Assimilation in the upper troposphere/lower stratosphere: role of radio occultation

Sean Healy

Plus contributions from

Paul Poli, Carla Cardinali, Adrian Simmons, Michail Diamantakis, Mats Hamrud, Steve English, Peter Bauer, Niels Bormann, Florian Harnisch ...

> The EUMETSAT Network of Satellite Application Facilities



http://www.romsaf.org/



Outline

- GPS-RO technique: basic physics, measurement geometry.
 - Processing of GPS-RO measurements, and the "standard" GPS-RO temperature retrieval.
- Assimilation/impact of GPS-RO in NWP and reanalysis.
 - Reduction of stratospheric temperature biases.
 - GPS-RO "null-space"
 - New dataset for model developers.
- Estimate how the GPS-RO impact scales with observation number using and ensemble of data assimilations (EDA).
- Current/future work.
- Summary.



Radio Occultation: Some Background

- Radio occultation (RO) measurements have been used to study planetary atmospheres since 1960's.
- <u>Active technique</u>: How the paths of radio signals are bent by refractive index gradients in an atmosphere (<u>Snel's Law</u>).
- Application to Earth's atmosphere proposed in **1965**, but no obvious source of the radio signals.
- Use of GPS signals discussed at the Jet Propulsion Laboratory (JPL) in late 1980's. In 1996 the "GPS/MET experiment" demonstrated useful temperature information could be retrieved from the GPS RO measurements. GPS-RO.



GPS-RO geometry

(Classical mechanics: deflection in a gravitational field/charged particle by a spherical potential!)



<u>Setting occultation</u>: LEO moves behind the earth. We obtain a profile of bending angles, $\underline{\alpha}$, as a function of impact parameter, \underline{a} .

The *impact parameter* is the distance of closest approach for the straight line path. Determines tangent height, analogous to angular momentum.



GPS-RO characteristics

•Good vertical resolution (Show an example later).

•Poor horizontal resolution:~70% of the bending occurs over a ~450km section of ray-path, centred on the tangent point (point on path closest to surface) – broad horizontal weighting function, with a ~Gaussian shape to first order!

All weather capability: not directly affected by cloud or rain.

The bending is ~1-2 degrees at the surface, falling exponentially with height. The scale-height of the decay is approximately the density scale-height.

A profile of bending angles from ~60km tangent height to the surface takes about 2 minutes. Tangent point drifts in the horizontal by ~200-300 km during the measurement.



Ray Optics Processing of the GPS RO Observations

GPS receivers do not measure bending angle directly! GPS receiver on the LEO satellite measures a series of <u>phase-delays</u>,

 ρ (i-1), ρ (i), ρ (i+1),... at two GPS frequencies:

L1 = 1.57542 GHz L2 = 1.22760 GHz

The phase delays are "**calibrated**" to remove special and general relativistic effects and to remove the GPS and LEO clock errors ("**Differencing**", see Hajj et al. (2002), JASTP, **64**, 451 – 469).

Calculate **Excess phase delays**: remove straight line path delay, $\Delta \rho(i)$.

A time series of Doppler shifts at L1 and L2 are computed by differentiating the **excess phase delays** with respect to time.



Processing of the GPS-RO observations (2)

The ray bending caused by gradients in the atmosphere and **ionosphere** modify the L1 and L2 Doppler values, but **deriving the bending angles**, α , from the Doppler values is an <u>ill-posed</u> problem (an infinite set of bending angles could produce the Doppler).

The problem made **well-posed** by assuming the impact parameter, given by

$$a = nr\sin\phi$$

has the same value at both the satellites (spherical symmetry).

Given accurate position and velocity estimates for the satellites, and making the impact parameter assumption, the bending angle, α , and impact parameter value can be derived simultaneously from the Doppler.



The ionospheric correction

We have to isolate the atmospheric component of the bending angle. **The ionosphere is dispersive. Compute a linear combination of the L1 and L2 bending angles to obtain the "corrected" bending angle.** See *Vorob'ev* + *Krasil'nikov, (1994), Phys. Atmos. Ocean, 29, 602-609.*

$$\alpha(a) = c \alpha_{L1}(a) - (c-1)\alpha_{L2}(a)$$

"Corrected" bending angles

```
Constant given in terms of the L1 and L2 frequencies.
```



How good is the correction? Does it introduce time varying biases? Impact on climate signal detection? I don't think it's a major problem in regions where the GPS-RO information content is largest.



Ionospheric correction: A simulated example



The "correction" is large. Traceability of GPS-RO?



Deriving the refractive index profiles

Assuming spherical symmetry the ionospheric corrected bending angle can be written as:



We can use an Abel transform to derive a refractive index profile

Note the upper-limit of the integral! <u>A priori</u> information needed to extrapolate to infinity.

$$n(x) = \exp\left(\frac{1}{\pi} \int_{a}^{\infty} \frac{\alpha(a)}{\sqrt{a^2 - x^2}} da\right)$$

Aside: This kind of problem is not unique to GPS-RO

J. Phys. D: Appl. Phys., 17 (1984) 721-732. Printed in Great Britain

Interferometry and refraction measurements in plasmas of elliptical cross-section

G J Tallents

Laser Physics Laboratory, Department of Engineering Physics, Australian National University, Canberra, ACT 2600, Australia

Received 9 August 1983

Abstrac . The measurement of electron densities using interferometry and refraction measurements in plasmac with cross-sections where the electron density contours are concentric ellipses is examined. Transforms are found for both interferometrically deduced optical path-length differences and refraction angle data obtained from elliptical cross-section plasmas, which in the limit of small amounts of refraction, adjust the data to values which appear as if they were obtained from equivalent circular cross-section plasmas. The transformed data can be inverted to give chotece densities using standard techniques developed for circular cross-section plasmas e.g. Abel inversion). To check the accuracy of the transforms for moderate to large amounts of refraction (>0, rrad), refraction of light in elliptical cross-section plasmas is examined using numerical ray tracing.

Laser produced plasma paper from <u>1984</u>.





Refractivity and Pressure/temperature profiles: "Standard or **Classical retrieval**"

The refractive index (or refractivity) is related to the pressure, temperature and vapour pressure using two experimentally determined constants (from the 1950's and 1960's!)

$$N = 10^{6}(n-1)$$

refractivity ~

 $=\frac{c_1 P}{T} + \frac{c_2 P_w}{T^2}$

This two term expression is probably the simplest formulation for refractivity, but it is widely used in GPS-RO.

We now use an alternative three term formulation, including non-ideal gas effects

If the water vapour is negligible, the 2^{nd} term = 0, and the refractivity is proportional to the density

$$N \approx \frac{c_1 P}{T} = c_1 R \rho \longleftarrow$$

So we have retrieved a vertical profile of density!



"Classical" retrieval

We can derive the pressure by integrating the **hydrostatic** equation

$$P(z) = P(z_u) - \frac{1}{c_1 R} \int_{z_1}^{z_u} N(z)g(z)dz$$

The temperature profile can then be derived with the ideal gas law:

$$T(z) = c_1 \frac{P(z)}{N(z)}$$

GPSMET experiment (1996): Groups from JPL and UCAR demonstrated that the retrievals agreed with co-located analyses and radiosondes to within 1K between ~5-25km.

EG, See Rocken et al, 1997, JGR, 102, D25, 29849-29866.



GPS/MET Temperature Sounding

(Kursinski et al, 1996, Science, 271, 1107-1110, Fig2a)





GPS-RO limitations – upper stratosphere

In order to derive refractivity the **(noisy – e.g. residual ionospheric noise)** bending angle profiles must be extrapolated to infinity – **i.e., we have to introduce** *a-priori*. This blending of the observed and simulated bending angles is called "**statistical optimization**". The refractivity profiles above ~35 km are sensitive to the choice of *a priori*.

The temperature profiles require *a-priori* information to initialise the hydrostatic integration. Sometimes ECMWF temperature at 45km!

<u>I would be sceptical</u> about any GPS-RO temperature profile above <u>~35-40 km</u>, <u>derived with the *classical approach*</u>. It will be very sensitive to the *a-priori*!



Limitations – lower troposphere

Horizontal gradient errors caused by the assumption of local spherical symmetry (variation of humidity over 100's km).

Atmospheric Multipath processing – more than one ray is measured by the receiver at a given time:



Single ray region - ray optics approach ok!

Multipath: More than one ray arrives at the receiver. They interfere.

Wave optics retrievals: *Full Spectral Inversion*. Jensen et al 2003, *Radio Science*, **38**, 10.1029/2002RS002763. (Also improve vertical. res.) Improved GPS receiver software: Open-loop processing.



Use of GPS-RO in NWP

- The major Global NWP centres now assimilate GPS-RO measurements from Metop-A and Metop-B GRAS, COSMIC and some research missions (eg, GRACE-A/B, TSX).
- NWP centres assimilate either:
 - Bending angle profiles (ECMWF, MF, NCEP, Met Office, DWD, NRL, JMA)
 - Refractivity (Env. Can., ...?)
- <u>NWP centres assimilate the measurements without bias</u> <u>correction using a 1D operator.</u>
- Essentially treat the information as a profile, not a 2D, limb measurement. NWP centres have generally very found good impact on temperatures between ~7-35 km.



ECMWF Data Coverage (All obs DA) - GPSRO 18/Mar/2014; 00 UTC Total number of obs = 101228







Current assimilation at ECMWF

We assimilate bending angles with a 1D operator. We ignore the 2D nature of the measurement and integrate

$$\alpha(a) = -2a \int_{a}^{\infty} \frac{d\ln n}{\sqrt{dx}} dx$$

• The forward model is quite simple:

Convenient variable (x=nr) (refractive index * radius)

- evaluate geopotential heights of model levels
- convert geopotential height to geometric height and radius values
- evaluate the refractivity, N, on model levels from P,T and Q.
- Integrate, assuming refractivity varies (exponentially*quadratic) between model levels. (Solution: Gaussian error functions).
- Following NCEP + MF, we now include tangent point (2011).
- 2D operator being tested currently at ECMWF (CY40R3).



1D bending angle weighting function $\left(\frac{\partial \alpha}{\partial T}\right)$

(Normalised with the peak value)



(See also Eyre, ECMWF Tech Memo. 199.)

Weighting function peaks at the pressure levels above and below the ray tangent point. Bending related to vertical gradient of refractivity:



Increase the T on the Iower level – reduce the N gradient – less bending!

Increase the T on the **upper level** – increase N gradient more bending!

Very sharp weighting function in the vertical – we can resolve structures that nadir sounders cannot!



GPS-RO and IASI: 1DVAR simulations

Healy and Collard 2003, QJRMS:

Power to resolve a peak-shaped error in background: Averaging Kernel.





Assumed (global) observation errors and actual (o-b) departure statistics





Impact at ECMWF

- ECMWF has assimilated GPS-RO bending angles operationally since December 12, 2006.
- Main impact on upper-tropospheric and lower/mid stratospheric temperatures.
 - GPS-RO measurements are assimilated without bias correction, so they can correct (<u>some</u>) model biases.
 - Very good vertical resolution, so they can correct errors in the "null space" of the radiance measurements.



Impact of GPS-RO on ECMWF operational biases against radiosonde measurements





Fractional improvement in the southern hemisphere geopotential height RMS scores



Similar results obtained at the other major NWP centres.



Stratospheric ringing problem over Antarctica reduced by assimilating GPS-RO





BUT GPS-RO has a "null space"

 The measurement is related to density (~P/T) on height levels and this ambiguity means that the effect of some temperature perturbations can't be measured. Assume two levels separated by z1, with temperature variation T(z) between them. Now add positive perturbation ΔT(z)~k*exp(z/H), where H is the density scale height



 The density as a function of height is almost unchanged. A priori information required to distinguish between these temperature profiles. (Height of a pressure level).



<u>Null space</u> – how does this temperature difference at the S.Pole propagate through the observation operator



The null space arises because the measurements are sensitive to $\sim P(z)/T(z)$. A priori information is required to split this into T(z) and P(z).



Compare with Steiner et al (Ann.Geophs., 1999,17, 122-138)







Heights where GPS-RO is reducing the 24 hr forecast errors in ECMWF system using adjoint approach Mid-Latitude Winter Atmosphere 50 49 48 47 46 45 44 43 42 41 40 Expected RO+IAS Retrieval Error ~7-35 km: Core region 10 Pressure (mb) 39 38 37 36 35 34 33 32 31 30 29 28 27 26 25 24 23 22 21 etrisvol 100 Background Error Expected IASI Retrieval Error ŝ 1000 0.5 0.0 1.0 1.5 2.0 ~50 hPa Temperature Error (K) 20 19 18 17 16 15 14 13 12 11 ~200hPa 5 3 2 2 6 7 0 1 3 4 5 8 9 10 FEC %

Remark: Agrees with early 1D-Var information content studies.



GPS-RO and the bias correction of radiances

 "Bias correction schemes need to be grounded by a reference." The reference measurements are often called "anchor" measurements.

 GPS-RO is assimilated without bias correction – its an "anchor measurement".

- Demonstrated value in both NWP and reanalysis systems.
- See also work by Josep Aparicio and Lidia Cucurull.



Recent experiment removing GPS-RO from ERA-Interim (Dec. 08, Jan-Feb 09)

 Impact on bias correction. E.g., globally averaged MetOP-A, AMSU-A channel 9 bias correction.



2009

2008



Climate/reanalysis applications

- RO is likely to become increasingly useful for climate monitoring as the time-series lengthens (see also work by RoTrends project).
- **Claim**: GPS-RO measurements should not be biased.
 - It should be possible to introduce data from new instruments without overlap periods for calibration.
 - No discontinuities in time-series as a result of interchange of GPS-RO instruments.
- Bending angle departure statistics derived from the ERA-Interim reanalysis can be used to investigate this claim.



Consistency of GPS-RO bending angles (ERA-Interim Reanalysis, Paul Poli)

ERA-Interim daily Obs minus Background statistics GPSRO B.A. (percent) N.Hem. (20N-90N)





Values are relative to ERA-Interim means for 1981-2010

GPS-RO for model developers

- Some ECMWF forecasts of sudden warming events have been poor (Jan 2013).
- **Michail Diamantakis**: Numerical noise in the wind extrapolation leads to incorrect departure points in the semi-Lagrangian scheme.
- New scheme proposed/developed/tested by Michail.
- Simplified 1D bending angle operator (no tangent point drift) to look at the accuracy of the day-5 and day-10 forecasts with the new scheme in bending angle space. Fit to operational GPS-RO data.



Verification against sat obs: bending angle diagnostics



Standard deviation of GPS-RO bending angle errors (tool developed by Sean Healy)

- Noticeable improvement at medium-range (day 5, 10)
- Applying non-extrapolatory scheme EVERYWHERE decreases accuracy at medium range ⇒ combined approach the right one

Single 24 hr forecast, Jan 11, 2014



Ob. Locations 35 cases



How many GPS-RO observations do we need?

- Noted GPS-RO contributes ~2-3 % of the data assimilated.
- Studies by *Poli et al (2008)* and *Bauer et al (2014)* indicated that the impact of GPS-RO is not saturated at current ob. numbers.
- "Ensemble of Data Assimilations" (EDA) approach for estimating the impact of new data. EG, Tan et al, QJ, 2007, vol 133, p381, ADM-Aeolus impact.
- ESA project to estimate how the impact of GPS-RO scales with observation number.
- We're not doing OSSEs. We only simulate the new data.





•<u>We cycle 10 4D-Vars in parallel</u> using <u>perturbed observations</u> in each 4D-Var, plus a control experiment with no perturbations.

•The spread of the ensemble about the mean is related to the <u>theoretical estimate</u> of the analysis and short-range forecast *error statistics*.

 Investigate how the ensemble spread changes as we increase the number of simulated GNSS-RO observations.





- Aim to investigate ensemble spread as a function of GNSS-RO number.
- Identify, if and when the impact begins to saturate.



Setup of GNSS-RO experiments

- EDA experiments assimilate:
 - all operationally used GOS (apart from GNSS-RO data)

- plus	simulated	real	GNSS-RO profiles per day
EDA_ctrl	-	-	*
EDA_real	-	$\sim \overline{2500}$	
EDA_2	2000	-	
EDA_4	4000	-	
EDA_8	8000	-	
EDA_16	16000	-	
EDA_32	32000	-	
EDA_64	64000	-	
EDA_128	128000	-	

 \rightarrow Total of nine EDA experiment that only differ in the number of assimilated GNSS RO data. 6 week period July-August 2008.



Simulation of GNSS-RO data



4D-Var test experiments (T511, July 2008) 64000 simulated GNSS-RO vs Full system



Vertical profiles of EDA spread T(K)

- Temperature uncertainty for the analysis
 - \rightarrow reduced with additional GNSS-RO profiles
- Very good agreement between EDA_real and EDA_2





- Maximum impact on upper-tropospheric / middle-stratospheric temperatures
- Very good agreement between real and simulated GNSS RO data in the EDA system.
- Similar pattern for geopotential height



How we interpret the EDA spread values

 Information content/error covariance studies studies in 1D-Var framework for simulated satellite data (e.g. Eyre 1987):

$$J(\mathbf{x}) = \frac{1}{2}(\mathbf{x} - \mathbf{x}^{\mathbf{b}})^{\mathrm{T}} \mathbf{B}^{-1}(\mathbf{x} - \mathbf{x}^{\mathbf{b}}) + \frac{1}{2}(\mathbf{y}^{\mathrm{o}} - H(\mathbf{x}))^{\mathrm{T}}(\mathbf{E} + \mathbf{F})^{-1}(\mathbf{y}^{\mathrm{o}} - H(\mathbf{x}))$$
$$\mathbf{A} = (\mathbf{B}^{-1} + \mathbf{H}^{\mathrm{T}} \mathbf{R}^{-1} \mathbf{H})^{-1}$$

- We interpret the EDA spread results as a 4D-Var theoretical information content/error covariance study.
- The spread values are related to the theoretical error statistics, and these are dependent on the assumed obs. error stats. and weighting functions, <u>not necessarily the real impact of the observations</u>.
- If the assumed error statistics are unrealistic/incorrect, the spread values will mislead.



Scaling of GNSS RO impact - EDA



- Large improvements up to 16000 profiles per day
- Even with 32000 128000 profiles still improvements possible

 \rightarrow no evidence of saturated impact up to 128000 profiles.



Move towards 2D GPS-RO operators

 The 2D operators take account of the real limb nature of the measurement, and this should reduce the forward model errors defined as



• Reducing the forward model errors should improve our ability to retrieve information from the observation, but this must be balanced:

Extra Information versus Additional Computing Costs.





Tangent point height derived from impact parameter.

We solve these ray equations for the path **up to 50 km** and then revert to the 1D approach to estimate the bending above **50 km**. Zou et al suggested similar mixed bending angle/refractivity approach.



1D/2D hybrid approach



Computational cost Occultation plane described by 31 profiles in outer loop, but only 7 in inner loop.



2D operator work

(Mats Hamrud)

• This is how a potential problem with 2d operators is visualised.



- Lets <u>assume</u> observations in area 1 are forward modelled using processor 1 but observations in area 2 use processor 2.
- What happens when the occultation plane goes over the boundary?
- This situation doesn't arise at ECMWF. <u>The basic assumption is</u> wrong. The horizontal and vertical "interpolations" are performed on different processors.







Improvement in GPS-RO (o-b) departure statistics with 2D approach





GPS-RO ONLY Z500 scores, NH





Further science improvements with the 2D operator

 Some important physics is missing. The ray tangent height is estimated from a "constant of motion" along the path.

 $nr\sin\phi = a$ (impact parameter)

• Its not a constant! We should integrate along ray-path

$$\frac{d(nr\sin\varphi)}{ds} = \frac{\partial n}{\partial\theta_r}$$

- Use an "adjusted" impact parameter $(a \rightarrow (a + \Delta a))$ value will be used in the 2D operator to determine tangent height.
- In progress. Initial results are neutral. **DISAPPOINTING!**



Improving the R Matrix using the "Desrosier" diagnostics (MF, NCEP have looked at this)

• You can estimate the observation error covariance matrix from

$$\mathbf{R} \approx \left(\mathbf{y} - H(\mathbf{x}_{a})\right) \left(\mathbf{y} - H(\mathbf{x}_{b})\right)^{\mathrm{T}}$$

- Talk by Niels. This is used widely now, but strictly it will only
 produce the correct matrix if the correct R and B matrices are
 used to compute the analysis! It doesn't guarantee a symmetric
 estimate.
- Should iterate to account for incorrect matrices.



Metop-A rising correlation matrix (Niels Bormann's code: See also earlier work by Poli)







Summary

- Reviewed the GPS-RO concept.
- Outlined how we assimilate the data and impact on NWP and reanalysis systems. Impact on the lower/mid stratosphere.
- New work on using GPS-RO for testing model changes that impact the stratospheric temperatures.
- Use of EDA to estimate impact with observation number.
- New/future work
 - Move to a 2D operator in 4D-Var.
 - Improved R matrix.



extra



Some timings with 2D operator for the 4D-Var "inner loop" minimization (TL and AD code.)

"Wall-clock time" (s)	2D operator	1D operator	Percentage increase
Only GPS-RO	275	214	29 %
All observations	548	436	26 %

The increases are "very significant", in an operational context and need to be reduced before operational implementation.



Timings on my workstation for a single profile containing 250 bending angles (NO TPD)

	Operator	TL	Adjoint
1D	0.005	0.009	0.017
2D	0.075	0.18	0.51

Calculated with the fortran CPU_TIME command.

Cost of the bending angle computation, given interpolated model data on height levels.

The bending angle computation **15 times** larger. 2D **adjoint 6 times** more costly than the 2D operator.



2D vs 1D in full system, Z500 anomaly correlation

mean-normalised fxym minus fvug

NHem Extratropics (lat 20.0 to 90.0, lon -180.0 to 180.0)

500hPa geopotential Anomaly correlation

ó

Date: 2013012500UTC to 2013023200UTC OUTC T+0 T+12 ... T+2N0 | Contidence: [55:0] | Populator: 50 0.0 0.0 0.04

mean-normalised fxym minus fvug 500hPa geopotential Anomaly correlation SHem Extratropics (lat -90.0 to -20.0, lon -180.0 to 180.0) Date: 20130125 00UTC to 20130320 00UTC 00UTC T+D T+12 ... T+240 | Confidence: [95.0] | Population: 55 0.08 0.05 0.02 0.02 -0.04 -0.05 -0.08 -0.1 -0.12 -0.14 -

7

Forward Day

10

11

à



Above 0 = good



Surface pressure information from GPS-RO

- Measuring or retrieving surface pressure information from satellite radiances has been discussed for many years (Smith et al, 1972).
- The GPS-RO measurements have a sensitivity to surface pressure because they are given as a function of height.
- Hydrostatic integration is part of the GPS-RO forward model. If we increase the surface pressure the bending angle values increase.
- Can GPS-RO constrain the surface pressure analysis when <u>all</u> <u>conventional surface pressure measurements</u> are removed?



NH 12 hour PMSL forecast scores



GPS-RO included. The GPS-RO measurements manage to stabilise the bias.



GPS-RO for climate monitoring Simulation study using the Hadley Centre climate model

Simulation studies to assess:

- potential of GPS-RO for detecting climate trends
- information content of GPS-RO in relation to other sensors

Simulations use:

- Met Office Hadley Centre coupled climate model (HadGEM1)
- Climate change scenario (A1B) for 2000 2100
- Forward modelling of the GPS-RO bending angles
- Forward modelling of MSU/AMSU brightness temperatures

Provided by Mark Ringer (Hadley Centre)



Initial comparison with observations

Bending angle trends 2001



CECMWF



