A Comparison of Stratospheric Gravity Waves in a High-Resolution General Circulation Model with 3-D Satellite Observations

Haruka Okui¹, Corwin James Wright², Neil P Hindley², Emily J Lear², and Kaoru Sato¹

¹The University of Tokyo ²University of Bath

March 9, 2023

Abstract

Atmospheric gravity waves (GWs) play a key role in determining the thermodynamical structure of the Earth's middle atmosphere. Despite the small spatial and temporal scales of these waves, a few high-top general circulation models (GCMs) that can resolve them explicitly have recently become available. This study compares global GW characteristics simulated in one such GCM, the Japanese Atmospheric GCM for Upper-Atmosphere Research (JAGUAR), with those derived from three-dimensional (3-D) temperatures observed by the Atmospheric Infrared Sounder (AIRS) aboard NASA's Aqua satellite. The target period is from 15 December 2018 to 8 January 2019, including the onset of a major sudden stratospheric warming (SSW). The 3-D Stockwell transform method is used for GW spectral analysis. The amplitudes and momentum fluxes of GWs in JAGUAR are generally in good quantitative agreement with those in the AIRS observations in both magnitude and distribution. As the SSW event progressed, the GW amplitudes and eastward momentum flux increased at low latitudes in the summer hemisphere in both the model and observation datasets. Case studies demonstrate that the model is able to reproduce comparable wave events to those in the AIRS observations with some differences, especially noticeable at low latitudes in the summer hemisphere. Through a comparison between the model results with and without the AIRS observational filter applied, it is suggested that the amplitudes of GWs near the exits and entrances of eastward jet streaks are underestimated in AIRS observations.

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4 5	H. Okui ¹ , C. J. Wright ² , N. P. Hindley ² , E. J. Lear ² , and K. Sato ¹
6	
7	¹ Department of Earth and Planetary Science, The University of Tokyo, Tokyo, Japan.
8	² Centre for Space, Atmospheric and Oceanic Science, University of Bath, Bath, UK.
9	
10	Corresponding author: Haruka Okui (<u>okui@eps.s.u-tokyo.ac.jp</u>)
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12	Key Points:
13 14	• Stratospheric gravity waves (GWs) in a GW-permitting high-top general circulation model are validated globally for a boreal winter
15 16	• The global characteristics of GWs and their variation during a sudden stratospheric warming are explored using the 3-D Stockwell transform
17 18 19	• Better model representation of convection and higher vertical resolution of the nadir- viewing instrument could provide better GW coverage

20 Abstract

- 21 Atmospheric gravity waves (GWs) play a key role in determining the thermodynamical structure
- of the Earth's middle atmosphere. Despite the small spatial and temporal scales of these waves, a
- 23 few high-top general circulation models (GCMs) that can resolve them explicitly have recently
- 24 become available. This study compares global GW characteristics simulated in one such GCM,
- the Japanese Atmospheric GCM for Upper-Atmosphere Research (JAGUAR), with those
- derived from three-dimensional (3-D) temperatures observed by the Atmospheric Infrared
- 27 Sounder (AIRS) aboard NASA's Aqua satellite. The target period is from 15 December 2018 to
- 8 January 2019, including the onset of a major sudden stratospheric warming (SSW). The 3-D
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- fluxes of GWs in JAGUAR are generally in good quantitative agreement with those in the AIRS
- observations in both magnitude and distribution. As the SSW event progressed, the GW
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- both the model and observation datasets. Case studies demonstrate that the model is able to
- reproduce comparable wave events to those in the AIRS observations with some differences,
- 35 especially noticeable at low latitudes in the summer hemisphere. Through a comparison between
- 36 the model results with and without the AIRS observational filter applied, it is suggested that the
- 37 amplitudes of GWs near the entrance or exit of an eastward jet streak are underestimated in
- 38 AIRS observations.

39 Plain Language Summary

- 40 Atmospheric gravity waves play key roles in the dynamics of the stratosphere, mesosphere and
- 41 thermosphere. Three-dimensional satellite observations and high-resolution general circulation
- 42 models are of broad use to further our understanding of their global characteristics. This is the
- 43 first study to make a quantitative comparison of the global distribution of the amplitudes and
- 44 momentum fluxes of gravity waves in the gravity-wave-permitting high-top general circulation
- 45 model (GCM), Japanese Atmospheric GCM for Upper-Atmosphere Research (JAGUAR), with
- those derived from three-dimensional temperature measurements by Atmospheric Infrared
 Sounder (AIRS) on NASA's Agua satellite. Good agreement in both magnitude and distribution
- of gravity wave activity is demonstrated between the JAGUAR and AIRS temperatures. There
- 49 are relatively large differences in tropical regions in the summer hemisphere, where convective
- 50 gravity waves are expected to be dominant. Comparison of model-simulated gravity waves with
- and without the AIRS vertical resolution applied indicates that gravity waves near the entrance or
- exit of an eastward jet streak may be overlooked in AIRS observations.

53 **1 Introduction**

- 54 Atmospheric gravity waves (GWs) are of crucial importance for the dynamics of the
- 55 Earth's middle atmosphere. Transporting energy and momentum, these waves play an essential
- role in driving the temperatures and circulations in the middle atmosphere away from the
- radiative equilibrium state. A major portion of the GW momentum flux is carried by waves
- 58 generated in the lower atmosphere. Their sources include topography, jets and fronts, convection,
- and strong wind shear. They propagate upward and deposit momentum into the atmospheric
- layer where they break or dissipate. This momentum deposition, or GW forcing, is the main driver of the measurement of $(1 4)^{-1}$ and $(1 4)^{-1}$
- 61 driver of the mesospheric circulation (e.g., Andrews et al., 1987). It also drives or modulates
- 62 phenomena in the stratosphere, such as the quasi-biennial oscillation (e.g., Baldwin et al., 2001;
- 63 Dunkerton, 1997; Sato & Dunkerton, 1997).

In recent years, there has been growing interest in the contribution of GWs to the onset of 64 stratospheric sudden warmings (SSWs) and the whole atmospheric response to SSWs. Although 65 SSWs themselves are caused by strong planetary wave forcing, several studies showed that not 66 67 only planetary waves but also GWs contribute to the occurrence of vortex preconditioning for SSWs (e.g., Albers & Birner, 2014; Wright et al., 2010). SSWs also have a notable impact on the 68 mesosphere. An elevated stratopause is a jump of the stratopause to an upper mesospheric height 69 several days after an SSW (Manney et al., 2008, 2009). It has been shown that both planetary 70 waves and GWs are responsible for the formation and/or descent of elevated stratopause events 71 (e.g., Chandran et al., 2011, 2013; Limpasuvan et al., 2012, 2016; Okui et al., 2021; Siskind et 72 al., 2010; Thurairajah et al., 2014; Tomikawa et al., 2012). In addition to the phenomena in the 73 winter hemisphere as mentioned above, the roles of GWs in the modification of the global 74 middle atmosphere associated with SSWs has received considerable attention: Interhemispheric 75 coupling is a lag correlation between the dynamical activity in the winter polar stratosphere, as 76 typified by SSWs, and the temperatures in the polar upper mesosphere in the summer 77 hemisphere. Though the mechanism is not yet fully understood, it is widely accepted that GWs 78 79 are one of the key factors in this phenomenon (Körnich & Becker, 2010; Smith et al., 2020; Yasui et al., 2021). As such, careful quantitative evaluation of GW activity before and after 80 SSWs will help enhance our understanding of the dynamical mechanisms of these phenomena. 81 82 To understand global characteristics of GWs, high-resolution satellite observations are a

key tool. Ern et al. (2018) produced a global climatology of GW parameters using two satellite 83 infrared limb sounders: High Resolution Dynamics Limb Sounder (HIRDLS) and Sounding of 84 the Atmosphere using Broadband Emission Radiometry (SABER). These limb sounders have 85 quite high vertical resolutions, namely 1 km for HIRDLS and 2 km for SABER (e.g., Barnett et 86 al., 2008; Gille et al., 2003, 2008; Wright et al., 2011). However, their horizontal resolutions are 87 much poorer (several hundreds of kilometers) and only horizontal wavelengths along the line of 88 sight of the instruments can be obtained. Thus, the horizontal wavelengths and, hence, 89 momentum fluxes of GWs are very likely to be overestimated. 90

To fully comprehend GW structure, three-dimensional (3-D) observations and 3-D 91 analysis methods are necessary. In contrast to limb sounding, nadir-viewing satellite instruments, 92 such as the Atmospheric Infrared Sounder (AIRS) on NASA's Aqua satellite, are characterized 93 by high horizontal resolutions and low vertical resolutions. One approach to consistently observe 94 3-D GW structure is combining limb- and nadir-sounding instruments (Alexander & Teitelbaum, 95 96 2011; Wright et al., 2016a, 2016b). In addition, the recent development of 3-D spectral analysis techniques (Ern et al., 2017; Hindley et al., 2019; Wright et al., 2017, 2021) has made global 3-D 97 98 GW measurements possible using the 3-D temperature retrieval for AIRS (Hoffmann & 99 Alexander 2009).

Evaluation of the impact of observational filters on GW characteristics is also needed. 100 Observational filters are limitations in observable spectral range depending on instruments and 101 observational techniques. These filters for satellite instruments are determined by the sensitivity 102 and sampling geometry. In this sense, intercomparison of satellite observations is worthwhile. 103 104 Wright et al. (2011) compared the Constellation Observing System for Meteorology Ionosphere and Climate (COSMIC), HIRDLS and SABER. Similarly, Meyer et al. (2018) made a global 105 comparison between AIRS and HIRDLS. These two studies showed that these instruments 106 basically give close agreement in the relative distribution of large amplitudes but those having 107 coarser vertical resolutions fail to obtain significant parts of a GW spectrum. 108

Recently, GW-permitting high-top GCMs have become available. As an example of this, 109 110 Watanabe et al. (2022) visualized 3-D structure and propagation of GWs in a T639L340 whole neutral atmosphere GCM called the Japanese Atmospheric GCM for Upper Atmosphere 111 Research (JAGUAR, Watanabe & Miyahara, 2009). JAGUAR is capable of reproducing the 112 universal spectrum (e.g., VanZandt, 1985; Tsuda et al., 1989; Sato et al., 2003), which is 113 characterized by a steep slope of vertical wavenumber (m) spectra ($\propto \sim m^{-3}$) at high 114 wavenumbers of $m = \sim 10^{-4} - 10^{-3} \text{ m}^{-1}$ (Okui et al., 2022). Kruse et al. (2022), meanwhile 115 demonstrated extremely good skill for four state-of-the-art numerical weather prediction models 116 at reproducing AIRS-observed orographic waves around the Drake Passage. While two of the 117 four models in this study were local-area in nature, two others, namely the Integrated Forecast 118 System (IFS) and the Icosahedral Nonhydrostatic (ICON) model, were run globally with vertical 119 domains from the surface up to ~80 km. Finally, Vadas and Becker (2018) and Becker and 120 Vadas (2018) demonstrated secondary generation of GWs caused by primary orographic GWs 121 122 using the Kühlungsborn Mechanistic general Circulation Model (KMCM; Becker, 2009). Becker and Vadas (2020) later extended the height range of this model to \sim 450 km, renaming it to the 123 High Altitude Mechanistic general Circulation Model (HIAMCM). Using this model, Becker et 124 125 al. (2022) nudged the troposphere, stratosphere and lower mesosphere of HIAMCM to reanalysis. They demonstrated that the model simulated a GW event over Northern Europe in 126 January 2016 consistently with AIRS temperature measurements. However, although such 127 GCMs can resolve a major part of GWs in the middle atmosphere, due to resolution limitations 128 even in the perfect case it is still impossible for them to cover the whole spectral range of GWs. 129

Since no observations or model simulations can provide full information on the global 130 characteristics of GWs, GW distributions and behavior should be carefully examined by 131 intercomparing different models and instruments. Accordingly, Geller et al. (2013) compared 132 absolute GW momentum fluxes in a 85-km-top high-resolution model, the Kanto model 133 (Watanabe et al., 2008), with those derived from SABER and HIRDLS observations. The Kanto 134 model, the predecessor of the JAGUAR model, and a low-top high-resolution model, 135 Community Atmosphere Model, version 5 (CAM5) in general agreed better with the 136 137 observations than other climate models did. Regarding the state-of-the-art GW-permitting hightop GCMs mentioned above, validation of model-simulated GWs using observations is mostly 138 limited to local comparisons (Becker et al., 2022; Kruse et al., 2022). The global distribution of 139 GW momentum flux, combined with careful GW validation and examination of the spectral 140 coverage, will also be informative for improvement of GW parameterization schemes. 141

In this study, we compare global GW characteristics between hindcast simulations 142 performed with JAGUAR and 3-D AIRS observations. In doing so, we validate the GWs in 143 JAGUAR against AIRS and, in addition, are able to estimate the possible impact of the coarse 144 vertical resolution of AIRS on observed GWs by comparing two datasets from JAGUAR with 145 and without a vertical low-pass filter acting as an analogue of AIRS' resolution limitations. In 146 this paper, we show results from December 2018 to January 2019. This period contains an SSW 147 whose onset occurred on 1 January 2019. Thus, variability in GW activity during the SSW event 148 is also described. 149

This paper begins by describing details of the observations and model simulation and explaining the 3-D Stockwell (S-) transform, which we used for GW spectral analysis. Section 3 first addresses comparisons of global distribution of GW amplitude and momentum flux and their variability before and after the 2019 SSW. Then, we take a closer look at some GW events. 154 Section 4 discusses the mechanisms of the distribution of GW characteristics described in the

previous section, the effect of an SSW on GW activity, and possible reasons for the agreement

and disagreement found in the AIRS and JAGUAR results. We summarize and provide someconcluding remarks in Section 5.

158

159 2 Data and Methods

160 2.1 AIRS

AIRS is a nadir-sounding satellite instrument on NASA's Aqua satellite (Aumann et al., 161 2003; Chahine et al., 2006). The satellite flies in a sun-synchronous near-polar orbit, completing 162 14.55 orbits per day. Viewing in the nadir of the satellite, AIRS has a good ability to observe fine 163 horizontal-scale structures. The instrument scans a continuous 1780 km-wide swath of 90 pixels 164 with a horizontal resolution varying from ~13.5 km \times 13.5 km at nadir to ~41 km \times 21.4 km at 165 track edge. The data are sectioned into 135-pixel along-track pieces, referred to as granules, 166 whose lengths are roughly 2250 km. There are 240 granules per day, corresponding to 6 minutes 167 of data collection each. AIRS has 2378 spectral channels. We analyze 3-D temperatures derived 168 from AIRS infrared radiance measurements in the 4.3 and 15 µm infrared CO2 channels, 169 retrieved using the method described by Hoffmann and Alexander (2009). The vertical resolution 170 of the retrieved temperature is 7–20 km over an altitude range of z=15-60 km (Hindley et al., 171 2019). The assumption of local thermodynamic equilibrium, used in the retrieval scheme, is 172 violated during daytime and, to reduce this influence, the daytime retrieval only uses the 15 µm 173 channel. As a result, the vertical resolution is coarser for the daytime retrieval (see Fig. 2b of 174 Hindley et al., 2019). To examine a sufficient number of granules even at summer latitudes, we 175 analyzed the global characteristics using both daytime and nighttime observations. In case 176 studies presented in Section 3.3, only the results from nighttime observations are shown. 177

178 2.2 JAGUAR

Temperature perturbations in hindcast simulations performed with a GW-permitting 179 180 GCM, JAGUAR, are compared with those in AIRS observations. JAGUAR is a hydrostatic global spectral model using a T639 triangular truncation, which is capable of resolving 181 horizontal wavelengths longer than ~60 km (Watanabe & Miyahara, 2009). The model contains 182 340 vertical layers from the surface to the lower thermosphere (~150 km) with a constant log-183 pressure height interval of 300 m. No parameterization schemes for sub-grid-scale GWs are 184 applied in this model. Cumulus convection is parameterized by using the scheme presented by 185 Arakawa and Schubert (1974). 186

Hindcast simulations using JAGUAR were performed for boreal winter 2018–2019. The 187 188 model was initialized by 3-day spectral nudging to a reanalysis dataset created by the JAGUAR-Data Assimilation System (JAGUAR-DAS; Koshin et al., 2020, 2022). This nudging process 189 relaxes only the low total horizontal wavenumber (n) components of n=0-15 to the reanalysis 190 data, leaving GWs and other high n components ($n \ge 16$) free to evolve. Supporting this, the 191 ERA5 reanalysis dataset (Hersbach et al., 2020) was used to constrain n=0-15 in the 192 troposphere (> 200 hPa), where the reliability of the JAGUAR-DAS reanalysis is relatively low 193 compared to ERA5. After the initializations, a series of 4-day free-run simulations were 194 195 performed. These free-runs from December 2018 to 8 January 2019 with a 4-day interval are analyzed in this study. The period contains an Arctic major SSW occurring around New Year's 196

Day in 2019 (Rao et al., 2019). The background wind field during this period, which can affect the generation, propagation and attenuation of GWs, significantly changed as a result of this event, and thus the averages shown in this study are taken individually over the separate periods of 15–22, 23–31 December 2018 and 1–8 January 2019, which correspond to a period with the stable stratospheric winter jet, and the periods before and after an SSW, respectively.

202 To provide a fair comparison with AIRS temperature perturbations, the temperature output from JAGUAR simulations was resampled as the AIRS footprints by using linear 203 interpolation. Hindley et al. (2021), who compared GWs in a local-area configuration of the UK 204 Met Office Unified Model (1.5 km grid, 118 vertical levels) with AIRS, first convolved the 205 model-simulated temperature field with a horizontal Gaussian function with a full width at half 206 maximum (FWHM) of 13.5 km×13.5 km and then resampled the model data as the AIRS 207 footprints. In this study, such horizontal filters were not applied because there is no considerable 208 difference in horizontal resolutions between JAGUAR and AIRS. Since the JAGUAR outputs 209 were averaged to a 1-hour frequency, this resampling was performed on the JAGUAR data 210 whose representative time (the central time of the averaged time period) is closest to the 211 observation time of each AIRS granule. For example, Granule 127 on 16 December 2018, which 212 corresponds to the AIRS observation from 13:42UTC to 13:48UTC on 16 December 2018, was 213 compared with JAGUAR data at 13:30UTC on the same day. 214

The vertical resolution of the 3-D AIRS temperature retrieval was also applied to the 215 JAGUAR temperatures. Before doing that, we extracted one model layer every three (i.e., at a 216 constant log-pressure height interval of 900 m) to reduce computational cost. Since the vertical 217 resolution of AIRS is coarser by an order of magnitude than 900 m, it is expected that the 218 219 influence of this extraction on the results is limited. Then, the extracted model layers were linearly interpolated onto a regular geopotential height grid from the surface to z=90 km in 1 km 220 steps. We then used the method of the AIRS vertical resolution application described in Hindley 221 et al. (2021). This involved calculating the convolution of the model temperature profiles using 222 223 vertical Gaussian functions with FWHMs corresponding to the AIRS vertical resolution (see Fig. 2b of Hindley et al., 2019) for each altitude. Finally, we added noise to the model data to 224 simulate the AIRS retrieval noise following the method described by Hindley et al. (2019). The 225 residual perturbations (refer to Section 2.3 for the definition) in Granule 1 at 00:00 UTC on 15 226 227 December 2018, which contains no discernible waves, are horizontally randomized and added to the resampled JAGUAR granules. 228

To discuss the effect of the observational filter and retrieval noise, the results for 229 JAGUAR without the applications of the AIRS vertical resolution and retrieval noise are also 230 231 shown in Section 3. The model layers were interpolated onto a 300-m geopotential height grid for the preparation of these data. They are hereafter referred to as JAGUAR without the 232 observational filter. On the other hand, JAGUAR with the observational filter denotes the model 233 data with all the process described above applied. In addition to wave features, horizontal winds 234 in JAGUAR are described in the following sections. Note that the altitudes on all the figures 235 from JAGUAR are not the log-pressure height but the geopotential height. 236

237 2.3 The 3-D S-Transform

The N-dimensional S-transform (Stockwell et al., 1996) application developed by
 Hindley et al. (2019) was used here for spectral analysis of 3-D temperature perturbations. First,
 the method of GW extraction is as follows: AIRS temperatures and JAGUAR temperatures

- resampled as AIRS footprints are interpolated onto a regular horizontal grid with a constant
- interval of 20 km. Fitting fourth-order polynomials in the cross-track direction, the background
- temperatures (\overline{T}) are extracted from the original temperature fields, following the method
- described in Alexander and Barnet (2007). The residual perturbations T', containing GWs and
- noise, are used for the spectral analysis. The resulting temperature perturbations are sensitive to
- waves having vertical wavelengths of $8 \le \lambda_z \le 40$ km and horizontal wavelengths λ_H from several
- tens of kilometres, depending on the angle from nadir, to $\lambda_{\rm H} \sim 1000$ km (Ern et al., 2017;
- 248 Hindley et al., 2019; Hoffmann et al., 2014).
- Second, the 3-D S-transform was performed. To exclude pixel-to-pixel variations, waves with shorter λ_z than a threshold vertical wavelength λ_c or shorter λ_H than 60 km were ignored. The threshold was set as $\lambda_c = 6$ km for AIRS, 2 km for JAGUAR with the observational filter, and 1 km for JAGUAR without the observational filter. Only the dominant 1000 sets of wavenumbers in each granule are analyzed. The resulting 3-D S-transform object for each granule contains six-dimensional wave properties. To reduce the number of dimensions and computational expense, we only use the 3-D spatial structure of the properties of the dominant
- 256 waves for each granule.

257 Rotating along- and cross-track wavenumbers by using the azimuth of the along-track 258 direction at each grid, wave amplitude |T'| and zonal, meridional and vertical wavenumbers 259 (k, l, m) are finally obtained.Under the midfrequency assumption, namely $f \ll \hat{\omega} \ll N$ (*f* is the 260 Coriolis parameter; $\hat{\omega}$ is the intrinsic frequency; and *N* is the buoyancy frequency), the zonal and 261 meridional components of vertical GW momentum flux (MF_x, MF_y) can be derived as

$$\left(\mathrm{MF}_{x},\mathrm{MF}_{y}\right) = -\frac{\rho}{2} \left(\frac{\mathrm{g}}{N}\right)^{2} \left(\frac{|T'|}{\overline{T}}\right)^{2} \left(\frac{k}{m},\frac{l}{m}\right)$$
(1)

where ρ is atmospheric density, and g is the acceleration due to gravity (Ern et al., 2004). To preserve the direction of (MF_x, MF_y) , the three components (k, l, m) of a wave vector are computed as signed values (Alexander et al., 2018).

265

266 **3 Results**

267

3.1 Global Features of GW Amplitudes and Momentum Fluxes

Global distributions of GW amplitudes and momentum fluxes are described in this 268 section with a comparison between AIRS observations and JAGUAR hindcasts. Prior to that, we 269 briefly give an overview of the evolution of the zonal wind field during the period of interest. We 270 do this because the background wind field, which changed drastically due to the SSW, is 271 expected to be highly correlated with GW characteristics. Figure 1 shows horizontal maps of the 272 zonal wind at z=39 km during 15–22 December 2018 (Period 1) in Fig. 1a, 23–31 December 273 2018 (Period 2) in Fig. 1b, and 1-8 January 2019 (Period 3) in Fig. 1c. All the horizontal maps in 274 this paper are shown for z=39 km, which lies in the center of the usable height range of AIRS 275 data. The onset of the major warming occurred on 1 January 2019. During Period 1 (Fig. 1a), the 276 eastward jet in the winter Northern Hemisphere is still strong. The polar vortex has shifted away 277 from North America towards Europe. It has been shown previously that the Arctic polar vortex is 278 inclined to be displaced towards the Eurasian Continent especially in recent years (e.g., Zhang et 279

al., 2016), and thus the zonal wind in Period 1 displays a pattern and strength that are similar to climatological boreal winters. In Period 2 from 23 December to just prior to the SSW onset (Fig. 1b), the polar vortex is located over the North Atlantic. The zonal wind in the Northern Hemisphere has zonally asymmetric structure with a zonal wavenumber s=1. The summer westward jet at ~25° S is stronger than that in Period 1. After the onset of the major warming, or in Period 3 (Fig. 1c), westward wind has become dominant at high latitudes in the Northern

286 Hemisphere. The summer jet has been continuously accelerated until this period.

Figure 2 displays the horizontal distribution of the amplitudes and momentum fluxes of 287 stratospheric GWs in Period 1 from AIRS (Figs. 2a, 2c and 2e) and JAGUAR with the AIRS 288 observational filter applied (Figs. 2b, 2d and 2f). The right-hand panel of each horizontal map 289 shows the respective zonal-mean values. What stands out in this figure is the good agreement of 290 the distribution and magnitude of peaks in the amplitudes between JAGUAR and AIRS data. 291 High GW activities are distributed along the eastward jet in the Northern Hemisphere (Fig. 1a) 292 and in the low-latitude region of the Southern Hemisphere. There are remarkably large 293 amplitudes of ~3.5 K above the central and eastern Eurasia. This feature is quantitatively 294 consistent between the model and the observations. Large amplitudes are also observed above 295 Europe and the highest areas of the Ural mountains in Russia (~65° N, 60° E). The maxima of 296 these features are 3–3.5 K in the AIRS observation and 2–2.5 K in the JAGUAR data. At low 297 latitudes (~20° S) in the summer hemisphere, high-amplitude peaks can be seen in the eastern 298 part of Southern America and near Madagascar Island. There is a background amplitude level of 299 \sim 1.4 K in AIRS data which is almost uniform everywhere except in the areas of large amplitudes 300 described above. This level shift is much smaller, specifically ~0.5 K, in the JAGUAR data, 301 which may suggest that the method used of adding noise in the local-area study by Hindley et al 302 (2019) is not well-suited for this purpose at global scales. 303

304 As shown in Figs. 2c and 2d, strong westward momentum flux is observed along the winter jet over the Eurasian Continent. Again, the peaks in this region from JAGUAR data show 305 good quantitative agreement with the AIRS observations. In the low-latitude region in the 306 Southern Hemisphere, there is eastward momentum flux both in the AIRS and JAGUAR data. 307 The magnitude of this eastward momentum flux in eastern South America is slightly smaller in 308 the JAGUAR data than in the AIRS observations. The zonal-mean MF_x at $\sim 20^{\circ}$ S is slightly 309 larger in the results derived from the AIRS observations, with a value of ~0.3 mPa in the AIRS 310 result and ~0.2 mPa in the JAGUAR result. The geographical pattern of meridional momentum 311 flux is also mostly consistent between JAGUAR and AIRS. To the south (north) of the winter jet, 312 313 meridional momentum flux is northward (southward) (Figs. 2e and 2f).

During 23–31 December 2018 (Period 2), as can be seen in Fig. 3, GW amplitudes and momentum fluxes in the Northern Hemisphere are much smaller than those during Period 1. On the other hand, eastward momentum flux at low latitudes in the Southern Hemisphere is slightly stronger than that in Period 1. These trends are continuously observed in Period 3 as well, as shown in Fig. 4.

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320 3.2 The Observational Filter of AIRS

To estimate influence of the AIRS observational filter on the above AIRS results, comparisons of the amplitudes and momentum fluxes are made here between JAGUAR with and without the observational filter. Figure 5 displays the amplitudes, vertical wavelengths λ_z , and momentum flux of stratospheric GWs in Period 1 estimated from the JAGUAR data without the

- vertical low-pass filter, which is an analogue of the observational filter of AIRS. Note that the
- color scales in Figs. 5a, 5c and 5d are different from those in panels (a, b), (c, d) and (e, f) in Figs.
- 2–4, respectively. GW amplitudes (Fig. 5a) in the raw model are approximately twice as large as those with the observational filter applied (Fig. 2b). The same relation applies to the GW
- momentum flux (Figs. 5c and 2d; 5d and 2f). The relative variations in the horizontal distribution
- of GW amplitudes and momentum flux without the observational filter are similar to those from
- AIRS and JAGUAR with the observational filter. Interestingly, however, amplitudes and
- momentum fluxes in eastern Eurasia are larger in the results from JAGUAR without the
- observational filter. In addition, relatively large amplitudes and poleward momentum fluxes are
- observed in the North Atlantic Ocean, which can hardly be seen in the results from AIRS or
- 335 JAGUAR with the observational filter.

336 In other words, the most considerable underestimation due to the observational filter is observed in eastern Eurasia and the North Atlantic Ocean. These areas, denoted by the circles in 337 Figs. 5a and 5b, correspond to relatively short λ_z (Fig. 5b) along the eastward jet in the Northern 338 Hemisphere (shown by the dashed curve). Figure 6 shows the polar map of absolute horizontal 339 wind speed at z=39 km ($\sqrt{u^2 + v^2}$, where u and v are zonal and meridional wind) in Period 1. 340 The areas being discussed here extend from the exit of one of the two jet streaks to the entrance 341 of the other along the displaced and distorted polar vortex. The background winds in these areas 342 are weak. Meyer et al. (2018) showed that GW variances observed by AIRS have higher 343 correlation with background wind speed compared to variances observed by HIRDLS. They 344 suggested that this is because the Doppler shift increases λ_z of GWs in regions with strong 345 background winds, making them more easily observed by AIRS, which has lower vertical 346 resolution. The larger impact of the AIRS observational filter near the exits and entrances of the 347 jet streaks is consistent with their suggestion. 348

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350 3.3 Case studies

To clarify the common features and differences of GWs in the AIRS observation and 351 JAGUAR data, intercomparisons of T' in three granules are made in this section among AIRS 352 and JAGUAR with and without the observational filter. Figure 7 displays T' at z=39 km 353 observed nighttime granules over Europe (hereafter Case 1), eastern Eurasia (Case 2), and to the 354 east of Madagascar (Case 3). In Case 1, the AIRS data and JAGUAR with the observational filter 355 contains similar wave structures (Figs. 7a and 7b). There are wave-like structure having short 356 zonal wavelengths to the south of ~48° N, and phase fronts laying from south-southwest to 357 north-northeast to the north of $\sim 51^{\circ}$ N in both of the data. The amplitudes of these waves are 358 slightly stronger in the AIRS measurements than in JAGUAR with the observational filter. The 359 latter wave, which can be seen in the north part of the AIRS granule, is dominant in a larger part 360 361 of the result from JAGUAR without the observational filter (Fig. 7c).

In Case 2, strong, fine-scale waves whose phase fronts run meridionally are observed to the south of \sim 55° N both in the AIRS and JAGUAR with the observational filter, as shown in Figs. 7d and 7e. The overall structure of the temperature perturbations in the filtered JAGUAR data agrees well with that in the AIRS measurements. In addition to these waves, there are strong wave fronts bending at a latitude of \sim 58° N in JAGUAR without the observational filter applied (Fig. 7f). The waves composing this V-shaped pattern are not clear in the AIRS measurements orin JAGUAR with the AIRS observational filter. This difference will be detailed below.

The most obvious differences between the AIRS and JAGUAR data are found at low latitudes in the Southern Hemisphere. The AIRS *T*′ for Case 3 contains a plane wave whose phase fronts lay from northwest to southeast and a concentric wave whose center is located to the northwest of the granule (Fig. 7g). However, the plane wave does not have a noticeable amplitude and only the concentric wave can be seen in the JAGUAR data (Figs. 7h and 7i).

To investigate the reason why the V-shaped waves in Case 2 cannot be identified when 374 the observational filter is applied, we examine the characteristics of the dominant waves in this 375 V-shaped structure and the background thermodynamical field. Figure 8 provides the results 376 from the 3-D S-transform of the temperature perturbations in JAGUAR without the observational 377 filter. Amplitudes are large not only in the south part (< ~55° N) but also in the northeast part of 378 the granule (Fig. 8a). The vertical wavelengths are $\lambda_z = 5-13$ km in the latter (northeast) region, 379 which are shorter than the waves in the south region with $\lambda_z \gtrsim 20$ km (Fig. 8b). The distribution 380 of short λ_z in the full-resolution JAGUAR overlaps the region of small amplitudes in JAGUAR 381 with the observational filter. This fact is consistent with the low vertical resolution and thus low 382 sensitivity to waves having short λ_z of AIRS measurements. 383

GW meridional momentum flux to the north (south) of the bending point is southward (northward), as shown in Fig. 8d. It is noteworthy that eastward (i.e., positive) zonal momentum flux is observed in the south part of the V-shaped pattern in z=32-41 km (Figs. 8c and 8g). This means eastward GWs propagating upward or westward GWs propagating downward are dominant there.

Figure 9 shows the zonal wind and N structure for Case 2. Strong eastward winds are found at latitudes of $<58^{\circ}$ N at z = ~30-65 km, while zonal wind is weak on the polar side of 60° N (Fig. 9a). In the upper stratosphere at z = 30-45 km inside the polar vortex, large N is observed as shown in Fig. 9b. Considering the dispersion relation for GWs having zonal wave vectors under the midfrequency assumption, $m^2 \approx N^2/(c - U)^2$ where c is ground-based phase velocity, short λ_z in small U and large N are a consistent consequence.

396 4 Discussions

Overall, JAGUAR has good skill in reproducing the characteristics of stratospheric GWs 397 with large amplitudes observed by AIRS. On the other hand, the AIRS GW amplitude has a 398 background level of 1.2–1.4 K, which is greater than that for the JAGUAR GW amplitude. These 399 background amplitudes have almost no net contribution to the momentum flux. Hence, it is 400 inferred that the background level seen in the AIRS amplitude is due to noise. The retrieval noise 401 we added randomly to the JAGUAR data is not enough to simulate this, likely due to the 402 403 uncorrelated nature of the noise source used (see e.g., figure 5.16 of Wright, 2010), and in future work we will investigate the use of more internally-correlated noise structures. 404

On the polar (equatorial) side of the winter jet, equatorward (poleward) momentum flux is predominant. This focusing effect of GW rays on the jet can be explained by wave refraction and advection. When waves propagate westward relative to the background winds, i.e., $\hat{c} =$ $\hat{\omega}/k < 0$ and thus k < 0 in the formulation taking $\hat{\omega} > 0$, waves are refracted toward the eastward jet (e.g., Sato et al., 2009). This is because the time derivative of a meridional wavenumber

- 410 $d_{g}l/dt$ as measured by an observer moving with the local group velocity is induced by a
- 411 meridional shear of the background zonal wind $\partial U/\partial y$ as:

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$$\frac{d_{\rm g}l}{dt} = -k\frac{\partial U}{\partial y} \tag{2}$$

according to ray-tracing theory (Jones, 1969). On the polar side of the eastward jet, negative $\partial U/\partial y$ decreases *l* for waves with k < 0. As a result, waves propagating upward and westward relative to *U*, whose *m* and *k* are both negative, tend to have negative MF_y. On the equatorial side, positive $\partial U/\partial y$ increases *l*, resulting in MF_y > 0. In addition, once the wavevector of a GW becomes toward the jet axis, the component of the background wind projected in the direction orthogonal to the wavevector will point to the jet axis. As a result, waves are advected toward the jet axis (see Fig. 6 of Sato et al., 2012). Since most GW parameterization schemes ignore lateral propagation of GWs, this focusing of negative MF_x on the jet axis due to refraction and advection is considered to be one of the causes of the well-known "cold-pole problem". The good agreement of the JAGUAR's GW momentum fluxes along the jet with the AIRS

422 observations supports the usefulness of this model for studies on this problem.

Interestingly, GW amplitudes and momentum fluxes in the low-latitude Southern 423 Hemisphere increased during SSW development. A possible cause of this is the acceleration of 424 the westward wind in this region (Fig. 1). The stronger the westward wind is, the larger the 425 fraction of GWs propagating eastward relative to the background wind can propagate upward. 426 Several studies have reported that a cooling in the equatorial stratosphere occurs simultaneously 427 428 with an SSW (Fritz & Soules, 1970; Julian & Labitzke, 1965). This cooling is induced by strong planetary wave forcing in the winter stratosphere (e.g., Randel, 1993). This results in 429 acceleration of the westward wind above and on the polar side of the cooling region due to the 430 poleward temperature gradient and the thermal wind relationship. Another possible cause is that 431 more GWs were generated in the tropical troposphere when the SSW occurred. Several studies 432 found that cooling in the tropical lower stratosphere (e.g., Kodera & Yamada, 2004; Kodera et al., 433 434 2011) and/or upwelling extending in the tropical stratosphere and troposphere itself (Yoshida & Mizuta, 2021) enhance tropical convection during SSWs. This enhanced convection may have 435 generated more GWs propagating into the tropical stratosphere. However, we found that there 436 was no significant long-lasting enhancement in the upwelling at 100 hPa in 5° S-25° S which 437 persists for as long as the negative MF_{γ} enhancement (not shown). Thus, the acceleration of the 438 westward jet in the summer stratosphere is a more plausible cause. 439

With regard to GW reproducibility, the comparison with the AIRS observations
demonstrates that the JAGUAR model simulates GW features along the winter jet skillfully.
Relatively speaking, however, larger differences were observed between GWs in the southern
low-latitude region in JAGUAR and those in AIRS. Since the model is a hydrostatic GCM and
cumulus convection is parameterized, GW generation due to convection is not properly
expressed and may be underestimated. The underestimation of convective GWs may be the
reason of the lower GW activity in the summer low-latitude region.

447 Comparing the results from JAGUAR with and without the AIRS observational filter
 448 applied, we showed that the observational filter, or the low vertical resolution of AIRS, reduces
 449 GW amplitudes and momentum fluxes in the model approximately by half. Despite this, the
 450 impact on the relative horizontal distribution of GW characteristics was limited. This finding

consistent with that of Meyer et al. (2018) who compared GWs in AIRS measurements with
 those in HIRDLS measurements.

The most interesting aspect of our results on the impact of the observational filter is that 453 more GWs were filtered out near the exits and entrances of the two jet streaks. The exit of a jet 454 streak is the place where spontaneous-adjustment emission of GWs occurs (e.g., Dörnbrack et al., 455 456 2018; Plougonven and Zhang, 2014; Yasuda et al., 2015). In Case 2 in Section 3.3, the eastward MF_r observed near the jet (Figs. 8c and 8g) suggests downward propagation of westward GWs, 457 considering the background wind is eastward. This fact indicates that these waves originate from 458 the jet. The V-shaped phase fronts of these waves shown in Fig. 7f are similar to theoretically-459 derived phase structure of GWs emitted from spontaneous adjustment. Then, why did these 460 waves have short λ_{z} , which are filtered out by the observational filter? In general, around the exit 461 or entrance of a jet streak, horizontal wind is not as strong as in the jet core. The static stability 462 N^2 is high in the middle and upper stratosphere inside the polar vortex due to the GW-driven 463 winter polar stratopause. In addition, a Q-vector convergence exists on the polar side of the jet 464 exit region, which induces upwelling. This upwelling may contribute to the formation of high N^2 465 above. These weak horizontal winds and high N^2 make λ_z of GWs shorter, making it difficult to 466 resolve them with AIRS. Regarding the background winds and N^2 , conditions in both the exit 467 and entrance regions of jet streaks are almost the same. In the exit regions of jet streaks, the wave 468 capture mechanism may also contribute to the small λ_z (Bühler & McIntyre, 2005). According to 469 this mechanism, GWs heading for the jet exit come to have large negative (positive) vertical 470 wavenumbers on the top (bottom) edge of the exit of a jet streak, regardless of their source 471 structure. 472

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474 **5 Summary and Concluding Remarks**

A comparison of stratospheric GWs in the GW-permitting GCM, JAGUAR with 3-D
temperature measurements by AIRS has been made for the period of 15 December 2018–8
January 2019. The two datasets show surprisingly good quantitative agreement in:

- 1. The peaks in the amplitudes and zonal and meridional momentum fluxes of GWs
- The distribution of GW characteristics: high GW activity in Europe, over the Ural
 Mountains, in eastern Eurasia, and in the low-latitude region in the summer hemisphere
- The attenuation and reinforcement of GWs along the winter eastward jet and summer
 westward jet during the SSW occurrence, respectively
- 483 At the same time, some differences have also been observed:
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 4. The results indicate that GWs at low latitudes are underestimated by JAGUAR. A
 485 possible reason for this is that the model cannot sufficiently reproduce convective GWs.
- The background level in the AIRS GW amplitudes cannot be fully explained by the
 retrieval noise added to JAGUAR GWs. There is almost no net momentum flux
 associated with the background amplitudes. We hypothesize that this is due to the
 internally-uncorrelated nature of the noise added.
- 490 Regarding (4), this may be due to low reproducibility of convection in the model. JAGUAR is a
- 491 hydrostatic model, and a cumulous parameterization scheme is adopted in it. In general,
- 492 cumulous parameterizations are not designed to reproduce GW generation associated with

convection, which can be a reason for the low GW activity at low latitudes in the model. Further
 research using a non-hydrostatic and cloud-resolving model would be interesting to assess the
 impact of the model configuration of JAGUAR on the GW reproducibility.

The influence of the AIRS observational filter has been also estimated by comparing the 496 model results with and without the filter applied. Approximately half of the GW amplitude in the 497 498 full-resolution JAGUAR was filtered out by the observational filter. At large scales, the relative horizontal distribution was not dramatically changed. However, the regions of large GW 499 amplitude near the entrances or exits of the eastward jet streaks are affected strongly by the 500 observational filter. It has been reported that GWs are generated by spontaneous adjustment near 501 the exit of a jet streak (e.g., Dörnbrack et al., 2018). Conducting a case study, we found that the 502 distribution of V-shaped GWs near the jet exit, which were filtered out due to short λ_{z} , matched 503 with the regions of weak zonal wind and high N^2 . These two conditions, weak winds and high 504 N^2 , are likely to be met on the polar side of the polar vortex in the middle and upper stratosphere. 505 These results suggest that studies on spontaneous-adjustment emission of GWs using AIRS 506 observations need to pay attention to this aspect. 507

508 Notwithstanding the limitation that the results have been described only for one boreal 509 winter, the validation of the JAGUAR model we made here supports the effectiveness of this 510 model for various studies on GWs in the middle atmosphere. Performing multi-year hindcast

simulations with the model could produce the climatological dataset of the GW momentum flux

in the whole middle atmosphere. Such a dataset, validated by comparison with long-term

observations, would be a useful guideline for the source parameters in non-orographic GW

- 514 parameterizations.
- 515

516 Acknowledgments

517 This work was supported by JSPS KAKENHI Grant Numbers JP21J20798 supporting H. Okui

and JP22H00169 supporting H. Okui and K. Sato, by Royal Society University Research

519 Fellowship URF\R\221023 and Research Grant RGF\R1\180010 supporting C. J. Wright, and by

- 520 NERC grants NE/S00985X/1 and NE/W003201/1 supporting C. J. Wright and N. Hindley.
- 521

522 **Open Research**

523 The AIRS temperature data set is derived using AIRS radiances, which are freely available from

524 NASA's GES DISC at <u>https://disc.gsfc.nasa.gov/</u> website, by the retrieval method described in

525 Hoffmann and Alexander (2009). The processed AIRS data and JAGUAR hindcast outputs are

available from https://pansy.eps.s.u-tokyo.ac.jp/archive_data/Okui_etal_AIRS_2023/. R2022b

- 527 version of the MATLAB used for spectral analysis of gravity waves and producing figures is
- 528 presented at <u>https://jp.mathworks.com/products/matlab.html</u>. Figures 1 and 6 were produced
- using the GFD DENNOU Library (<u>https://www.gfd-dennou.org/arch/dcl/dcl-7.5.1/</u>).
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- **Figure 1**. Zonal wind at a geopotential height of z=39 km during (a) 15–22 December 2018
- 783 (Period 1), (b) 23–31 December 2018 (Period 2), and (c) 1–8 January 2019 (Period 3) obtained
- from JAGUAR. An Arctic major SSW occurred on 1 January 2019, the first day of Period 3.

Figure 2. (a, b) Amplitudes and (c, d) zonal and (e, f) meridional momentum flux of dominant GWs at z=39 km averaged over 15–22 December 2018 (Period 1). Panels (a, c, e) and (b, d, f) show the results from the AIRS observations and the JAGUAR data, respectively. The right elongated panels display the zonal mean of the values shown in the respective panels on the left side.

- Figure 3. As in Fig. 2 but for 23–31 December 2018 (Period 2).
- 704

Figure 4. As in Fig. 2 but for 1–8 January 2019 (Period 3).

Figure 5. (a) Amplitudes, (b) vertical wavelengths λ_z , and (c) zonal and (d) meridional 796 momentum flux of dominant GWs at z=39 km estimated from the JAGUAR data without the 797 AIRS observational filter applied. The right elongated panels display the zonal mean of the 798 values shown in the left respective ones. Note that the color scales for the maps and the 799 800 horizontal axes for the curves are different from those in Figs. 2–4. Two circles in panels (a) and (b) denote the regions where the GW amplitudes are especially large relative to those in the 801 JAGUAR data with the observational filter (Fig. 2b). A dashed curve in panel (b) represents the 802 803 path of the eastward jet, as shown in Fig. 1a.

804

Figure 6. North Pole map of the absolute horizontal wind speed averaged over Period 1 obtained
 from JAGUAR data. The polar vortex is displaced toward the Eurasian Continent with two jet
 streaks from Europe to the Central Asia and from the East Asia to Greenland.

- **Figure 7**. Temperature perturbations at z=39 km in AIRS granules (a–c) in Europe at 1:54 UTC on 22 December (Case 1), (d–f) in eastern Eurasia at 20:36 UTC on 16 December (Case 2), and (g–i) to the east of Madagascar at 21:12 UTC on 20 December (Case 3). Panels (a, d, g), (b, e, h), and (c, f, i) show the results from the AIRS observations, JAGUAR with the observational filter, and JAGUAR without the observational filter, respectively. Panel (j) provides the location of the regions shown in panels (a–i) on Fig. 2a.
- 815
- Figure 8. Results from the 3-D S-transform for Case 2. Panels (a–d) show the horizontal maps at z=39 km and panels (e–h) show the latitude-altitude sections at 105° E of (a, e) amplitudes, (b, f) λ_z , and (c, g) zonal and (d, h) meridional momentum flux. Vertical (horizontal) lines in the top (bottom) panels denote the longitude (altitude) of the bottom (top) panels.

- Figure 9. Latitude-altitude section at 105° E of (a) zonal wind and (b) the buoyancy frequency
- 822 $N = \sqrt{(g/\overline{T})(d\overline{T}/dz)}$ for Case 2 obtained from the JAGUAR data.

823

Figure 1.



Figure 2.

Amplitude (K) 15-22 DEC 2018, z=39km (JAGUAR)



75N

60N

45N

30N

15N EQ

15S

30S

45S

60S 75S

90S

90N 75N

60N 45N

30N

15N

155

30S

45S

60S

75S

909

90N

75N

60N

45N

30N 15N

EQ 15S

30S

45S

60S

75S

905

0.25

<u>~</u>?



Meridional Momentum Flux (mPa) 15-22 DEC 2018, z=39km (JAGUAR)









r

EQ

90S

EQ

0,20,05

o.



Meridional Momentum Flux (mPa) 15-22 DEC 2018, z=39km (AIRS)



Figure 3.



Figure 4.



90S

v. 5, 0, 0, 0, 0,

90S

0,2,0,

180W

-5

-4

-3

-2

201

-1

0

206 006

2

3

4 5

Amplitude (K) 1-8 JAN 2019, z=39km (AIRS)





Meridional Momentum Flux (mPa) 1-8 JAN 2019, z=39km (AIRS)



Figure 5.



Figure 6.



Figure 7.



Figure 8.



Figure 9.

