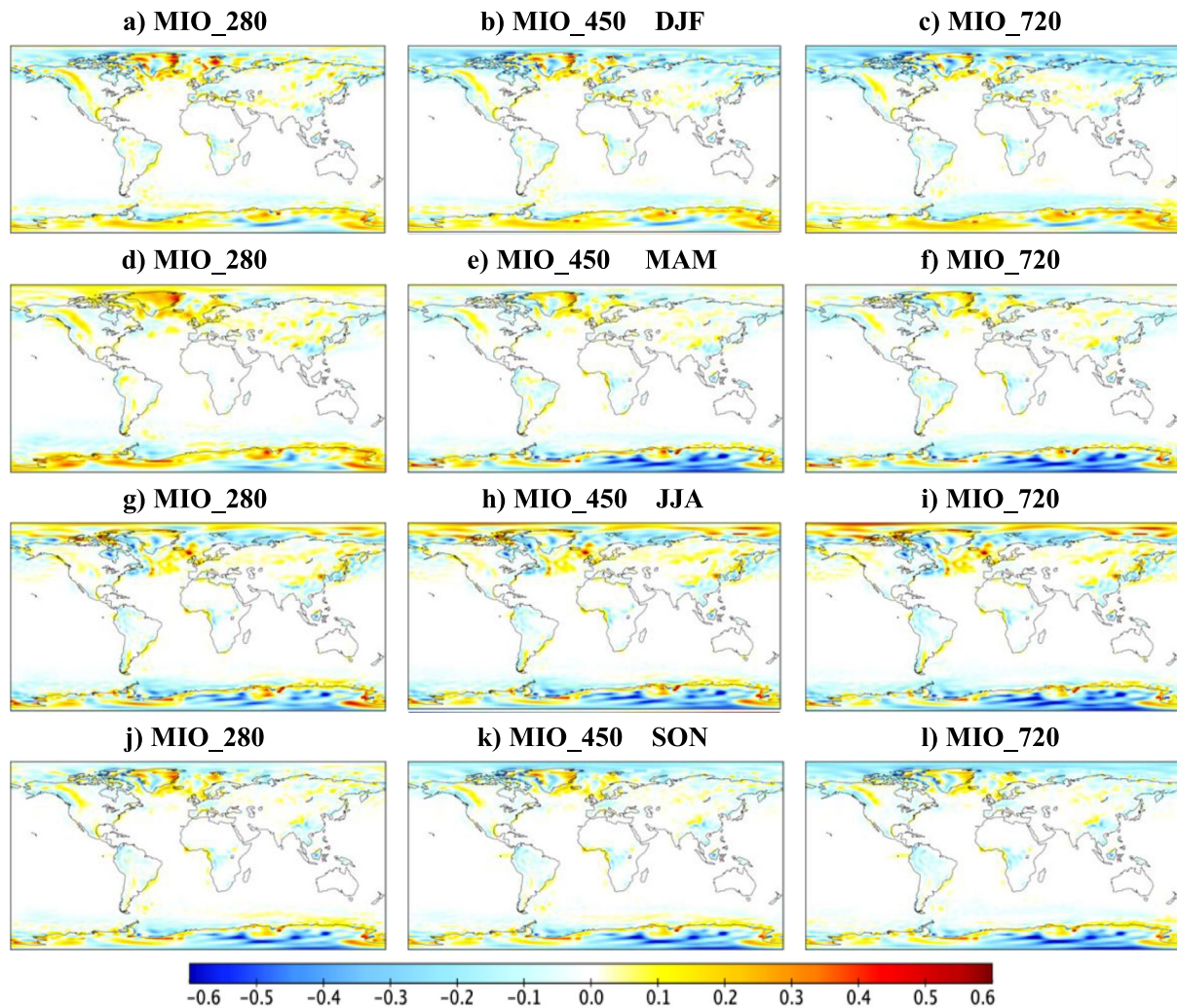
**Figure 8.** Zonal means of surface air temperature (SAT; left) and sea ice cover (SIC; right). Mean SAT change of Miocene experiments relative to the preindustrial state shown as (a) annual mean, (c) December-January-February (DJF), (e) March-April-May (MAM), (g) June-July-August (JJA) and (i) September-October-November (SON). Zonal mean SIC of Miocene experiments shown as (b) annual mean, (d) DJF, (f) MAM, (h) JJA and (j) SON.

concentration decline (Figure 8 and Figure S6 in Supporting Information S1) that promotes high-level cloud formation in the summer months via enhanced moisture availability (Figure 9 and Figures S7 and S8 in Supporting Information S1). As a consequence of enhanced cloud formation in the boreal summer months, the planetary albedo increases (Figure S9 in Supporting Information S1) which enhances reflection of solar radiation. It dampens the temperature response to the CO<sub>2</sub> forcing at a warmer Miocene background climate. In contrast, decreased sea ice extent and turbulent surface heat fluxes increase humidity in the lower atmosphere during boreal winter, which increases the low-level cloud cover (Figure S10 in Supporting Information S1). During polar night, this enhances downward longwave radiation, leading to a positive cloud-sea ice feedback. The heat released by the ocean and the cloud-sea ice feedback induce a pronounced warming in boreal winter (~22.2°C, relative to preindustrial; Table 2; Figure 9 and Figure S8 in Supporting Information S1). In addition, we detect a pronounced Arctic warming in boreal fall (September-October-November; SON) for a CO<sub>2</sub> increase from 280 to 450 ppm (mean surface temperature increase of ~8.9°C), in comparison to a weaker temperature increase for a CO<sub>2</sub> change from 450 to 720 ppm (mean surface temperature increase of ~3.2°C; Figure 8i and Table 2). The heat released by the ocean and the cloud feedbacks (high-level cloud cover is reduced, low-level cloud cover is increased) induce a pronounced warming in boreal fall for a CO<sub>2</sub> increase from 280 to 450 ppm (Table 2; Figure 9, Figures S7 and S10 in Supporting Information S1). The dampening of Arctic amplification to the same radiative forcing for a CO<sub>2</sub> change from 450 to 720 ppm is induced by moderate cloud feedbacks (Figures S7 and S10 in Supporting Information S1). Finally, we detect a similar moderate Arctic warming in boreal spring (March-April-May; MAM) for the same radiative CO<sub>2</sub> forcing changes from 280 to 450 ppm (mean surface warming of ~4.6°C) and 450–720 ppm (~4.3°C; Figure 8e).

#### 4. Discussion

Findings derived from our climate simulations (Table 2) suggest a global annual average warming similar to previously published Middle Miocene climate simulations by Krapp and Jungclaus (2011), who found a global mean SAT of 17.1–19.2°C (at a CO<sub>2</sub> level of 480–720 ppm). Our simulated Miocene climate (based on CO<sub>2</sub> concentrations in the range of 280–720 ppm) shows a global mean SST of 17.5–20.0°C which is in good agreement with the Early to Middle Miocene simulations studied by Burls et al. (2021), but colder (3.7–6.7°C) than the global mean surface temperature estimates for the Middle Miocene (24.46°C ± 0.81°C) based on the compiled proxy SST synthesis (Burls et al., 2021). The modeled Miocene climate (MIO\_450) exhibits a sensitive SAT response (+1.4°C) to CO<sub>2</sub> increase, which is governed by various climate feedbacks, such as water vapor (Soden & Held, 2006; +19% increase compared to preindustrial; Table 2) and sea-ice changes (Figure S6 in Supporting Information S1; Soden & Held, 2006; Knorr et al., 2011).

Non-CO<sub>2</sub> Miocene boundary conditions employed by us (including paleobathymetry and ice sheet height) raise global temperature by +1.4°C in agreement with previous estimates (Burls et al., 2021). Strong regional warming is detected in response to reduced height of the Antarctic ice sheet and absence of a Greenland ice sheet but the influence is limited beyond the high latitudes of both hemispheres (Burls et al., 2021). The largest contributor of warming relative to preindustrial (Figure 2) is caused by atmospheric CO<sub>2</sub> and land surface characteristics changes (e.g., surface albedo) that are linked with aspects of the global energy



**Figure 9.** Global high-level cloud cover change of Middle Miocene experiments relative to the pre-industrial climate states (PI\_CTRL) shown for (a–c) December-January-February (DJF), (d–f) March-April-May (MAM), (g–i) June-July-August (JJA) and (j–l) September-October-November (SON).

balance (e.g., effective longwave emissivity, planetary albedo; Figure 4; Burls et al., 2021; Knorr et al., 2011). Our climate simulations found a sea surface cooling in the Nordic Seas that is likely related to a relatively shallow Greenland-Scotland Ridge and the associated ice-albedo feedback, which is in agreement with the findings by Hossain et al. (2020).

During the MCO, different proxy reconstructions suggest that SSTs were 8–10°C warmer than preindustrial at high-latitudes of the Southern Hemisphere (Shevenell et al., 2004), 10–15°C warmer in the Northern Hemisphere (Super et al., 2020) and ~5–8°C warmer in the deep ocean (Lear et al., 2015), leading to a global mean surface warming of  $\sim 7.6 \pm 2.3^\circ\text{C}$  compared to preindustrial (Goldner et al., 2014). Results of our Miocene simulations are in agreement with this reconstructed range of temperature. The equator-to-pole gradient is 4.9–9.9°C larger in our simulations than that derived from proxy data ( $\sim 17^\circ\text{C}$ ; Goldner et al., 2014). However, our Miocene climate simulations demonstrate a reasonable fit with low-latitude Middle Miocene SST and mid-latitude Middle Miocene SAT records. In general, the model simulations capture low- to mid-latitude temperature distributions of the proxy data. Both Middle Miocene terrestrial and SST proxies indicate a reduced meridional temperature gradient, while the model simulates a weakened, but in relation to reconstructions still pronounced meridional temperature gradient. The degree of weakening of the meridional temperature gradient and polar amplified warming increases in the simulations with prescribed  $\text{CO}_2$  levels, but generally fails to capture the full extent of weakening of the reconstructed meridional temperature gradient observed in the proxies, a finding supported

by a previous study of Burls et al. (2021). It is noteworthy that our model simulations are not fully equilibrated, which leading the possibility that a part of the model data mismatch might be alleviated by further integration of the model (see Section 3.3).

The Miocene climate simulated by us is subject to weaker polar amplification at high northern latitudes (by 0.7°C) for CO<sub>2</sub> increase from 450 to 720 ppm relative to a similar change in radiative CO<sub>2</sub> forcing from 280 to 450 ppm (Figure 8). In polar regions, many feedback parameters are highly dependent on the presence of water in different phases and on the state of the system close to the freezing point (Goosse et al., 2018). Phase changes play a critical role in clouds of the polar region, leading to strong non-linearities in the cloud feedback (Mitchell et al., 1989; Zelinka et al., 2012). Moreover, as temperature increases, the surface area covered by ice or snow decreases at high-latitudes and the feedback strength is lowered (Goosse et al., 2018). Therefore, surface warming tends to be non-linear (deviation from the logarithmic curve) as CO<sub>2</sub> levels increase (Lunt et al., 2021), which supports our results.

Seasonal paleoclimate data suggest that polar amplification has a large seasonal cycle (Goosse et al., 2018; Utescher & Mosbrugger, 2007). The mean warming is at a minimum during boreal summer and maximum during boreal winter/fall with a peak in November in the Arctic Ocean (Lañé et al., 2016; Utescher & Mosbrugger, 2007). This result is again reproduced in our analysis of Miocene climate simulations. In a warmer climate, cloud cover increases (Figure S10 in Supporting Information S1), which increases the planetary albedo as well as the amount of reflected solar radiation. This process chain acts as a negative cloud optical depth feedback (Goosse et al., 2018). On the other hand, declining sea ice concentration during polar night (Figure 8) results in greater low-level clouds (Figure S10 in Supporting Information S1) and enhanced downwelling longwave radiation, leading to a positive cloud feedback. In boreal winter/fall, heat released by the ocean and cloud feedbacks induce a pronounced warming (Figures 8 and 9; Figure S8 in Supporting Information S1; Lañé et al., 2016; Goosse et al., 2018).

The inability of our model to capture the full extent of the reduction of meridional temperature gradient and polar amplified warmth reflected in proxies is an issue that is not only unique to either our model or to climate simulations of the Miocene epoch, but also seen in different paleoclimate modeling studies spanning the Cenozoic (Burls et al., 2021; Goldner et al., 2014; Haywood et al., 2020; Huber & Caballero, 2011; Krapp & Jungclauss, 2011; Steinthorsdottir et al., 2021). It is likely that our interpretation or understanding of proxy data signals is limited (Ho & Laepple, 2016) and our knowledge of important physical parameters or positive feedbacks is missing or incomplete to explain how climatic processes and trends are related to reconstructed temperature changes. However, implementation of enhanced ocean mixing (Lohmann et al., 2022), state-of-the-art parameterizations of cloud-aerosol interactions (Feng et al., 2019; Kiehl & Shields, 2013; Lunt et al., 2021; Zhu et al., 2019; Zhu & Poulsen, 2019) and improved representation of tidal mixing (Green & Huber, 2013; Lohmann, 2020) might improve the ability of models to simulate Miocene warmth and to reduce disagreement between modeled and reconstructed meridional temperature gradients. Model simulations with elevated CO<sub>2</sub> concentration, up to 1,100 ppm as recently reconstructed for the Early-Middle Miocene including the MCO by Herbert et al. (2022), might also provide a better fit between climate simulations and reconstructed temperatures.

## 5. Conclusions

By means of the state-of-the-art climate model AWI-ESM2.1, we have simulated Miocene climate states at different atmospheric CO<sub>2</sub> concentrations and evaluated the effect of model boundary conditions during the Middle Miocene. We estimate a global mean surface warming of +3.1°C relative to the preindustrial state at a CO<sub>2</sub> level of 450 ppm. The atmospheric CO<sub>2</sub> increase from 280 to 450 ppm provides an individual warming contribution of ~1.4°C, which is as strong as all non-CO<sub>2</sub> Miocene forcing contributions combined (~1.4°C). In combination with ice-albedo feedbacks, the resulting temperature change is largely pronounced at high-latitudes. A substantial cooling appears in the Nordic Seas which is associated with a relatively shallow Greenland-Scotland Ridge in comparison to modern bathymetry and in combination with ice-albedo changes. Our simulated surface temperatures fit well with proxy reconstructions except in the high-latitudes. Incomplete model equilibration may provide a partial explanation for this finding. The high-latitude cooling bias is least pronounced in our simulation with a CO<sub>2</sub> concentration of 720 ppm. The most significant correlation coefficient and lowest RMSE with terrestrial and SST records are detected for the simulation with the highest CO<sub>2</sub> level. Our climate simulation with a CO<sub>2</sub> level of 720 ppm shows reduced polar amplification, since the warmest Miocene climate state is

characterized by a breakdown of seasonality in the Arctic Ocean. We detect a pronounced warming in boreal fall for a CO<sub>2</sub> increase from 280 to 450 ppm, in comparison to a weaker warming for the same radiative CO<sub>2</sub> forcing changes from 450 to 720 ppm. This change in temperature sensitivity to the same radiative forcing is induced by more pronounced cloud feedbacks in the forcing window from 280 to 450 ppm. Moreover, a pronounced warming in boreal winter is detected for the simulations with higher CO<sub>2</sub> levels, which is in contrast to a moderate boreal summer warming response. The change in the seasonal temperature response is accompanied by a strong sea-ice concentration decline. Enhanced moisture availability promotes cloud formation during the summer months. As a consequence, planetary albedo increases (i.e., the reflection of solar radiation is enhanced) and dampens the temperature response to the CO<sub>2</sub> forcing in a warmer Miocene background climate.

Overall, our model simulations show general agreement and a significant correlation coefficient with proxy data and are in the range of other published Early to Middle Miocene simulations. Future sensitivity studies can use our model setup and evaluate the effect of high-resolution global paleobathymetry (implemented in our study) in combination with plausible mechanisms, that have been suggested to reduce model-reconstruction mismatches, on ocean circulation and climate. Promising candidates, that might be required for providing more realistic climatic response for the Miocene, are sensitivity studies with enhanced vertical mixing in the ocean (Lohmann et al., 2022), state-of-the-art parameterizations of cloud-aerosol interactions (Lunt et al., 2021; Zhu & Poulsen, 2019; Zhu et al., 2019), changes in aerosols (Lunt et al., 2021), as well as improved representation of tidal mixing (Green & Huber, 2013; Lohmann, 2020).

### Conflict of Interest

The authors declare no conflicts of interest relevant to this study.

### Data Availability Statement

Data from this study is available for further use through PANGAEA (Hossain et al., 2022). *Code availability:* The standard source code of the FESOM2 (Finite Element Sea ice-Ocean Model) is available to the public via GitHub (<https://github.com/FESOM/fesom2/>). The ECHAM6 model is available upon request from the Max Planck Institute (MPI) for Meteorology in Hamburg (<https://mpimet.mpg.de/en/science/modeling-with-icon/code-availability>).

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## Erratum

In the originally published version of this article, the following sentence in the caption to figure 8 contained an error: “Zonal mean SIC of Miocene experiments shown as (b) annual (top row), (d) DJF, ( ) MAM, (i) JJA and (j) SON.” The sentence has been corrected to read “Zonal mean SIC of Miocene experiments shown as (b) annual mean, (d) DJF, (f) MAM, (h) JJA and (j) SON.” This may be considered the authoritative version of record.