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**A High-Resolution Global Analysis of Ocean Surface Vector Wind Merged
from Scatterometers and Passive Microwave Radiometers (1987 onward).**

Part II: Confidence and Sensitivity Analysis

Lisan Yu* and Xiangze Jin

Woods Hole Oceanographic Institution, Woods Hole, MA 02543

Key points:

- 1. Errors in the retrievals need to be specified in constructing the time series.
- 2. An ensemble error perturbation approach is developed.
- 3. High winds and rain are shown to be the leading sources of uncertainty.

Running title: Confidence and sensitivity analysis

* Corresponding author: Dr. Lisan Yu, Department of Physical Oceanography, MS#21, Woods Hole Oceanographic Institution, Woods Hole, MA 2543. Email: lyu@whoi.edu

23 **Abstract**

24 This Part II study addresses the uncertainty assessment of the high-resolution global
25 analysis of ocean-surface vector winds (1987 onward) by the Objectively Analyzed air-sea Fluxes
26 (OAFlux) project. The time series was constructed from objective synthesis of 12 satellite sensors
27 using a variational approach to find a best fit to input data in a weighted least-squares cost
28 function. Theoretically, the weights are inversely proportional to error covariances of data. In
29 reality, error covariances cannot be perfectly known and so the best-fit of the cost function is
30 sensitive to the uncertainty of the weight assignment.

31 We present here our efforts in seeking (i) a practical use of independent buoy
32 measurements to determine weight assignment and (ii) a feasible representation of the impacts of
33 the weight-assignment uncertainty on the resultant vector wind analysis. In doing so, we
34 implemented weight selection criteria that require the selected weights to make the best-fit of the
35 cost function to be as close as possible not only to input satellite observations but also to in situ
36 buoy measurements at 126 locations that were not included in the synthesis. We further designed
37 an ensemble-based weight perturbation experiment to generate an ensemble of the best-fits in
38 response to randomized weights and to use the ensemble statistics as a measure of the uncertainty
39 of the best-fit due to the weight-assignment uncertainty. The study shows that the weight
40 perturbation experiment is capable of identifying the leading sources of uncertainty in the OAFlux
41 wind analysis: high winds and rain conditions.

42
43 **Key words:** remote sensing of ocean surface winds, scatterometer, passive microwave radiometer,
44 error analysis.

45

46 **1. Introduction and background**

47 A high-resolution global analysis of ocean-surface vector winds from 1987 onward has
48 been recently developed by the Objectively Analyzed air-sea Fluxes (OAFlux) project through
49 objective synthesis of 12 satellite wind sensors [*Yu and Jin* 2014, JGR, revised; hereafter Part I].
50 Among the 12 satellite sensors in use, there are 2 scatterometers, namely, the SeaWind
51 scatterometer on the NASA's QuikSCAT mission (June 1999 – November 2009) and the
52 Advanced Scatterometer (ASCAT) that was operated by the European Organisation for the
53 Exploitation of Meteorological Satellites (EUMETSAT) aboard the MetOp–A satellite (October
54 2006 onward). There are 10 passive microwave radiometers, with 6 sensors from the Special
55 Sensor Microwave Imager (SSM/I) that was carried aboard Defense Meteorological Satellite
56 Program (DMSP) satellites F08, F10, F11, F13, F14, and F15 (1987 onward), 2 sensors from the
57 DMSP's Special Sensor Microwave Imager/Sounder (SSMIS) aboard satellites F16 and F17, the
58 Advanced Microwave Scanning Radiometer - Earth Observing System (AMSR-E) sensor on
59 NASA's Aqua satellite (May 2002 – October 2011), and the passive polarimetric microwave
60 radiometer from WindSat aboard the joint Department of Defense (DoD)/Navy platform Coriolis
61 mission in January 2003.

62 A variational approach was developed from the theory of least-variance linear statistical
63 estimation [*Lorenc* 1986; *Daley* 1991; *Talagrand* 1997] to construct the wind speed (w), and the
64 zonal (u) and meridional (v) wind components that best fit all input data (satellite observations,
65 reanalysis wind components, and *a priori* terms) in a least-squares sense. Two *a priori* conditions
66 were imposed, requiring that (i) the analyzed wind speed $w = \sqrt{u^2 + v^2}$ to be as close as possible
67 to satellite wind speed retrievals, and (ii) the analyzed (u, v) to satisfy the kinematic constraints
68 such as vorticity and divergence conservations. Surface vector winds from two atmospheric

69 reanalyses served as the background information for u and v . The two reanalysis wind products
70 were the European Centre for Medium-Range Weather Forecasts (ECMWF) Re-Analysis (ERA)
71 interim (hereafter ERA-Interim) project [Dee *et al.* 2011] and the Climate Forecast System
72 Reanalysis (CFSR) from the National Centers for Environmental Prediction (NCEP) [Saha *et al.*,
73 2010]. The two reanalyses have improved characterization of the global ocean surface winds over
74 other reanalysis wind products when compared to buoy measurements [e.g. Yu and Jin 2012].

75 One prerequisite for all applications based on the least-variance linear statistical estimation
76 theory is the *a priori* specification of the weight (i.e., an inversion of error covariance) for each
77 dataset used in the cost function so that the errors in data can be accounted for during the search of
78 a solution [Talagrand 1999]. In reality, those error statistics can neither be perfectly known nor be
79 accurately specified, rendering the optimality of such framework to be dependent on the ability to
80 obtain the most appropriate representation of error statistics [Courtier *et al.* 1994; Wahba *et al.*
81 1995; Desrozier and Ivanov 2001]. Two questions were thus raised for the OAF flux vector wind
82 analysis. One is how to provide the best possible weight assignments for all the input data, and the
83 other is how to quantify the degree of uncertainty in the resultant vector wind estimates caused by
84 the uncertainty in the weight assignments. This part II analysis is to address these two issues.

85 Extensive efforts have been made to identify, characterize, and quantify the errors in
86 satellite wind measurements using a variety of reference platforms, including in situ buoys,
87 research vessels, and atmospheric reanalyses [e.g., Ebuchi *et al.* 2002; Bourassa *et al.* 2003;
88 Vogelzang *et al.* 2011]. There are two general sources of error in satellite observations. One is
89 measuring instrumentation noise that results from random errors of the observing system. For
90 scatterometer retrievals, ambiguity selection errors are regarded as measurement errors [e.g.
91 Hoffman 1984; Freilich 1997; Stoffelen 1998; Bourassa *et al.* 2003]. The other is representation

92 errors [e.g. *Stoffelen* 1998; *Schlax et al.* 2000; *Bourassa and Ford* 2010; *Vogelzang et al.* 2011;
93 *Fangohr and Kent* 2012] that are associated with unresolved spatial/temporal scales,
94 approximations in the geophysical model functions (GMF) that relate backscatter to wind vector,
95 and approximations in radiative transfer models (RTM) that relates emissivity to wind speed. The
96 representation of the wind retrievals at high wind speeds is one example of representation error.
97 The presently large uncertainties in high wind retrievals are attributable to the lack of high wind
98 measurements from buoys or research vessels to validate the empirical assumptions in the GMFs
99 and/or RTMs [e.g. *Fangohr and Kent* 2012; *Yueh et al.* 2001]. Rain is another source of bias for
100 Ku-band scatterometer retrievals. Removing the rain-contaminated wind vector cells in QuikSCAT
101 can lead to a large-scale bias in wind derivative fields [e.g. *Milliff et al.* 2004], elucidating that
102 representation errors can have both a bias and a random component [e.g. *Bourassa and Ford*
103 2010].

104 Representation errors together with measurement errors constitute the error covariance for
105 data constraints. However, two additional sources of error need to be considered when estimating
106 the cost function that included not only 12 different sensors but also atmospheric reanalyses as the
107 background fields. One error source is the model errors (biases) in the atmospheric reanalyses, and
108 the other is the interpolation or mapping error that arises when merging satellite measurements
109 made at discrete times onto the selected temporal resolution of equal interval. For instance, each
110 sensor provides two daily passes, one as the orbit ascends and the other as the orbit descends. As
111 the number of available sensors (and so the total daily passes) changes constantly with time (see
112 Figure 1 in Part I) from 1987 to the present, the underrepresentation of sub-daily variability in the
113 resultant daily-mean synthesis could be a source of error.

114 In part I, we reported that the most challenging situation for the OAFlux synthesis is the
115 construction of the near-surface circulation associated with synoptic weather storms that feature
116 both high winds ($>15 \text{ ms}^{-1}$) and rain conditions. Three factors contribute to the challenge. One is
117 the lack of passive microwave radiometer wind speed retrievals in rain conditions, which reduces
118 satellite data coverage for the synoptic weather systems. The second is that the removal of the rain
119 contaminated wind vector cells in QuikSCAT creates data voids that cannot be easily filled by the
120 reanalysis winds because of the smooth spatial variability in the latter. The third factor is that wind
121 retrievals from the C-band ASCAT [*ASCAT Wind Product User Manual*, 2013] and Ku-band
122 QuikSCAT [*Ricciardulli and Wentz*, 2011] differ at high wind ($>15 \text{ ms}^{-1}$) due primarily to the lack
123 of in situ buoy validation of the GMFs at these conditions [e.g. *Dunbar et al.* 2006; *Fangohr and*
124 *Kent* 2012; *Bentamy et al.* 2012]. The differences are difficult to reconcile particularly when a fast-
125 moving synoptic system is involved. The sensitivity experiments in Part I showed that the synoptic
126 features associated with the weather systems are scatterometer-dependent, suggesting that inter-
127 scatterometer differences are a source of representation error for the synthesis.

128 The statistically-based objective approaches are not expected to mitigate the impacts of
129 satellite technical difficulties during the synergy of sensors from multiple platforms. These
130 approaches are capable of reducing random errors (noises) within given retrievals and searching
131 for a solution that best fits the data constraints and the *a priori* information within the pre-
132 described weights; but they are unable to generate an improved estimate in the presence of missing
133 or biased retrievals and unable to remove the biases associated with representation errors due to
134 either satellite observations, or atmospheric reanalysis winds, or mapping. Therefore, the objective
135 synthesis is subject to the specification of error statistics (or weights) for both random and
136 representation components. However, despite the extensive progresses that have been achieved in

137 understanding and quantifying the representation errors of satellite and reanalysis winds [e.g.
138 *Stoffele* 1998; *Ebuchi et al.* 2002; *Bourassa et al.* 2003; *Vogelzang et al.* 2011; *Yu and Jin* 2012]
139 and in employing a bias correction scheme to data assimilation to reduce the effect of biases on
140 atmospheric reanalysis [e.g. *Desroziers and Ivanov* 2001; *Dee* 2005], not all error sources are well
141 estimated. For example, it is usually assumed that the errors between sensor themselves and
142 between the sensors and atmospheric reanalyses are uncorrelated. In reality, sensors are calibrated
143 against each other [e.g. *Stoffelen and Anderson* 1997; *Ricciardulli and Wentz*, 2011], and ERA-
144 interim and CFSR both assimilate scatterometer observations [e.g. *Dee et al.* 2011; *Saha et al.*
145 2010]. Given the complexity of the sources contributing to errors, it is legitimate to regard the
146 present knowledge of errors as the best “estimate” of the errors but not the true value. This leads to
147 the reality that no matter what the weights are assigned, there is a degree of uncertainty in the
148 assignment and consequently, in the solution.

149 We introduce here our efforts in seeking (i) a practical use of existing observations for
150 providing weight assignment and (ii) a feasible representation of the uncertainty of the weight and
151 its impact on the resultant vector wind analysis. We designed a weight-selection experiment to find
152 the weights that make the minimum of the cost function to be as close as possible to not only input
153 satellite observations but also in situ buoy measurements at 126 locations that were not included in
154 the synthesis (section 2). We further designed an ensemble-based weight perturbation experiment
155 to generate an ensemble of the solutions in response to randomized weights and to use the
156 ensemble statistics as a measure of the uncertainty of the solution due to the uncertainty of the
157 weight assignment (section 3). The study shows that the weight perturbation experiment is capable
158 of identifying the leading sources of uncertainty in the OAF flux wind analysis: the high winds and
159 rain conditions. Nevertheless, the sources of error in input satellite and also background datasets

160 are complex and often intercorrelated. A realistic definition of the error covariance matrices, and
 161 hence the weights, is perceived as a matter of permanent and various efforts for all applications of
 162 least-variance linear statistical estimation [*Dee* 2005; *Sadiki and Fisher* 2005; and *Bannister*
 163 2007], no matter whether the applications are the 3D-VAR or 4D-VAR data assimilation in
 164 numerical weather prediction system [e.g. *Wahba et al.* 1995; *Courtier et al.* 1998] or the
 165 variational approach used to produce gridded products from combining various observations
 166 [*Legler et al.* 1989; *Hoffman et al.* 2003; *Atlas et al.* 2011; *Yu and Jin* 2014]. We regard this study
 167 as our first efforts toward improving the characterization and quantification of the uncertainty in
 168 the OAFlux vector wind analysis associated with the weight assignment errors. Summary and
 169 discussion are included in section 4.

170

171 **2. The weight selection experiments**

172 **2.1 The cost function**

173 As described in Part I, the cost function formulated for the OAFlux multi-sensor synthesis
 174 is expressed as follows:

$$\begin{aligned}
 F = & \underbrace{\frac{1}{2}(\vec{V}_a - \vec{V}_b)^T R_b (\vec{V}_a - \vec{V}_b)}_{\text{(I)}} + \underbrace{\frac{1}{2}(\vec{V}_a - \vec{V}_o)^T R_o (\vec{V}_a - \vec{V}_o)}_{\text{(II)}} + \underbrace{\frac{1}{2}(w_a - w_o)^T S_o (w_a - w_o)}_{\text{(III)}} \\
 & + \underbrace{\gamma(\nabla \times \vec{V}_a - \nabla \times \vec{V}_b)^2}_{\text{(IV)}} + \underbrace{\lambda(\nabla \cdot \vec{V}_a - \nabla \cdot \vec{V}_b)^2}_{\text{(V)}} \quad (1)
 \end{aligned}$$

175

176 where $\vec{V} = (u, v)$ is wind vector with zonal and meridional wind components denoted as u and v ,
 177 respectively, and $w = \sqrt{u^2 + v^2}$ is wind speed. The superscript “ T ” denotes transpose. There are
 178 three subscripts: “ a ” denotes an estimate, “ b ” the background fields, and “ o ” satellite observations.
 179 The matrices R_b , R_o , and S_o are weighting matrices that theoretically are inversely proportional to

180 the respective error covariance matrices of the background wind vector fields (\vec{V}_b), satellite wind
181 vector observations (\vec{V}_o), and satellite wind speed observations (w_o). The parameters, γ and λ , are
182 the scalings that control the effectiveness of the vorticity and divergence constraints.

183 The first three terms (I)-(III) are data constraints that represent a least-squares fitting of the
184 analyzed zonal wind, meridional wind, and wind speed to input background and satellite data sets.
185 The input satellite observations included SSM/I F08, F10, F11, F13, F15, SSMIS F16, F17,
186 AMSRE, WindSat, QuikSCAT, and ASCAT. Among the 12 sensors, QuikSCAT and ASCAT
187 have observations of zonal and meridional wind components while all others are radiometers
188 providing only wind speed observations. The wind direction retrievals from WindSat were not
189 included due to large uncertainties when compared to buoy measurements and QuikSCAT [*Yu and*
190 *Jin 2012*]. The background fields were taken from ERA-Interim and CFSR, which provided
191 information for (i) initializing wind direction when there are no scatterometer measurements prior
192 to 1999, and (ii) gap-filling in regions where there are no satellite observations. The two reanalysis
193 winds were also the background fields for the fourth and fifth terms (IV)-(V), which are the weak
194 constraints for the vorticity and divergence. These two kinematic terms are spatial derivative
195 constraints, which are used mainly for suppressing noises in satellite observations at the swath
196 edges. The contribution of these kinematic terms to the minimization process is prescribed by the
197 scaling parameters γ and λ . Readers are referred to Part I for the description of satellite sensors,
198 download data sources, and the synthesis procedure.

199 The minimization process seeks an estimate of daily wind field of u , v , and w that satisfies
200 the data constraints and the imposed kinematic constraints within the specified weights by using a
201 conjugate-gradient iterative method [*Yu et al. 2008*]. As described in the Introduction, the main
202 challenge for estimating the cost function (1) is the specification of the weight (i.e., an inversion of

203 error covariance matrix) for each dataset [e.g. *Courtier et al.* 1994; *Wahba et al.* 1995; *Desrozier*
204 *and Ivanov* 2001]. The errors in input satellite and reanalysis datasets have both random and
205 systematic components. The variational approaches are capable of reducing random errors (noises)
206 but not the biases [*Talagrand* 1999]. There have been various efforts in developing bias-aware
207 weight correction methods [e.g. *Stoffelen* 1998; *Harris and Kelly* 2001; *Dee* 2005] that can
208 estimate and correct systematic errors jointly with the variable estimates. These methods require to
209 correctly attribute the detected bias to its source, and then to develop useful representations for the
210 biases or for the mechanisms that cause them to develop. Because separation of different bias
211 sources requires additional information (such as independent observations, knowledge of the
212 underlying causes, and/or hypotheses about the error characteristics of possible sources), bias-
213 aware correction methods may not produce the right correction if different sources produce similar
214 biases [e.g. *Chapnik et al.* 2004; *Desroziers et al.* 2005; *Dee* 2005].

215 In addition to random and biases in input satellite and reanalysis winds, correlations of
216 errors between satellites and reanalyses winds are also evidenced [e.g., *Stoffelen* 1998; *Frehlich*
217 *2011*; *Vogelzang et al.* 2011; *Vogelzang and Stoffelen* 2012; *Bonavita* 2012]. Existing knowledge
218 can help to map the basic pattern of the biases associated with some bias sources, but is
219 insufficient to help formulate accurate representation for all bias sources, not to mention their
220 change with seasons. Needless to say, there is a wide gap between what we presently know and
221 what the cost function (1) needs with regard to the error covariance matrices. Therefore, our
222 strategy is simple, which is to start from the scratch, using the basics to construct the errors and to
223 set up a frame for future development. Our goal is straightforward, which is to develop a basic
224 framework that enables the identification and understanding of the effect of the uncertainty of the
225 weight assignment on the resultant vector wind analysis. Our approach is a two-step approach. We

226 first seek for reasonable assignment for the weights from a set of weight experiments and then
 227 design an ensemble weight perturbation analysis to assess the uncertainty in the wind analysis
 228 associated with the uncertainty in the weight assignment.

229

230 **2.2 Design of the weight selection experiments**

231 This study represents our first step toward establishing a framework for systematic error
 232 modeling for the vector wind analysis using least-variance linear statistical estimation. We started
 233 with the fundamental assumptions, that is, the errors are constant and uncorrelated. The cost
 234 function (1) can be simplified as follows:

$$\begin{aligned}
 F = & \frac{1}{2} \sum_{i=1}^I \alpha_i (u_a - u_i)^2 + \frac{1}{2} \sum_{i=1}^I \alpha_i (v_a - v_i)^2 + \frac{1}{2} \sum_{j=1}^J \beta_j (w_a - w_i)^2 + \gamma (\nabla \times \vec{V}_a - \nabla \times \vec{V}_b)^2 \\
 & + \lambda (\nabla \cdot \vec{V}_a - \nabla \cdot \vec{V}_b)^2
 \end{aligned} \tag{2}$$

235 where α_i represents the weight assignment for zonal and meridional wind components, with the
 236 subscript $i = 1, \dots, I$ indicating the respective input scatterometers (i.e., QuikSCAT and ASCAT)
 237 and background (i.e., ERA-interim and CFSR) data sets for wind components. The weight
 238 assignment for the wind speed term is denoted by β_j , with the subscript $j = 1, \dots, J$ indicating the
 239 respective input satellite wind speed data sets (e.g., SSM/I F08, F10, F11, F13, F15, SSMIS F16,
 240 F17, AMSR-E, WindSat, QuikSCAT, and ASCAT).

241 In Part I, we indicated that the weights, β_j , associated with the wind speed constraints (term
 242 (III)), were set to be 1. The weights of the ERA-interim u and v terms were assigned to be 0.8 and
 243 those of CFSR were set to be 0.4. The scaling parameters of the kinematic constraints for vorticity
 244 and divergence, γ and λ , were fixed at 0.5. The values of these weight parameters were selected
 245 from numerous sensitivity experiments we have conducted, which can be explained using Figures

246 1a-b. In essence, the weight selection experiments (Fig.1a) were based on the statistics of the cost
247 minimum with respect to both input satellite datasets and the buoy measurements at 126 locations
248 [Yu and Jin 2012]. The buoy measurements (Fig.1b) were not included in estimating the cost
249 function (2) but they were assimilated by reanalyses [e.g. Dee et al. 2011 and Saha et al. 2010].
250 They may be better regarded as a semi-independent reference. In designing the weight selection
251 experiments, we utilized the fact that the minimization of the cost function (2) depends on the
252 relative values, or the ratio, between the weights assigned to the satellites and those to the
253 reanalyses once errors are assumed to be constant. We also assigned an equal weight to the satellite
254 sensors, as their statistics with regard to the 126 buoy time series were comparable [Yu and Jin
255 2012]. Finally, we kept the ratio between the total weights for the satellite data constraints and the
256 total weights for the reanalyses constraint to remain unchanged over the analysis period and
257 determined the weight ratio from the weight selection experiments that can produce the minimum
258 of the cost function to be as close as possible to both the satellite observations and the buoy
259 measurements. There are 11 satellite observation constraints (i.e., 7 satellite wind speed
260 constraints, 2 scatterometer zonal wind constraints, and 2 for scatterometer meridional wind
261 constraints) and 4 reanalysis constraints for zonal and meridional wind components. After setting
262 an equal weight to all satellite constraints, the weight ratio can be calculated as $\kappa = \text{total weights}$
263 $\text{for satellite constraints} / \text{total weights for reanalysis constraints} = 11/x$, where x denotes the total
264 weights for reanalysis constraints and can be determined once the optimal κ is selected.

265

266 **2.3 Results**

267 Figure 1a shows the statistical behavior of the weight selection experiments (marked by
268 black crosses), with respect to two measures, the wind speed root-mean-square differences

269 (RMSD) between the experiments and buoys (the x-axis) and the wind speed RMSD between the
270 experiments and seven satellite sensors (i.e. SSM/I F13, SSMIS F16, F17, AMSR-E, QuikSCAT,
271 ASCAT, and WindSat) (y-axis) (the y axis). A total of 200 experiments were conducted for the
272 year 2008 to test the performance of the cost function in response to the weight ratio that ranges
273 from 0.5 to 1000 (i.e., the total weights assigned to the reanalysis constraints varies from 22 to
274 0.01). The larger (smaller) the weight ratio, the more dominant the satellite (reanalysis) data
275 constraints are on the minimization of the cost function. As can be seen from Figure 1a, the wind
276 speed RMSD with regard to satellites (the y-axis) approaches 0.22 ms^{-1} as the weight ratio
277 increases beyond 15. However, the larger the weight ratio, the farther the experiments depart away
278 from the buoy-based RMSD (the x-axis). The smallest RMSD is 0.6 ms^{-1} when the weight ratio is
279 at 4. Thus, the two measures suggests that an optimal weight ratio should be between 4 and 15,
280 upon which we decided to choose $\kappa=9$. This says that the corresponding total weights for the
281 reanalysis constraints, x , is 1.2 when the total weights for the satellite constraints are set at 11.
282 Similar experiments were conducted to decide the partition between ERA-interim (i.e. 0.8) and
283 CFSR (i.e. 0.4) and also to determine the scaling parameters (i.e. both set at 0.4) of the kinematic
284 constraints to the minimization of the cost function (not shown). During the process, the buoy-
285 based measure played a leading role in selecting the weights we used in producing the wind
286 analysis shown in Part I.

287 *Talagrand* [1999] discussed the usefulness of the statistics of the differences between the
288 minimum of the cost function and input observations (i.e. the so-called innovation vector) in *a*
289 *posteriori* diagnostics of the estimation system, which laid a theoretical framework for *Desrozier*
290 *and Ivanov* [2001] to develop an adaptive tuning of the error covariance parameters in the
291 variational estimation. Our work here demonstrates the practical usefulness of the innovation

292 vectors together with the independent measurements (e.g. buoys) in selecting the optimal weights
293 for data constraints.

294

295 **3. The ensemble-based weight perturbation analysis**

296 **3.1 Design of the ensemble-based weight perturbation experiment**

297 Our weight selection experiments led to a set of weights that have the optimal statistics
298 with respect to the buoy measurements and input satellite observations. However, details of the
299 spatial structure and temporal variability of errors cannot be deduced due to the limited coverage
300 of the buoy measurements. The effort was limited to the weights that are constant and represent the
301 gross impact of the errors in data on the minimization of the cost function. As the solution of the
302 variational estimation depends on the weight assignment, there is a need to determine the
303 uncertainty of the wind analysis associated with the uncertainty in the weight assignment in both
304 spatial and temporal domain. Here we present an uncertainty analysis that relies on a
305 randomization of weights to generate an ensemble of perturbed analyses to allow for the
306 determination of the uncertainty in the solution of the cost function from the ensemble statistics.
307 The idea is spiritually similar to the ensemble assimilation that has been commonly used in
308 numerical weather prediction centers to improve the determination of error statistics associated
309 with both the model forecasts and the observations [e.g., *Houtekamer et al.* 1996; *Fisher* 2003;
310 *Buehner et al.* 2005; *Berre et al.* 2006; *Frehlich* 2011; *Bonavita* 2012]. In particular, *Desroziers*
311 *and Ivanov* [2001] and *Chapnik et al.* [2004] proposed a randomization approach that relies on a
312 perturbation of observations to generate an ensemble of perturbed analyses to allow for *a*
313 *posteriori* tuning of the error covariances based on the ensemble statistics of perturbed analyses.
314 Our perturbation approach differs from that of ensemble data assimilation in two fundamental

315 ways. First, we perturb the weights, not the observations [Evensen 1994]. Second, we use the
 316 ensemble statistics of the perturbed analyses to determine the degree of the uncertainty of the
 317 OAFflux analysis, unlike the ensemble assimilation that uses the ensemble statistics to improve the
 318 weight assignments [e.g. Houtekamer et al. 1996; Sadiki and Fisher 2005; Desroziers et al. 2009].

319 Our approach is developed from the fact that if the weights are not known exactly and have
 320 to be assigned, then the solution obtained from the minimization process may not be unique – in a
 321 sense that the solution changes with the change of weight assignments. Hence, there will be N sets
 322 of solutions when N sets of weight assignments are given, and the statistics of the ensemble with N
 323 members can provide an uncertainty estimate to the solution of the cost function. In randomizing
 324 the weights for the N sets of experiments, one condition is applied, that is, the sum of all the
 325 weights for each experiment is equal to one:

$$326 \quad \sum_{i=1}^I \alpha_i + \sum_{j=1}^J \beta_j = 1 \quad (3)$$

327 The weak constraints (i.e., terms (IV) and (V)) are secondary constraints that are imposed to
 328 suppress the noises in satellite observations at the swath edges, while the uncertainty in the weight
 329 assignments associated with the data constraints (i.e. terms (I) – (III)) are the leading contributors
 330 to the uncertainty of the variational estimation. By focusing on the first three terms in (2), an
 331 analytic solution for w_a , u_a and v_a that minimizes the cost function F can be derived as follows:

$$332 \quad w_a = \sum_{j=1}^J \beta_j w_j + \sqrt{(\sum_{i=1}^I \alpha_i u_i)^2 + (\sum_{i=1}^I \alpha_i v_i)^2} \quad (4)$$

$$333 \quad u_a = \sum_{i=1}^I \alpha_i u_i / \left(1 - \frac{1}{w_a} \sum_{j=1}^J \beta_j w_j\right) \quad (5)$$

$$334 \quad v_a = \sum_{i=1}^I \alpha_i v_i / \left(1 - \frac{1}{w_a} \sum_{j=1}^J \beta_j w_j\right) \quad (6)$$

335 where the dependence of w_a , u_a and v_a on input data sets w_i , u_i and v_j , as well as on weights α_i and
 336 β_j , is obtained. Once N sets of weight assignments are obtained by randomization, the resultant N
 337 sets of the solution for w_a , u_a and v_a are then used to quantify the uncertainty of w_a , u_a and v_a
 338 associated with the weight assignment uncertainty, which can be expressed in terms of the standard
 339 deviation (STD):

$$340 \quad \sigma_w = STD(w_{a,n}) \quad (7a)$$

$$341 \quad \sigma_u = STD(u_{a,n}) \quad (7b)$$

$$342 \quad \sigma_v = STD(v_{a,n}) \quad (7c)$$

343 where $n = 1, \dots, N$, denoting the N sets of the solution corresponding to N sets of weight
 344 assignments.

345 To assess how many weight perturbation experiments are needed, we ran N from 1 to 160.
 346 Figure 2 shows the change of the globally averaged σ_w , σ_u , and σ_v with the number of experiments
 347 using the year 2008 as an example. It appears that the ensemble statistics approach a quasi-steady
 348 state when N is around 40, and further increase of the number of weight perturbation experiments
 349 does not alter the statistics as the degree of freedom for errors is determined by the number of
 350 input datasets and not the number of experiments. In the following analysis, the σ_w , σ_u , and σ_v
 351 computed at $N=40$ are used.

352

353 **3.2 Deriving the uncertainty in wind stress and components**

354 Once the uncertainties in wind speed, zonal and meridional components are determined, the
 355 uncertainties in wind stress, τ , zonal and meridional stress components, τ_x and τ_y , can be readily

356 derived from the error propagation theory. The wind stress are computed from the bulk formula
 357 following *Fairall et al.* [2003]:

$$358 \quad \tau = \rho C_d w^2 \quad (8a)$$

$$359 \quad \tau_x = \rho C_d w u \quad (8b)$$

$$360 \quad \tau_y = \rho C_d w v \quad (8c)$$

361 where ρ is the density of air, C_d drag coefficient. Given the relationship between τ and w , the
 362 uncertainty of τ is related to the uncertainty of w in the following way:

$$363 \quad \sigma_\tau = \sqrt{\sigma_w^2 \left(\frac{\partial \tau}{\partial w}\right)^2} = \frac{2\tau}{w} \sigma_w \quad (9)$$

364 Accordingly, the uncertainty of τ_x , denoted σ_{τ_x} , can be derived as follows:

$$365 \quad \sigma_{\tau_x} = \sqrt{\sigma_u^2 \left(\frac{\partial \tau_x}{\partial u}\right)^2 + \sigma_v^2 \left(\frac{\partial \tau_x}{\partial v}\right)^2 + 2\sigma_{uv} \left(\frac{\partial \tau_x}{\partial u}\right) \left(\frac{\partial \tau_x}{\partial v}\right)} \quad (10)$$

366 The assumption that the correlation between τ_x and τ_y is negligible helps simplify Eq.(10) to the
 367 following form:

$$368 \quad \sigma_{\tau_x} \approx \sqrt{\sigma_u^2 \left(\tau_x \left(\frac{1}{u} + \frac{u}{w^2}\right)\right)^2 + \sigma_v^2 \left(\tau_x \frac{v}{w^2}\right)^2} \quad (11)$$

369 Note that correlations between τ_x and τ_y can be significant in certain regions on certain time
 370 scales. We made the assumption here to gain a first order estimation for the wind stress
 371 components. Similarly, the uncertainty of τ_y , denoted σ_{τ_y} , can be simplified as

$$372 \quad \sigma_{\tau_y} \approx \sqrt{\sigma_u^2 \left(\frac{\partial \tau_y}{\partial u}\right)^2 + \sigma_v^2 \left(\frac{\partial \tau_y}{\partial v}\right)^2} = \sqrt{\sigma_v^2 \left(\tau_y \left(\frac{1}{v} + \frac{v}{w^2}\right)\right)^2 + \sigma_u^2 \left(\tau_y \frac{u}{w^2}\right)^2} \quad (12)$$

373 For the special case such as $u = 0$, Eq.(11) is the same as Eq.(9) because $w=abs(v)$. Likewise,
 374 Eq.(12) is identical to Eq.(9) if $v=0$. The structure of the mean error fields computed from Eqs. (9),

375 (11), and (12) are not discussed in the following sections, as the analysis bears similarity to that of
376 the error fields of w , u , and v .

377

378 **3.3 Results**

379 The errors in the following discussions refer to the STD of w , u , v associated with the
380 uncertainty in weight assignments (Eqs. 7a-c), unless otherwise stated. The six panels in Figures 3
381 show the mean fields and the estimated errors for w , u , and v over the global oceans that were
382 averaged over 25 full years (1988-2012) of the analysis period (July 1987 onwards). The
383 latitudinally banded structure in the annual-mean pattern of w reflects primarily the structure in the
384 annual-mean pattern of u . Westerly winds exceeding 12 ms^{-1} are located in the 30-60 degrees north
385 and south latitudes. The trade winds of moderate wind speeds ($\sim 8 \text{ ms}^{-1}$) dictate the broad
386 subtropical oceans, and the doldrums near the equator are under light-wind ($< 5 \text{ ms}^{-1}$) conditions all
387 year round. On the other hand, the annual-mean pattern of v differs considerably from that of u ,
388 showing that the meridional winds associated with the Hadley circulation are most dominant over
389 the global scale. Larger amplitude of northerlies and southerlies are all located in regions adjacent
390 to the eastern boundary of the basin.

391 Despite the pattern differences in the annual-mean fields between u (or w) and v , the mean
392 error patterns are surprisingly similar between the three variables, with the largest errors appearing
393 in the same three distinct regions: the westerly belts in the northern and southern midlatitudes (40-
394 60°) and the Intertropical Convergence Zone (ITCZ)/South Pacific Convergence Zone (SPCZ)
395 near the equator. Errors are small in the tropical/subtropical oceans under the influence of the trade
396 winds. The only major difference between the three sets of mean error fields is the magnitude:
397 errors of u and v have a similar magnitude that is evidently larger than that of the w error. The

398 variation of the errors with latitudinal bands can be further seen in the zonally averaged plots in
399 Figure 3. When averaged globally and over the 25-year period, the errors induced by weight-
400 assignment errors are estimated to be 0.21 ms^{-1} in w , 0.30 ms^{-1} in u , and 0.32 ms^{-1} in v .

401 The 25-year averaged monthly fields in January and July are shown in Figures 4-5,
402 respectively. Seasonal variations in w and u are characterized by the strengthening of northern
403 (southern) hemispheric westerlies in January (July), while seasonal changes in v are featured by an
404 equatorward enhancement of the southeast trades in all three tropical /subtropical basins in July.
405 The magnitude of mean errors increases in accordance with the seasonal enhancement of
406 prevailing winds during the respective hemisphere's winter season. For instance, large errors are
407 located between $30\text{-}60^\circ\text{N}$ in January when the Northern Hemispheric westerlies are seasonally
408 strong, but are shifted to the latitudes between $30\text{-}60^\circ\text{S}$ in July when the Southern Hemispheric
409 westerlies are seasonally strong. Errors in the ITCZ region, particularly in the eastern tropical
410 Pacific also become more dominant in July. The zonally averaged plots in Figures 4-5 are a good
411 summary of the dependence of errors on the magnitude of wind speed and components.
412 Additionally, these plots also reveal that, consistent to what has been observed in Figure 3, the
413 errors of the three variables all have a similar latitudinal distribution but the magnitude of errors of
414 u and v is greater than that of w .

415

416 **3.4 Impacts of rain and high winds on error estimates**

417 The similarity in error spatial structures between w , u , and v , despite the noted differences
418 in the mean structure of the three variables, suggests that the errors are not controlled by the
419 magnitude of wind speed and components. As discussed in *Yu and Jin [2014]*, rain and high winds

420 are the two major sources of uncertainty for satellite surface wind retrievals. The impacts of the
421 two conditions on the uncertainty analysis are investigated here.

422 The rain flags from the SSM/I series (SSM/I F13, 16, and 17) were counted on a daily basis
423 to form a time series of daily rain mask over the 25-year (1988-2012) period, from which the
424 number of rain days per month was constructed. The time-mean averages for annual mean,
425 January, and July are shown in Figures 6a-c, respectively. Frequent rain days appear in three major
426 latitudinal bands, including the ITCZ in the tropical oceans, the north midlatitudes (30-65°N), and
427 the southern midlatitudes (40-65°S). The latter two latitudinal bands are known to be the regions of
428 the mid latitude storm tracks [*Hoskins and Valdes* 1990]. On average, rain is most frequent in the
429 ITCZ/SPCZ regions, with a mean of ~ 16 days per month over most of the Pacific sector. Seasonal
430 changes in the rain frequency are noted: there are more rain days during the boreal summer and
431 less in the boreal winter. The rain frequency associated with the midlatitudes storm tracks also
432 changes with seasons, typically with enhanced activity during the hemisphere's summer season.
433 Yet, the North Atlantic appears to be an exception, as there are more rain days in January than in
434 July, particularly along the Gulf Stream and its extension.

435 The number of high winds ($>15\text{ms}^{-1}$) days was also counted using the same SSM/I series
436 (F13, 16, and 17). The 25-year time-mean averages for annual mean, January, and July are shown
437 in Figures 7a-c, respectively. It is evidenced that high wind events occur predominantly at higher
438 latitudes (poleward 40° north and south) during the hemisphere's winter season. The occurrence of
439 high winds is less frequent than the occurrence of rain, which is averaged about than 10 days per
440 month during the winter season.

441 Seasonal variations of the number of rain days and high-wind days are summarized by the
442 plots of the zonal averages in Figures 8a-b. To evaluate their respective connection to the

443 estimated error structures in wind speed and components, the plots of the zonally averaged errors
444 of w , u , and v are included in Figures 8c-e. One feature is clear: in the tropical oceans where winds
445 are relatively weak, the uncertainty in wind estimates correlates primarily with the rain frequency.
446 On the other hand, in the extratropical regions where winds are subject to strong influence of mid-
447 latitude storms, rain and high wind conditions are equal contributors to errors in wind estimates.
448 Take the North Atlantic as an example. The frequent rain days and high-wind days in January
449 (Figs. 6b&7b) cause large errors in all components. Winter storms bring along not only powerful
450 winds but also heavy precipitation. Under storm conditions, even without rain, the differences
451 between sensors at high wind speeds [Yu and Jin 2014] are significant and can result in uncertainty
452 in wind estimates. With rain in sight, the uncertainty is even greater. Rain affects all microwave
453 sensors in various degrees depending on the frequency [Meissner and Wentz 2009; Portabella and
454 Stoffelen 2001; Portabella et al. 2012; Stile and Yueh 2002; Weissman et al. 2002; 2012].
455 Microwave radiometers are highly sensitive to rain and thus provide no retrievals in rain
456 conditions. QuikSCAT is sensitive only to heavy rain (i.e., vertically integrated rain rate greater
457 than $2.0 \text{ km mm hr}^{-1}$), while ASCAT is not affected directly by rain. The removal of rain
458 contaminated wind retrievals in QuikSCAT leads to data voids. Reanalyzed winds are the default
459 background fields, but the differences between models and satellites under extreme conditions
460 often do not help to alleviate the problem.

461

462 **3.5 Why are errors of u and v larger than errors of w ?**

463 The error generation in w , u , and v under high winds and rain conditions is examined in
464 Figures 9-10 using the daily fields on 01 January 2005. The rain rate retrievals are derived from
465 SSM/I F13 (Fig.9a), in which narrow bands of rain are evident in regions of convective rain belts

466 of the ITCZ and SPCZ and also in mid-latitudes associated with synoptic storms. The daily
467 averaged near-surface wind speed fields from SSM/I F13 (Fig.9b) and QuikSCAT (Fig.9c) show
468 that winds are relatively weaker ($<8\text{ms}^{-1}$) in the tropics but tend to be highly variable in the
469 extratropical oceans, where bands of strong winds ($>15\text{ms}^{-1}$) can appear either in the neighborhood
470 of rain bands (e.g. the North Pacific) or with no rain in presence (e.g. the North Atlantic). It is
471 evident that the SSM/I wind speed field has more missing values due to both rain and diamond-
472 shaped coverage gaps. The QuikSCAT field has less missing values as the coverage is greater and
473 the sensor is sensitive only to heavy rain.

474 On that day, there are seven sensors (SSM/I F13, F14, F15, F16, AMSRE, WindSat wind
475 speed, QuikSCAT) that can be used for the synthesis. The resultant synthesized fields of w , u , and
476 v are shown in Figures 10a-c, and the corresponding error estimates in Figures 10d-f. The wind
477 components fields show that higher winds in the extrotropical oceans are organized primarily
478 around the cyclonic circulations, but the locations of strong zonal winds differ from the location of
479 strong meridional winds. Ironically, the three error fields have a similar error pattern, which
480 mirrors to a large extent the rain pattern in Figure 9a. Nevertheless, there is a difference in the
481 magnitude between the three error fields. Take the North Pacific as an example. Four meridional
482 bands of large errors of v lie across the region between 120°E and 140°W , each of which is about
483 20° long. The error bands on the two sides are associated with the local rain bands, while the
484 middle one, along the 180 meridian, is in a rain-free area. Interestingly, we found that the
485 contributor to this rain-free error band is due to the strong northerly winds (Fig. 10c). In estimating
486 the cost function (1), the input datasets for u and v included QuikSCAT and also reanalyses from
487 ERAinterim and CFSR. By comparison, input datasets for w had satellite retrievals from 7 sensors,
488 with reanalyzed fields used only for filling in data gaps when necessary. The reanalyzed w fields

489 were not used as a data constraint but the reanalyzed u and v fields were part of data constraints
490 (e.g. term (I) in cost function (1)). Despite that their weights were assigned to be much weaker
491 than the satellites (i.e, the ratio between the total satellite constraints and the total reanalysis
492 constrains is 11:1.2; see Fig.1), the estimation of u and v is influenced by the background fields
493 more than the estimation of w . Our sensitivity experiments in Part I have revealed that the
494 differences between satellite and reanalyses u and v under high-wind and rain conditions are
495 difficult to reconcile and contribute to the uncertainty of the u and v estimates. Figure 10 shows
496 that the weight perturbation analysis is able to capture the leading source of uncertainty and
497 produces an error pattern that is consistent with the sensitivity analysis in Part I.

498

499 **3.6 Rain and high winds detected by SSM/I and QuikSCAT**

500 Wind speed retrievals from the SSM/I series rely on the measurements made at 37 GHz
501 channels, and wind speed and vector retrievals from QuikSCAT are made at 14 GHz. Since higher
502 frequency bands are more sensitive to rain than lower frequency bands, SSM/I wind retrievals are
503 more susceptible to rain than QuikSCAT. SSM/I provides no wind retrievals whenever there is
504 rain, while QuikSCAT is only sensitive to heavy rain (i.e., vertically integrated rain rate greater
505 than $2.0 \text{ km mm hr}^{-1}$). One can expect that SSM/I has more rain-flagged days than QuikSCAT.
506 This is shown in Figures 10a-c, a comparison of the total rain amount derived from SSMI F13 with
507 the total number of rain days derived from the respective SSM/I F13 and QuikSCAT in 2008. The
508 difference in the sensitivity of the two sensors with regard to rain is most evident in the
509 extratropical storm track region, where SSM/I wind retrievals have about 180 rain days in a year
510 over the most areas (Fig.9b) while QuikSCAT wind retrievals have much less rain-flagged days
511 except in the western boundary current regions (Fig.9c). There are more useful wind retrievals

512 from QuikSCAT than from one SSM/I sensor. Apparently, QuikSCAT has advantages over SSM/I
513 in that it is not only capable of providing wind speed and direction information but also capable of
514 producing more data coverage under similar rain conditions.

515 A comparison of the number of high-wind days derived from SSM/I with that derived from
516 QuikSCAT is shown in Figures 12a-b, respectively. The plots were constructed using the wind
517 retrievals in 2008. The two patterns are remarkably similar. SSM/I has slightly more high-wind
518 days at a few spots, such as the north Atlantic near 50°N and the southern Indian Ocean near 45°S.
519 In 2008, the northern Atlantic Ocean was under the influence of high winds for 50-60 days, while
520 the northern Pacific and the southern Atlantic Ocean had only about 20-30 days on average. In the
521 southern oceans, high winds are embedded within the strong westerly wind belt and are localized
522 at sites such as the Indian and Pacific sectors with a frequency of 50-60 days per year. The high-
523 wind frequency derived from SSMIS, ASMRE and WindSat (not shown) is similar to that from
524 SSM/I, due mostly to the use of the same RTM in retrieving winds from these sensors and the
525 inter-calibration between QuikSCAT and radiometers performed by the Remote Sensing Systems
526 (<http://www.remss.com>).

527

528 **3.7 Dependence of the estimated errors on rain intensity and wind speed**

529 The discussions above delineated that the ensemble error statistics of w , u , and v generated
530 by the weight perturbation analysis are capable of representing the impact of rain and high wind
531 conditions on the OAFflux analysis. To quantify the dependence of the estimated errors of w , u , and
532 v on rain intensity and wind speed magnitude for all ranges, the errors were binned onto the SSM/I
533 rain rate bin of every 50 cm yr⁻¹ and the SSM/I wind speed bin of every 1 ms⁻¹. It can be seen that
534 the w , u , and v errors increase with both rain intensity and wind speed (Figs. 13a-b). For the rain

535 rate in the range of $0 - 1000 \text{ cm yr}^{-1}$, the w errors increase from 0.2 ms^{-1} to 0.3 ms^{-1} and the u and v
536 errors from 0.3 ms^{-1} to 0.6 ms^{-1} . The greater sensitivity of u and v estimates to rain intensity is
537 consistent with the analysis of Fig.10, indicating the difficulty of using the reanalysis winds to fill
538 in the rain-induced data gaps in QuikSCAT. The estimates of w are less affected by reanalysis
539 because all sensors provide wind speed retrievals and have good global coverage on daily basis.

540 The association of the w , u , and v errors with the wind speed (Fig.13b) depicts clearly the
541 influence of high winds. At low to moderate wind speed range ($2 - 10 \text{ ms}^{-1}$), the errors of w , u , and
542 v remain leveled at around 0.2 ms^{-1} for w and 0.3 ms^{-1} for u and v . All errors show a sharp increase
543 when wind speed is greater than 10 ms^{-1} . For instance, when wind speed strengthens from 15 to 20
544 ms^{-1} , errors of u and v jump from 0.4 to 0.6 ms^{-1} and errors of w from 0.2 to 0.4 ms^{-1} . In general,
545 errors of v are more sensitive to high wind conditions and has the largest rate of increase with wind
546 speed.

547

548 **4. Summary and discussion**

549 A high-resolution global analysis of ocean-surface vector winds from 1987 onward has
550 been recently developed by the OAFlux project through objective synthesis of 12 satellite wind
551 sensors [see Part I]. The 12 satellite sensors include 2 scatterometers (QuikSCAT and ASCAT)
552 that have wind speed and direction retrievals, and 10 passive microwave radiometers (6 SSM/I
553 sensors - F08, F10, F11, F13, F14, and F15; 2 SSMIS sensors – F16 and F17, AMSR-E, and the
554 passive polarimetric microwave radiometer from WindSat) that have wind speed retrievals only.
555 This Part II study addresses the uncertainty analysis of the OAFlux vector wind time series that
556 was constructed from using a variational approach to find a best fit to input data (satellite
557 observations, reanalysis wind components, and *a priori* terms) in a weighted least-squares cost

558 function. The weights are inversely proportional to error covariances of data. Since error
559 covariances cannot be perfectly known, the best-fit of the cost function is sensitive to the
560 uncertainty of the weight assignment.

561 We presented in this study our efforts in seeking (i) a practical use of independent buoy
562 measurements to determine weight assignment and (ii) a feasible representation of the impacts of
563 the weight-assignment uncertainty on the resultant vector wind analysis. In doing so, we
564 implemented weight selection criteria that require the selected weights to make the best-fit of the
565 cost function to be as close as possible not only to input satellite observations but also to in situ
566 buoy measurements at 126 locations that were not included in the synthesis. The idea of the weight
567 selection experiment was inspired by the study of *Desroziers and Ivanov* [2001] in that the error
568 covariance parameters can be tuned adaptively using the diagnostics of the differences between the
569 solution of the cost function and input observations (i.e., the innovation vectors). We demonstrated
570 here that independent buoy measurements are an effective addition in selecting the optimal weights
571 for the cost function. A total of 200 experiments were conducted to test the performance of the cost
572 function in response to various weight ratios between the total weights assigned to satellite data
573 constraints and those to reanalyses constraints, from which an optimal ratio was determined.
574 However, details of the spatial structure and temporal variability of the errors cannot be deduced
575 due to the limited coverage of the buoy measurements. The experiment was limited to the weights
576 that are assumed to be constant and the selection criteria is based on the gross impact of the
577 weights on the minimization of the cost function.

578 To determine the uncertainty of the wind analysis associated with the uncertainty in the
579 weight assignment in both spatial and temporal domain, we further designed an ensemble-based
580 weight perturbation experiment to generate an ensemble of the solutions in response to randomized

581 weights and to use the ensemble statistics as a measure of the uncertainty of the solution due to the
582 uncertainty of the weight assignment. A total of 160 sets of weight perturbation experiments were
583 conducted. The ensemble statistics approach a quasi-steady state when N is around 40, and further
584 increase of the number of experiments does not change the statistics as the degree of freedom for
585 errors is determined by the number of input datasets not by the number of sensitivity experiments.
586 When averaged globally and over the 25-year analysis period, the estimated mean STD weight
587 assignment error is 0.21 ms^{-1} in w , 0.30 ms^{-1} in u , and 0.32 ms^{-1} in v .

588 High winds ($>15\text{ms}^{-1}$) and rain conditions are identified as the leading sources of
589 uncertainty in the OAFlux wind analysis. The three error fields of w , u , and v are shown to have a
590 similar spatial pattern, with large errors appearing in three distinct regions: the westerly belts in the
591 northern and southern midlatitudes ($40\text{-}60^\circ$) and the ITCZ/SPCZ rain belts in the tropical oceans.
592 It is evidenced that the error patterns are not controlled by the magnitude of wind speed and
593 components but by the patterns of high winds and rain rate. Wind retrievals from different sensors
594 differ at high wind speeds due to the lack of the ground-based high-wind measurements as
595 validation. The effect of rain on microwave sensors depends on the operating frequency, with
596 QuikSCAT retrievals being contaminated under heavy rain. It is found that the removal of rain
597 contaminated wind retrievals in QuikSCAT leads to data gaps in u and v components that cannot
598 be filled in by reanalysis winds as the differences between satellite and reanalysis associated with
599 strong rain storms are usually large and difficult to reconcile. This explains that errors of u and v
600 have a magnitude larger than errors of w . It appears that the ensemble-based weight-perturbation
601 analysis is capable of identifying the leading error sources in the OAFlux analysis and producing
602 an error quantification that reflects the impact of leading error sources.

603 Given the complexity of the sources contributing to errors, the present analysis of errors
604 represents the first effort we made toward improving the characterization and quantification of the
605 uncertainty in the OAFlux vector wind analysis associated with the weight assignment errors. It
606 appears that further reduction of the uncertainty of a multi-sensor synthesis is possible only when
607 more scatterometers are available that allows for more global coverage and minimizes the need of
608 reanalyses as the background datasets. Currently, the satellite ocean-wind observing system
609 reaches a historical three-scatterometer constellation that features ASCAT aboard EUMESAT
610 MetOP-A and -B, and the Indian OceanSat-2 scatterometer launched by ISRO. ASCAT-A and -B
611 are less sensitive to rain and OceanSat-2 has a global daily coverage equivalent to QuikSCAT. The
612 three scatterometers when combined present a unique opportunity to improve the understanding
613 and estimation of the wind estimates under all weather conditions.

614

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623 Archive at <http://dss.ucar.edu> and the original datasets are produced by ECMWF. CFSR winds
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625

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757

758 **Figure Captions**

759 Figure 1. (a) Selection of the optimal weight ratio based on two criteria, namely, the STD wind
760 speed differences between the minimum of the cost function and buoy measurements (x-axis)
761 and the STD wind speed differences between the minimum of the cost function and input
762 satellite observations (y-axis). Each cross represents one experiment, with the corresponding
763 weight ratio marked next to the cross. (b) Location of buoys used in the weight selection
764 experiment.

765 Figure 2. Number of weight perturbation experiments versus the globally averaged STD weight
766 assignment error in wind speed (red line), zonal wind component (black line), and meridional
767 wind component (blue line) for year 2008.

768 Figure 3. The 25-year time-mean of the OAFlux wind fields and uncertainty estimates in response
769 to the uncertainty in weight assignment. Left column: the annual mean fields of (a) wind
770 speed, (b) zonal (positive eastward), and (c) meridional (positive northward) winds. Center
771 column: the annual mean error fields of (d) wind speed, (e) zonal and (f) meridional winds.
772 Right column: zonally averaged annual-mean values for (g) wind speed and associated error
773 estimate, (h) zonal wind and associated error estimate, and (i) meridional wind and associated
774 error estimate.

775 Figure 4. Same as Figure 3 but for time-mean January.

776 Figure 5. Same as Figure 3 but for time-mean July.

777 Figure 6. Averaged number of rain days per month constructed from SSM/I and SSMIS sensors
778 (F13, F16, and F17) during the 1988-2012 period. (a) Annual mean, (b) January, and (c) July.
779 Unit: number of days per month.

780 Figure 7. Averaged number of high-wind ($>15\text{ms}^{-1}$) days per month constructed from SSM/I and
781 SSMIS sensors (F13, F16, and F17) during the 1988-2012 period. (a) Annual mean, (b)
782 January, and (c) July. Unit: number of days per month.

783 Figure 8. Zonally averaged values for annual mean (thick black), January (blue), and July (red)
784 over the 25-year period (1988-2012). (a) Rain days per month, (b) High wind days per month,
785 (c) estimated error of wind speed, (d) estimated error of zonal wind, and (e) estimated error of
786 meridional wind.

787 Figure 9. Case study of daily-mean fields from satellite observations on 01 January 2005. (a) rain
788 rate from SSM/I F13, (b) wind speed from SSM/I F13, and (c) wind speed from QuikSCAT.

789 Figure 10. Case study of the OAFflux daily-mean winds and associated error estimates on 01
790 January 2005. (a) wind speed, (b) zonal wind, (c) meridional wind, (d) estimated error of wind
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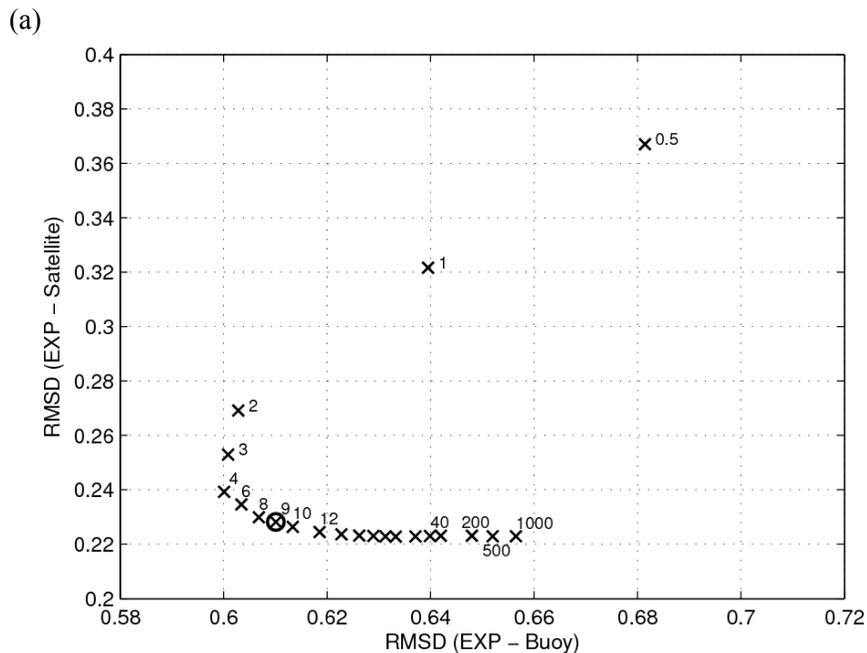
792 Figure 11. (a) Annual-mean averaged rain rate in 2008 derived from SSM/I F13, (b) the total
793 number of rain days in 2008 constructed from SSM/I F13, and (c) the total number of rain days
794 in 2008 from QuikSCAT.

795 Figure 12. The total number of high-wind days in 2008 constructed from (a) SSM/I F13 and (b)
796 QuikSCAT.

797 Figure 13. Increase of the wind speed error with (a) SSM/I F13 rain rate and (b) SSM/I F13 wind
798 speed constructed from daily-mean fields in 2008.

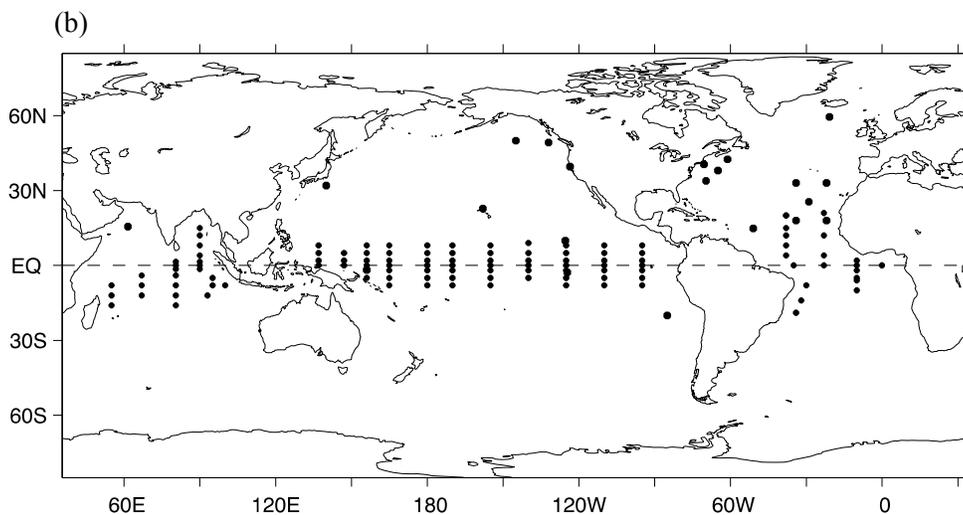
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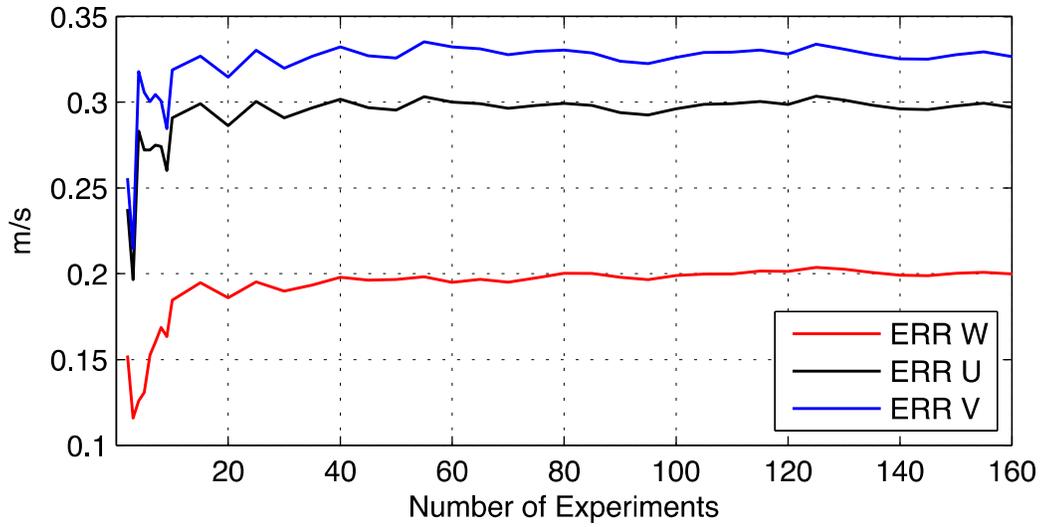


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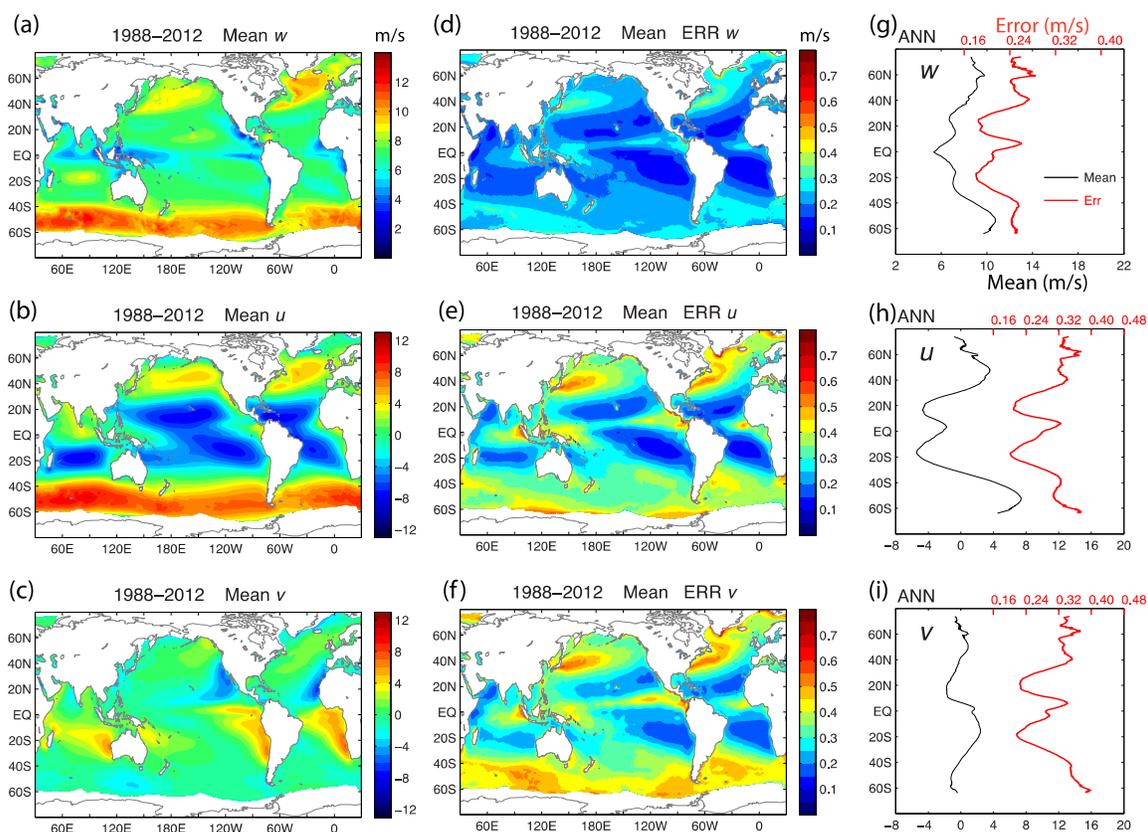
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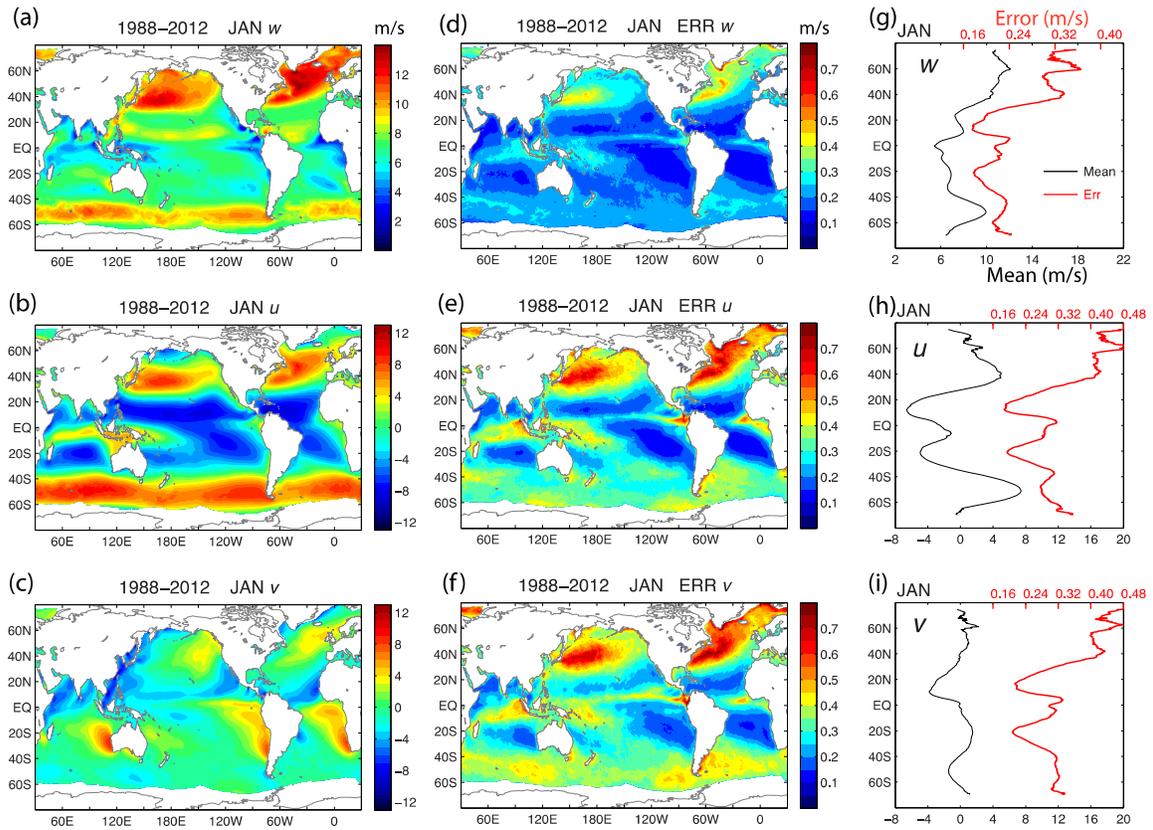
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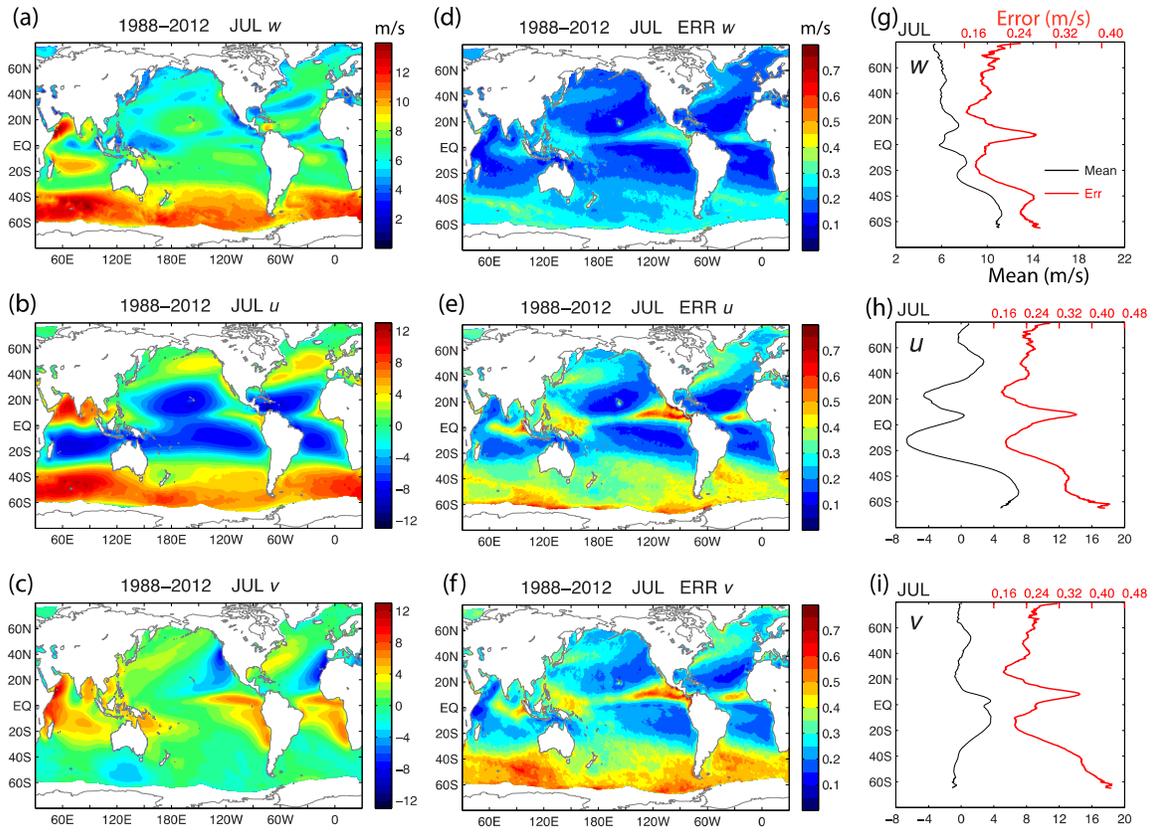
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Figure 4. Same as Figure 3 but for time-mean January.

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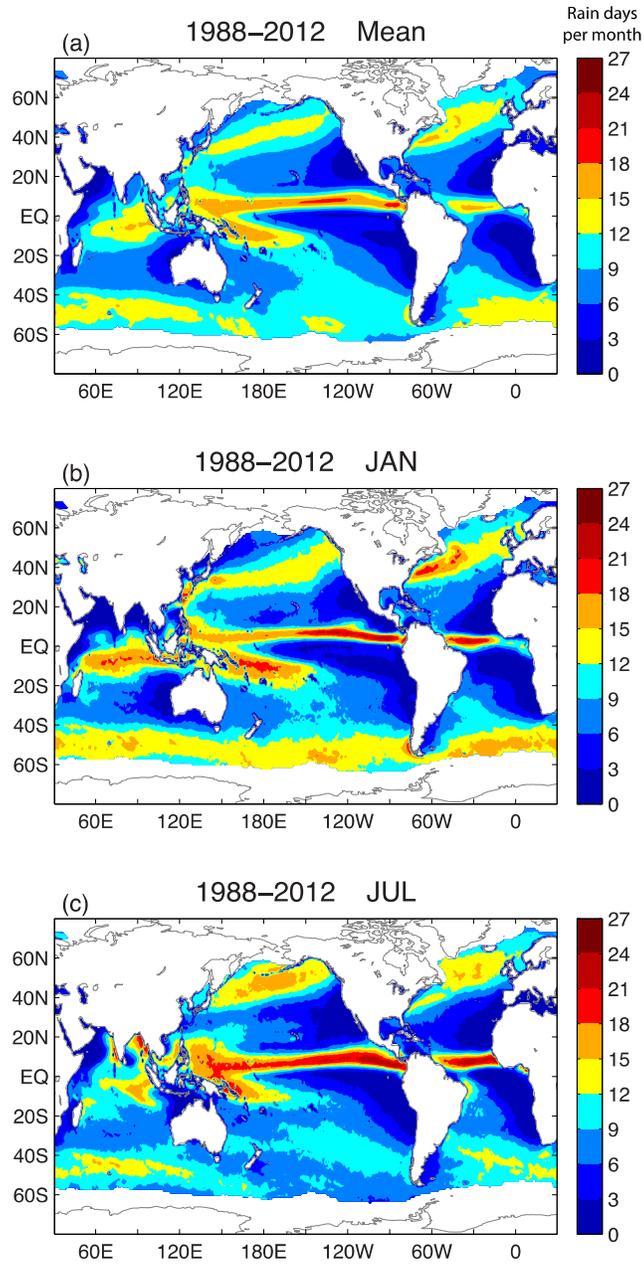
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Figure 5. Same as Figure 3 but for time-mean July.

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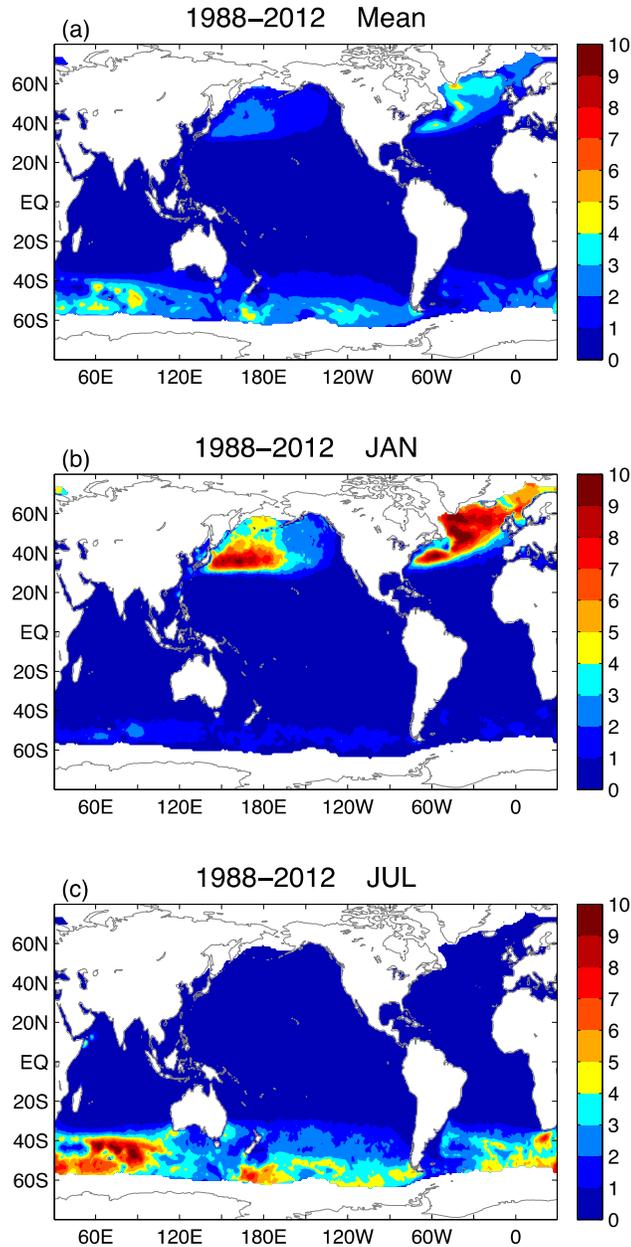
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845 Figure 6. Averaged number of rain days per month constructed from SSMI/SSMIS sensors (F13,
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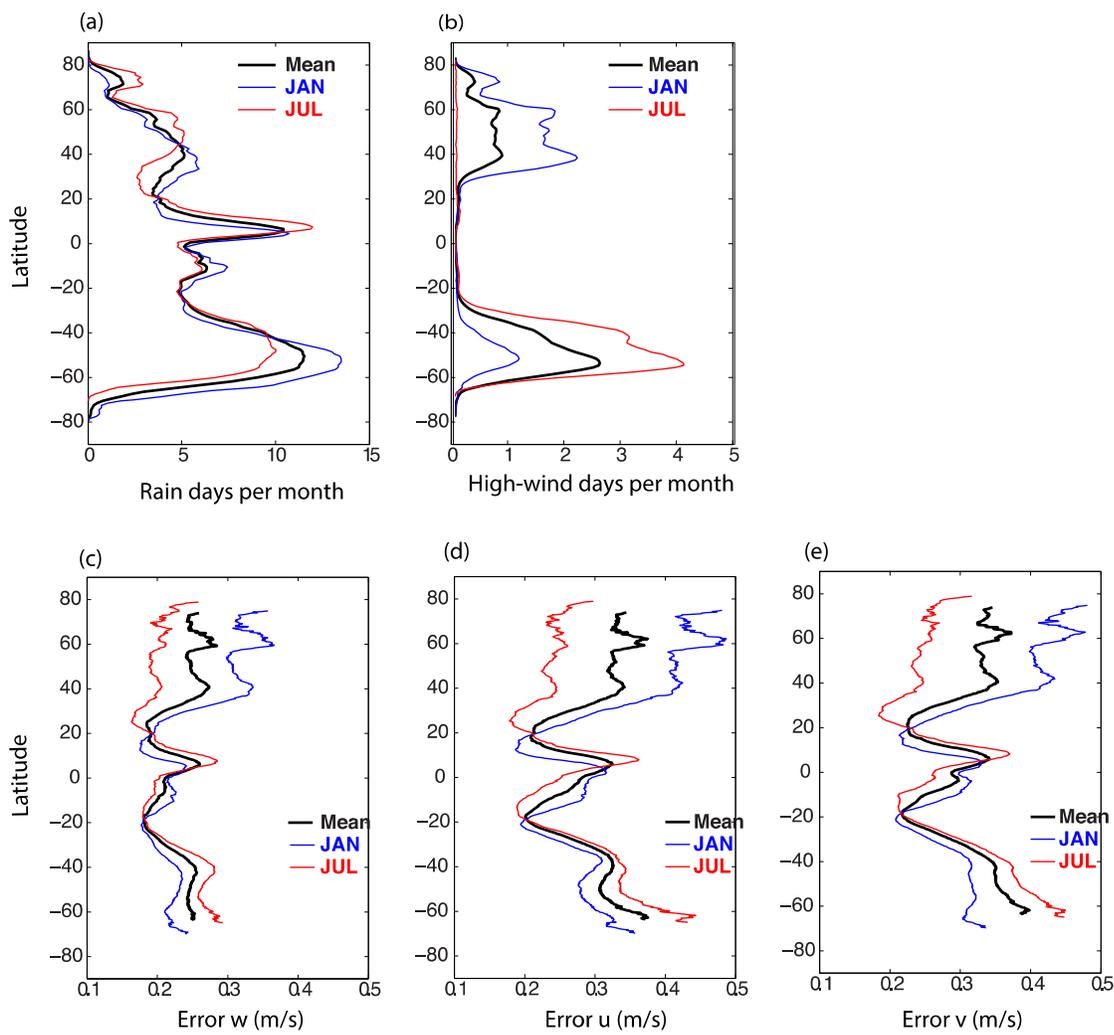
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851 Figure 7. Averaged number of high-wind (>15ms⁻¹) days per month constructed from SSM/I and
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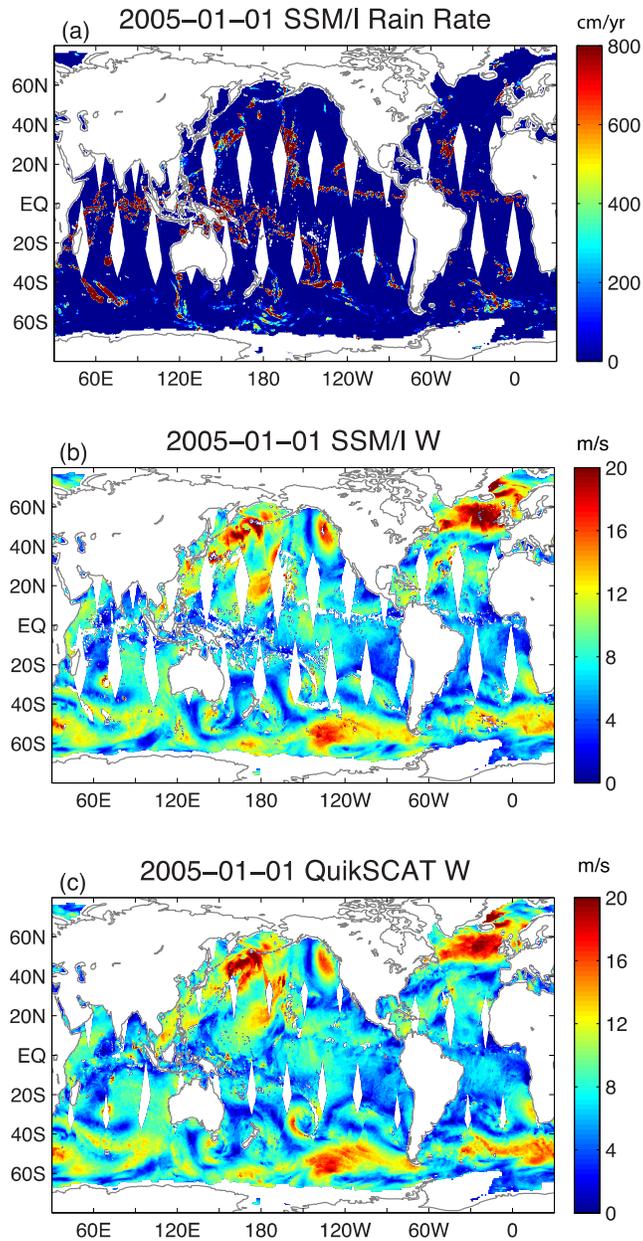


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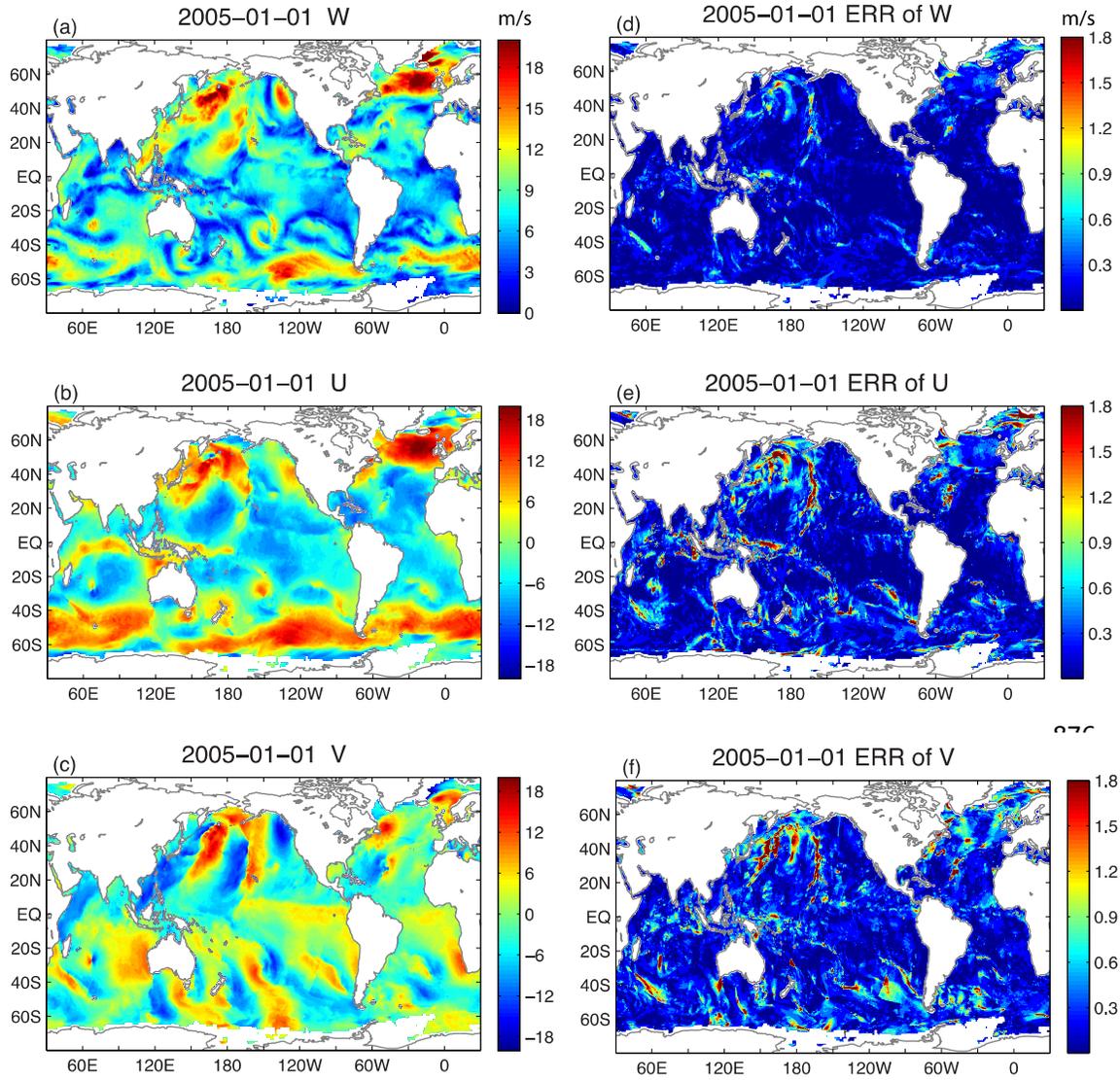


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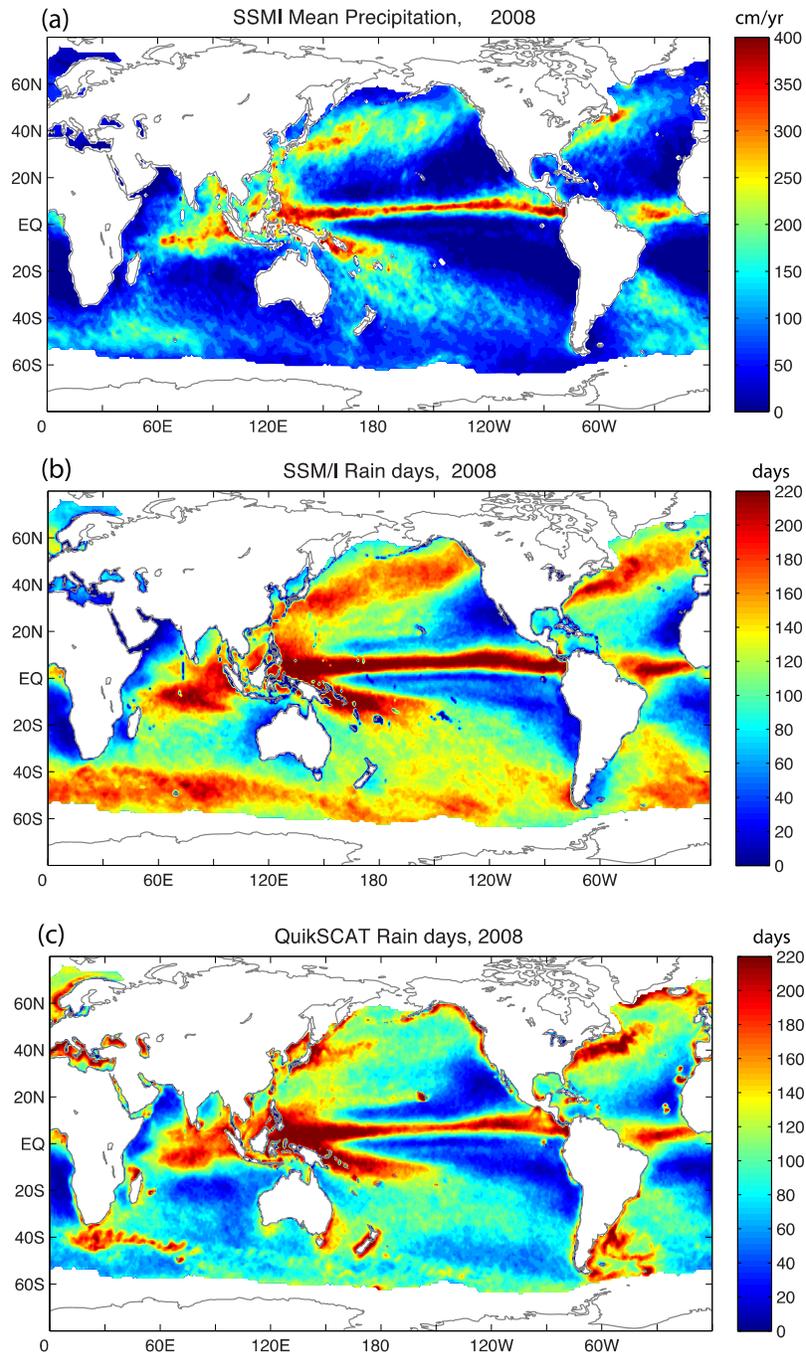


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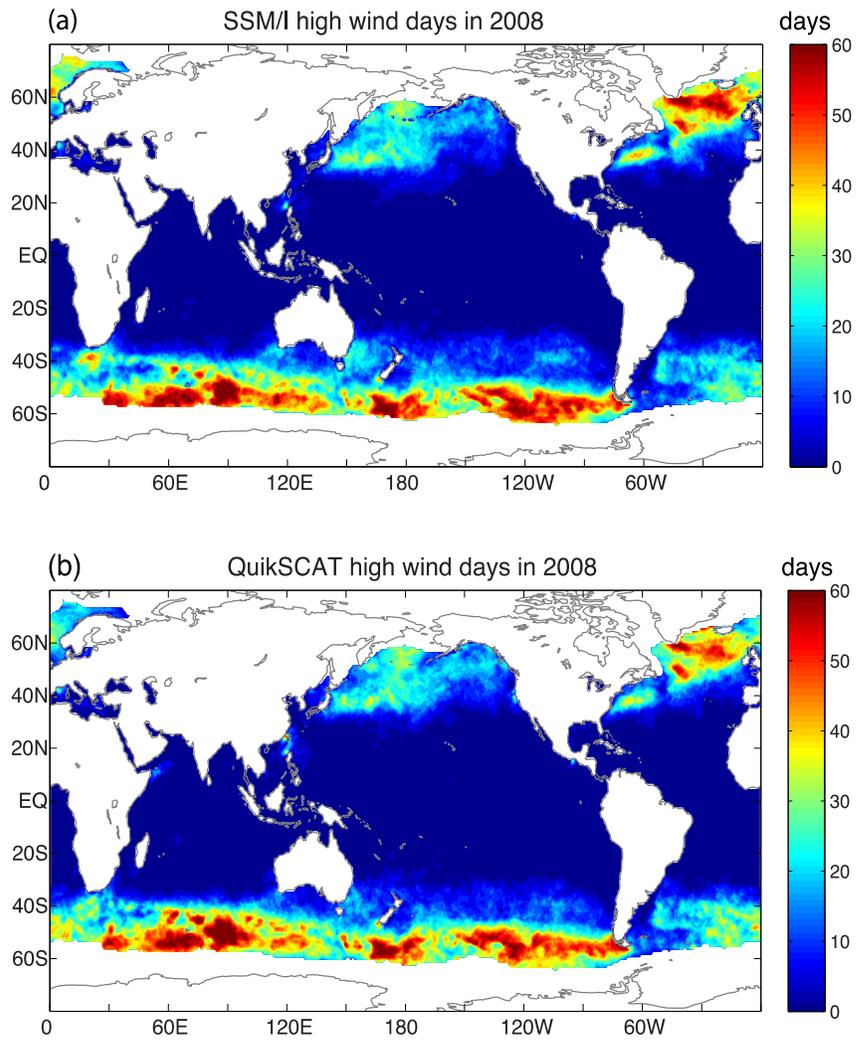
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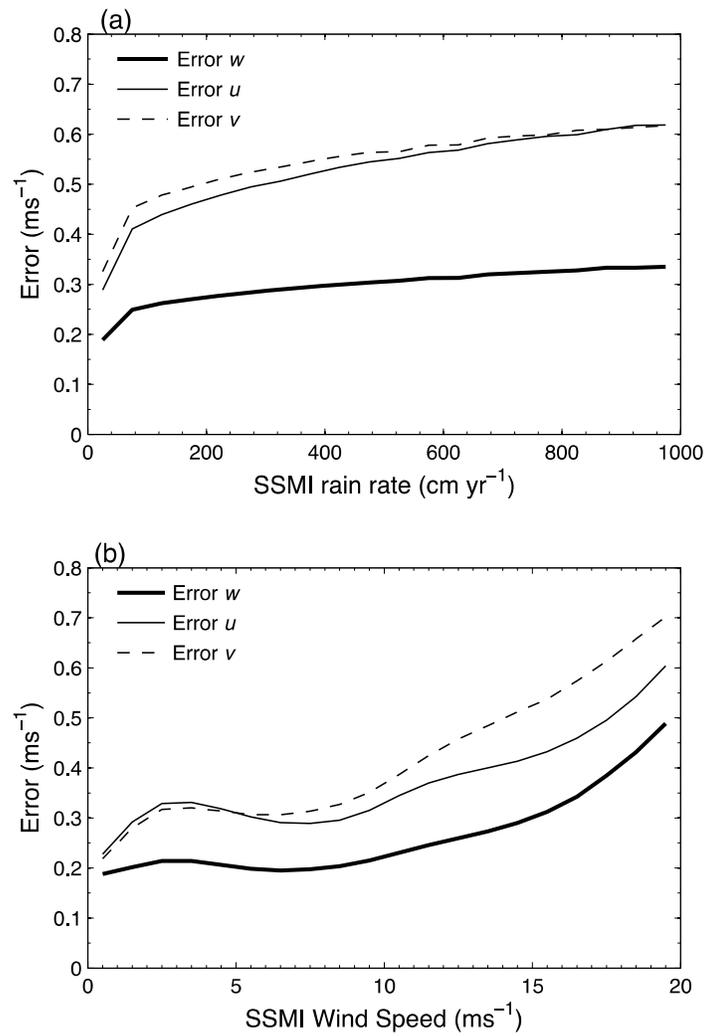
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