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M. Schneider, F. Hase. Recipe for continuous monitoring of total ozone with a precision of around 1 DU applying mid-infrared solar absorption spectra. *Atmospheric Chemistry and Physics Discussions*, 2007, 7 (3), pp.9093-9113. hal-00302908

HAL Id: hal-00302908

<https://hal.science/hal-00302908>

Submitted on 18 Jun 2008

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**Monitoring total
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Recipe for continuous monitoring of total ozone with a precision of around 1 DU applying mid-infrared solar absorption spectra

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Received: 20 April 2007 – Accepted: 18 June 2007 – Published: 26 June 2007

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Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

⏪

⏩

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

Abstract

Mid-infrared solar absorption spectra recorded by a state-of-the-art ground-based FTIR system have the potential to provide precise total O₃ amounts. The currently best-performing retrieval approaches use a combination of small and broad spectral O₃ windows between 780 and 1015 cm⁻¹. We show that for these approaches uncertainties in the temperature profile are by far the major error sources. We demonstrate that a joint optimal estimation of temperature and O₃ profiles widely eliminates this error. The improvements are documented by an extensive theoretical error estimation. Our results suggest that mid-infrared FTIR measurements can provide total O₃ amounts with a precision of around 1 DU, placing this method among the most precise ground-based O₃ monitoring techniques. We recapitulate the requirements on instrumental hardware and retrieval necessary to achieve this high precision.

1 Introduction

The demand for very high precision measurements of atmospheric constituents is recently increasing. Many aspects of stratospheric ozone destruction (and recovery) or the evolution of atmospheric greenhouse gases are well understood. However, a closer look reveals important uncertainties. Concerning ozone recovery, it is not clear how climate change will affect upper tropospheric and stratospheric ozone amounts. Consequently, it cannot be foreseen how, when, and to what extent ozone recovery will take place (Weatherhead and Andersen, 2006). Very high precision measurements are important for further scientific progress. They are indispensable to document potential differences between the real and a modeled atmosphere in due time.

Ground-based measurements yielding highly-resolved infrared solar absorption spectra allow ongoing detection of the composition of the atmosphere in a cost-effective manner. They are essential for validating satellite measurements and, thus, they are a vital component of the global atmospheric monitoring system. Ongoing improve-

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

⏪

⏩

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

**Monitoring total
ozone with a
precision of around
1 DU**

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

◀

▶

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

ments in instrumental hardware, spectroscopic parameterisation, and retrieval strategies steadily increase the FTIR data quality. In this work we estimate the potential of high quality middle infrared spectra for a precise monitoring of total O₃ amounts. The estimations base on the spectra quality routinely achieved with a Bruker IFS 125HR at the Izaña Observatory, Canary Island of Tenerife, Spain. In the following Sections we describe the current state-of-the-art O₃ profile retrieval (De Mazière et al., 2004) and estimate its errors. The error estimation motivates to set up a new retrieval strategy, which includes the optimal estimation of temperature profiles. We predict that the new approach should allow for the retrieval of FTIR O₃ column amounts with a precision of around 1 DU. In Sect. 4 we summarize in detail the requirements on the instrumental hardware and the kind of retrieval strategy necessary in order to achieve this high precision.

2 Optimal estimation of O₃ profiles

2.1 Retrieval strategy

We apply an optimal estimation (OE) method (Rodgers, 2000) to invert the profiles from the measured FTIR spectra by minimising the cost function:

$$\sigma^{-2}(y - \mathbf{K}x)^T(y - \mathbf{K}x) + (x - x_a)^T \mathbf{S}_a^{-1}(x - x_a) \quad (1)$$

The first term considers the information present in the spectra assuming a diagonal noise covariance (\mathbf{K} , y , and σ represent Jacobian, the spectrum, and the measurement noise, respectively). The second term accounts for the a-priori knowledge: \mathbf{S}_a is the a-priori covariance matrix, and x and x_a , represent the state vector and the a-priori state. We apply the inversion code PROFFIT (Hase et al., 2004) which uses the Karlsruhe Optimised and Precise Radiative Transfer Algorithm (KOPRA, Höpfner et al., 1998; Kuntz et al., 1998; Stiller et al., 1998) as the forward model.

**Monitoring total
ozone with a
precision of around
1 DU**

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

◀

▶

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

We use spectral microwindows with $^{48}\text{O}_3$ and asymmetric and symmetric $^{50}\text{O}_3$ and $^{49}\text{O}_3$ absorption signatures in the mid-infrared (between $780\text{--}1015\text{ cm}^{-1}$; see Fig. 1). In the 782.75 and 789.0 cm^{-1} windows only the main isotopologue ($^{48}\text{O}_3$) has absorption signatures. There are also minor interferences from CO_2 , H_2O , and solar lines. These two microwindows are the same that were used in Schneider et al. (2005). The strongest line in the 993.5 cm^{-1} window is a symmetric $^{50}\text{O}_3$ signature (at 993.8 cm^{-1}). Other signatures are from $^{48}\text{O}_3$, asymmetric $^{50}\text{O}_3$, symmetric and asymmetric $^{49}\text{O}_3$, H_2O , CO_2 , and solar lines. Broadband microwindows are very useful to improve the sensitivity of the observing system for the lower troposphere (Barret et al., 2002). We apply three broadband microwindows between 1000.0 and 1013.6 cm^{-1} . There all $^{48}\text{O}_3$, $^{50}\text{O}_3$, and $^{49}\text{O}_3$ isotopologues have absorption signatures. The main interfering species are H_2O and CO_2 .

We make an OE of $^{48}\text{O}_3$, asymmetric, and symmetric $^{50}\text{O}_3$ and of the isotopologue ratio profiles of $^{48}\text{O}_3/^{50}\text{O}_3$. The latter is an option recently introduced in PROFFIT (Schneider et al., 2006), which provides for an improved constraint of the resulting profiles. As a-priori of O_3 (mean profile and covariances) we use a climatology of Izaña's ECC-sondes from 1996 to 2006, i.e. in a strict sense the retrieval is optimised for the Izaña site. However, in this and the following Section we show that the choice of the a-priori is a minor error source and consequently our conclusions are not limited to Izaña. As a-priori for the typical ozone isotopologue ratio profiles and their covariances we use data reported by Johnson et al. (2000). The spectral signatures of the minor isotopologues of $^{49}\text{O}_3$ are only considered by scaling a climatological profile. The H_2O interferences are considered by scaling an actual H_2O profile as retrieved in a previous step from specific H_2O microwindows of the same measurement. This H_2O retrieval is described in Schneider et al. (2006). The minor signatures of CO_2 and C_2H_4 are considered by scaling corresponding climatological profiles.

The applied temperature data are a combination of the data from the local ptu-sondes (up to 30 km) and data supplied by the automailer system of the Goddard

Space Flight Center. The spectroscopic line parameters of H₂O and of O₃ are taken from the HITRAN 2004 database (Rothman et al., 2005). For all other species we apply HITRAN 2000 parameters (Rothman et al., 2003). To minimize errors due to uncertainties of the instrumental line shape we measure and eventually correct line shape distortions regularly every two months. These measurements consist in independent detections of cell absorption signatures as described in Hase et al. (1999). The σ of Eq. (1) is taken from the residuals of the fit itself, performing an automatic adjustment of the constraints according to the noise level found in each measurement.

2.2 Error estimation

Our error analysis bases on the analytic method suggested by Rodgers (2000), where the difference between the retrieved and the real state ($\hat{x} - x$) – the error – is linearised about a mean profile x_a , the estimated model parameters $\hat{\rho}$, and the measured spectrum \hat{y} :

$$\hat{x} - x = (\hat{\mathbf{A}} - \mathbf{I})(x - x_a) + \hat{\mathbf{G}}\hat{\mathbf{K}}_p(\rho - \hat{\rho}) + \hat{\mathbf{G}}(y - \hat{y}) \quad (2)$$

Here \mathbf{I} is the identity matrix, $\hat{\mathbf{A}}$ the averaging kernel matrix, $\hat{\mathbf{G}}$ the gain matrix, and $\hat{\mathbf{K}}_p$ a sensitivity matrix to model parameters. Equation (2) identifies the three principle error sources. These are: (a) errors due to the inherent finite vertical resolution of the observing system (smoothing error), (b) errors due to uncertainties in the input parameters applied in the inversion procedure, and (c) errors due to measurement noise.

Generally one assumes linearity of the forward model within the range of the variability of the atmospheric state. Then the errors are calculated according to Eq. (2) applying single mean matrices for $\hat{\mathbf{A}}$, $\hat{\mathbf{G}}$, and $\hat{\mathbf{K}}_p$. However, for the saturated (or nearly

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

◀

▶

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

saturated) spectral O₃ lines as shown in Fig. 1 the Jacobians depend on the actual atmospheric state. Therefore, we use an ensemble of 500 real states which obeys the a-priori statistics and calculate for each individual members of this ensemble the matrices $\hat{\mathbf{A}}$, $\hat{\mathbf{G}}$, and $\hat{\mathbf{K}}_p$: we make for each of the 500 real states an individual error estimation according to Eq. (2).

Errors generally have a systematic and a random component. These components can easily be separated by correlating an input column amount to the actually retrieved column amount. The systematic error component is then given by the linear regression line of the least square fit. By input amount we refer to the amount that would be retrieved in the absence of the considered error. There are two types of systematic errors: (a) the “sensitivity error”, which is given by the differences of the slope of the regression line from unity. It reveals how the observing system systematically over/underestimates the deviations from the a-priori value. (b) the “bias error”, which generates an offset in the regression line at the a-priori value (climatological mean value). The “bias error” is due to systematic error sources or incorrect a-priori assumptions. The scattering around the regression line gives the random error. For the estimation of the random error component we recall Eq. (5) of Schneider et al. (2006):

$$\sigma_{e_{\text{reg}}} = \sigma_{\hat{x}} \sqrt{1 - \rho^2} \quad (3)$$

It links the correlation coefficient ρ to the scattering around the regression line, i.e. to the random error component $\sigma_{e_{\text{reg}}}$. For more details about this method of error calculations please consult Schneider et al. (2006).

2.2.1 Smoothing error

For each member of our ensemble of real states x we calculate a retrieved state $\hat{x} = \hat{\mathbf{A}}(x - x_a) + x_a$. Panel (a) of Fig. 2 shows the correlation between the total column amount calculated from the real state (input column amount) and the total column amount calculated from \hat{x} (retrieved total column amount). The smoothing error has

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

⏪

⏩

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

no systematic “bias error” component (no offset between real and retrieved state at a-priori value). This is trivial, since we use as a-priori the same statistics that was applied for the simulation of the ensemble profiles. However, it is not trivial that there is nearly no systematic “sensitivity error” (slope of regression line of 0.998). This nearly perfect sensitivity demonstrates that the choice of the a-priori has a negligible impact on the retrieved O₃ amounts. A correlation coefficient ρ of 0.99989 and a typical variability of the retrieved total column amount $\sigma_{\hat{x}}$ of 24 DU leads, according to Equation 3 to an random error $\sigma_{e_{\text{reg}}}$ of 0.36 DU. The estimated systematic and random smoothing errors are listed together with the other errors in Table 2.

2.2.2 Input parameter errors

In this Subsection errors due to uncertainties in solar angle, instrumental line shape (ILS: modulation efficiency and phase error, Hase et al., 1999), baseline of the spectrum (intensity offset), temperature profile, and spectroscopic parameters (line intensity and pressure broadening coefficient) are estimated. The assumed parameter uncertainties ($p-\hat{p}$) are listed in Table 1.

We estimate the ILS stability from regularly performed low pressure N₂O cell measurements (Hase et al., 1999), to 0.02 rad for the phase error and 2% for the modulation efficiency. An intensity offset may be caused by detector non-linearities. Here we use a photo-voltaic MCT detector instead of the usually applied photo-conductive detectors. It has the advantage of reduced non-linearities and thus an improved zero baseline determination (less spectral intensity offset). We estimate the spectral intensity offset in our spectra by analysing very intense O₃ signatures between 1024.25 and 1025 cm⁻¹. Those signatures are saturated even for O₃ slant columns as low as 250 DU. We found a mean offset of 0.1% and a standard deviation of 0.1% in the core of the saturated lines. Two sources are considered as random uncertainty in the temperature profile: first, the measurement uncertainty of the sonde, which is assumed to be 0.5 K throughout the whole troposphere and to have no interlevel correlations. Second, the temporal differences between the FTIR and the sonde’s temperature measurements, which are

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

⏪

⏩

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

estimated to be 1.5 K at the surface and 0.5 K in the rest of the troposphere, with a correlation length 5 km. Furthermore, we assume systematic errors in the temperature profile (for more details please see Sect. 3).

We estimate the impact of the parameter uncertainties as listed in Table 1 by correlating the input column amounts to the retrieved column amounts. Here the input column amount is the amount retrieved in the absence of parameter errors, i.e. the smoothed real amount ($\hat{x} = \hat{\mathbf{A}}(x - x_a) + x_a$). The retrieved amounts are the amounts retrieved in the presence a parameter error ($\hat{x} + \hat{\mathbf{G}}\hat{\mathbf{K}}_p(p - \hat{p})$). The correlations are shown in panels (b) to (h) of Fig. 2. The systematic and random errors are estimated as for the smoothing error: from the slope and bias of the regression line and the correlation coefficient (see Eq. 3). The assumed uncertainties of Table 1 lead to large random and systematic errors due to uncertainties in the temperature profile (random: 3.5 DU; “sensitivity error”: -3.3%; bias: -7.0 DU). We also made these simulation assuming no systematic error in the temperature profile, i.e. assuming no error for the temperature dependance of the pressure broadening coefficient. In this case the random error remains unchanged at 3.5 DU, but the systematic components reduce significantly: to -1.6% for the “sensitivity error” and to -0.2 DU for the bias. Although reduced, there is still a systematic sensitivity error even in the absence of a systematic temperature error source. The reason might be the large impact of temperature on the simulated spectrum: a wrong temperature assumption produces significant discrepancies between measured and simulated spectra, which reduce the sensitivity of the observing system.

Error sources of minor importance are the intensity offset, solar elevation angle, and modulation efficiency (0.4, 0.3 and 0.3 DU, respectively). All other random errors are negligible, i.e. are situated below 0.2 DU. Significant systematic errors are produced by errors in the line intensity parameter (error of 2% column amount error for 2% parameter error) and due to an intensity offset (error of -0.2% for assumed systematic offset of 0.1%). A systematic error in the pressure broadening coefficient causes only very small systematic errors in the column amounts. All errors are collected in Table 2.

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

[Title Page](#)[Abstract](#)[Introduction](#)[Conclusions](#)[References](#)[Tables](#)[Figures](#)[⏪](#)[⏩](#)[◀](#)[▶](#)[Back](#)[Close](#)[Full Screen / Esc](#)[Printer-friendly Version](#)[Interactive Discussion](#)

2.2.3 Measurement noise error

This error is due to statistical fluctuation in the measured signal, caused by e.g. photon noise or thermal noise in the detector or noise produced by the signal amplification. It causes white noise in the residuals. With the Bruker IFS 125HR and the applied photo-voltaic MCT detector we reach a signal to noise ratio of better than 600 around 1000 cm^{-1} . We found this value by analysing measured spectra in regions with no absorption issues. Its impact on total column amounts is negligible. Our simulations lead to errors around 0.1 DU (see Table 2).

3 Simultaneous optimal estimation of O_3 and temperature profiles

Table 2 reveals that uncertainties in the assumed temperature profile are mainly responsible for the overall errors in the retrieved columns amounts. Both the shape and the intensity of an absorption line depend on the temperature. Thus, errors in the temperature profile lead to erroneous simulations of the line shapes and intensities and consequently to errors in the retrieved trace gas profiles.

The applied inversion code PROFFIT allows a joint optimal estimation of temperature profile together with VMR profiles. From the viewpoint of the forward model, the retrieval of temperature brings in several complications: the absorption cross sections cannot be precomputed before the iterative retrieval process is performed, instead recalculation in each iteration step is required. Derivatives of temperature have to be provided at each model level. The construction of the temperature derivatives within the forward model KOPRA used here, is described in [Stiller et al. \(2000\)](#). Finally, as hydrostatic equilibrium is assumed, it has to be taken into account that a change of the temperature profile implicates a modified pressure stratification. Therefore, in each iteration step an atmosphere in hydrostatic balance is reconstructed and the pressure at each altitude fixed model level is changed according to the current temperature profile. From the viewpoint of the retrieval, the joint fit of temperature requires extensions to the

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

⏪

⏩

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

state vectors, the Jacobian and the a-priori covariances. An a-priori temperature profile and associated a-priori covariance have to be provided by the user as additional input. The a-priori temperature profiles used here are a combination of the daily ptu-sonde and the Goddard NCEP temperatures as described in Sect. 2. The a-priori temperature covariance is constructed in accordance with the assumed random error budget of the temperature profile (see Table 1). The reasons for the random temperature errors are described in Sect. 2. We also found systematic differences between our optimally estimated temperature profiles and the ptu-sonde/NCEP temperature profiles, which we interpreted as systematic temperature errors. There are several reasons for these differences: (a) the ptu-sonde measures in the free troposphere while the FTIR is a ground-based instrument. At the sonde's location the temperature is generally below the temperature at the FTIR site. (b) At higher altitudes the sonde may give to large temperatures due to radiative heating (c) The Goddard NCEP temperatures may have systematic errors. (d) The parameterisation of the temperature dependence of the lines may be erroneous. Such a systematic error in the spectroscopic data produces systematic differences between actual and retrieved temperature profile.

We analyse how a joint optimal estimation of the temperature profiles reduces the impact of temperature uncertainties on the retrieved O_3 column amounts. We calculate for all 500 members of the ensemble the matrices $\hat{\mathbf{A}}$, $\hat{\mathbf{G}}$, and $\hat{\mathbf{K}}_p$ for the new retrieval setup and perform the same error simulation as in Sect. 2. We found that an OE estimation of the temperature applying the O_3 windows of Fig. 1 already reduces the temperature error. However, an additional application of CO_2 windows should yield to further improvements. Spectral signatures of CO_2 are often used in remote sensing to determine temperature profiles. Atmospheric CO_2 is very stable. It has little temporal variability and its mixing ratios are nearly constant over large altitude regions. Changes in the CO_2 absorption pattern can thus be mainly attributed to changes in the temperature profile. Furthermore, CO_2 is an infrared active gas and its concentrations are relatively high which assures distinct absorption signatures. We apply four spectral windows between 960 and 970 cm^{-1} containing isolated CO_2 lines of different

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

[Title Page](#)[Abstract](#)[Introduction](#)[Conclusions](#)[References](#)[Tables](#)[Figures](#)[⏪](#)[⏩](#)[◀](#)[▶](#)[Back](#)[Close](#)[Full Screen / Esc](#)[Printer-friendly Version](#)[Interactive Discussion](#)

intensities (see Fig. 3) together with the windows as described in Sect. 2 and shown in Fig. 1. The only significantly interfering absorptions in the CO₂ windows are due to O₃ and can be seen as the tiny dips in the 969 cm⁻¹ window. To adjust the measured and simulated CO₂ signatures we only allow a scaling of a climatological CO₂ profile: inconsistencies between the four CO₂ line intensities and in their line shapes are considered by adapting the temperature profile.

For this retrieval setup the errors due to temperature uncertainties are widely eliminated. The random error is reduced from 3.5 DU to 0.1 DU. The systematic sensitivity error is reduced from -3.3% to -0.2% and the systematic bias from -7.0 DU to -0.4 DU. The smoothing error, the intensity offset, and errors due to uncertainties in the ILS and the solar elevation angle remain as leading error sources. For the assumptions listed in Table 1 we estimate a total random error of around 1.2 DU. This is a significant improvement over the current state-of-the-art retrieval method for which we estimate a total random error of 3.5 DU. All errors are listed in Table 3.

4 Summary and conclusions

Applying a state-of-the-art instrumentation and retrieval strategy provides for an estimated precision of total O₃ of around 1DU, which converts the FTIR technique to one of the most precise techniques for a continuous monitoring of total O₃. From Table 3 we conclude that important remaining error sources are intensity offsets, small uncertainties of the ILS or of the solar elevation angle, and the smoothing error. It is, furthermore, important to state that we estimate a near ideal column sensitivity. Therefore, the applied a-priori has negligible influence on the retrieved O₃ amounts. All information about the actual O₃ content is taken from the measurement and consequent our error estimation is of general validity and not limited to the Izaña site. The recipe is summarized as follows and contains retrieval and instrumental aspects:

1. To eliminate the temperature error and to keep the smoothing error small it is

**Monitoring total
ozone with a
precision of around
1 DU**

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

⏪

⏩

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

**Monitoring total
ozone with a
precision of around
1 DU**

M. Schneider and F. Hase

- required to apply a retrieval strategy as described in the previous Sections, i.e. it is mandatory to apply broad spectral windows and to perform a joint OE of $^{48}\text{O}_3$, $^{48}\text{O}_3/^{50}\text{O}_3$, and temperature profiles. Therefore one should apply additionally the spectral CO_2 windows as shown in Fig. 3. The joint OE of the temperature profile provides for the decisive improvement of the precision. Currently PROFFIT (Hase et al., 2004) is the only retrieval code for the analysis of ground-based spectra that allows to perform an OE of temperature and isotopologue profiles.
2. One should apply a photo-voltaic instead of a photo-conductive detector. Photo-voltaic detectors have a quite linear characteristics whereas photo-conductive detectors show a certain level of non-linearity, which may introduce baseline artefacts into the spectra.
 3. The intensity fluctuations during scanning should be documented. For example, clouds passing through the line of sight during scanning may cause intensity offsets in the spectra. A correction of these baseline artefacts is only possible if in addition to the AC interferogram signal the DC interferogram signal is recorded. At Izaña such a correction was not necessary due to the nearly continuous perfect clear sky conditions, however at sites with less favorable sky conditions it is indispensable.
 4. One should use an instrument with a stable ILS like the Bruker IFS 120/125HR. Currently the Bruker IFS 120/125 HR spectrometers are among the best-performing FTIR spectrometers commercially available. It is difficult to achieve the required stability with portable instruments like a Bruker IFS 120M.
 5. The pointing of the solar tracker and the effective measurement time should be known with high accuracy. For a solar elevation angle of 40° an uncertainty of 0.1° in the pointing or of 30 seconds in the effective measurement time causes an error of 0.3DU. For an elevation angle of 20° or 10° this error increases to 0.7DU and 1.2DU, respectively. At Izaña we apply an high quality home-built

[Title Page](#)[Abstract](#)[Introduction](#)[Conclusions](#)[References](#)[Tables](#)[Figures](#)[⏪](#)[⏩](#)[◀](#)[▶](#)[Back](#)[Close](#)[Full Screen / Esc](#)[Printer-friendly Version](#)[Interactive Discussion](#)

solar tracker. Its mirror positions are determined from astronomical calculations and additionally controlled by the signals of a quadrant detector (Huster, 1998).

Finally, it should be commented that a further reduction of the noise level would yield no further improvement: as shown in Table 3 the measurement noise is a negligible error source.

Acknowledgements. We would like to thank the European Commission for funding via the project GEOMON (contract GEOMON-036677). Furthermore, we are grateful to the Goddard Space Flight Center for providing the temperature and pressure profiles of the National Centers for Environmental Prediction via the automailer system.

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Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

⏪

⏩

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

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Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

◀

▶

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

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**Monitoring total
ozone with a
precision of around
1 DU**

M. Schneider and F. Hase

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

◀

▶

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

[Title Page](#)
[Abstract](#)
[Introduction](#)
[Conclusions](#)
[References](#)
[Tables](#)
[Figures](#)
[⏪](#)
[⏩](#)
[◀](#)
[▶](#)
[Back](#)
[Close](#)
[Full Screen / Esc](#)
[Printer-friendly Version](#)
[Interactive Discussion](#)
Table 1. Assumed uncertainties.

error source		random	systematic
phase error		0.02 rad	–
modulation eff.		2%	–
intensity offset		0.1%	+0.1%
T profile ^a	at surface	1.7 K	–3.5 K
	rest of troposphere	0.7 K	–
	at 30 km	1 K	up to +4 K
	above 50 km	6 K	up to –12 K
solar angle		0.1°	–
line intensity		–	–2%
pres. broad. coef.		–	–2%

^a detailed description see text

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Table 2. Estimated random (in DU) and systematic errors (sensitivity in % and bias in DU) of the total column amounts.

error source	random	systematic (sensitivity/bias)
smoothing	0.4 DU	−0.2%/−
phase error	0.1 DU	−/−
modulation eff.	0.3 DU	−/−
intensity offset	0.4 DU	−0.2%/−0.6 DU
temperature	3.5 DU	−3.3%/−7.0 DU
solar angle	0.3 DU	−/−
line intensity	−	+2.0%/+5.8 DU
pres. broad. coef.	0.1 DU	−0.1%/+0.5 DU
measurement noise	0.1 DU	−/−
total	3.5 DU	

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

⏪

⏩

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

Table 3. Estimated random (in DU) and systematic errors (in %) of O₃ total column amounts for simultaneous optimal estimation of O₃ and temperature profiles.

error source	random	systematic (sensitivity/bias)
smoothing	0.5 DU	–/–
phase error	0.3 DU	–/–
modulation eff.	0.7 DU	+0.1%/–
intensity offset	0.6 DU	+0.3%/–0.9 DU
temperature	0.1 DU	–0.2%/–0.4 DU
solar angle	0.3 DU	–/–
line intensity	–	+2.0%/+5.7 DU
pres. broad. coef.	0.1 DU	–0.1%/+0.3 DU
measurement noise	0.1 DU	–/–
total	1.2 DU	

Title Page

Abstract

Introduction

Conclusions

References

Tables

Figures

◀

▶

◀

▶

Back

Close

Full Screen / Esc

Printer-friendly Version

Interactive Discussion

**Monitoring total
ozone with a
precision of around
1 DU**

M. Schneider and F. Hase

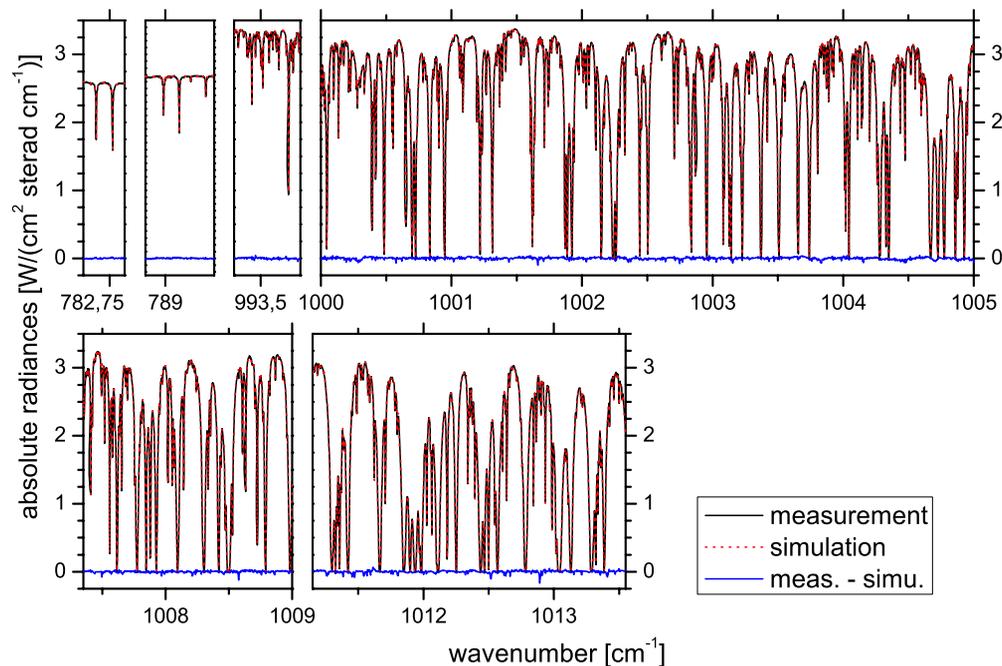


Fig. 1. Spectral windows applied. Plotted is the situation for a real measurement taken on 22 January 2005 (solar elevation angle 32.2° ; black line: measured spectrum; dotted red line: simulated spectrum; blue line: difference between simulation and measurement).

[Title Page](#)[Abstract](#)[Introduction](#)[Conclusions](#)[References](#)[Tables](#)[Figures](#)[⏪](#)[⏩](#)[◀](#)[▶](#)[Back](#)[Close](#)[Full Screen / Esc](#)[Printer-friendly Version](#)[Interactive Discussion](#)

Monitoring total ozone with a precision of around 1 DU

M. Schneider and F. Hase

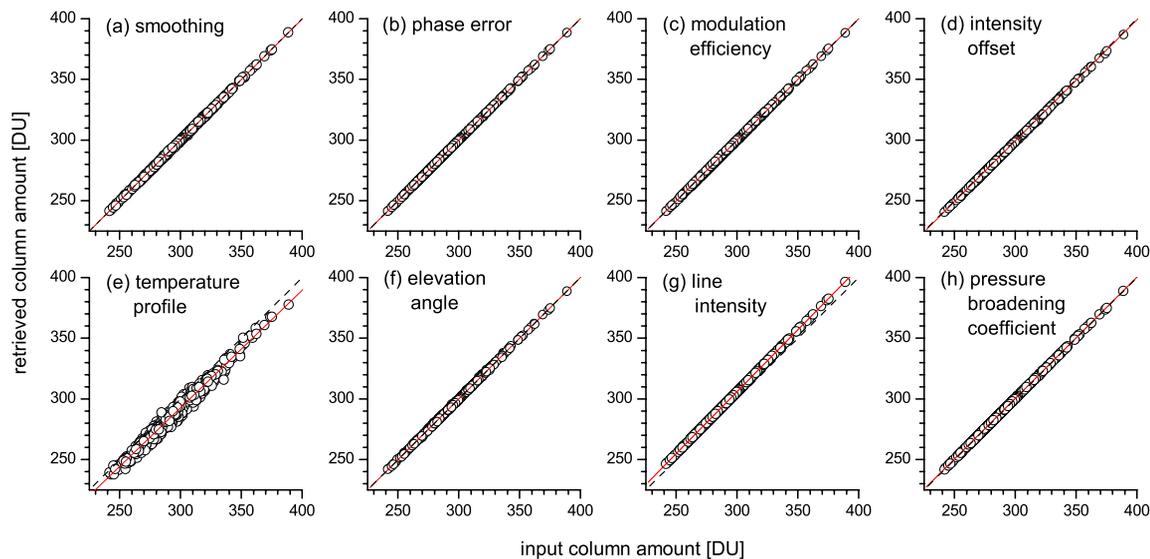


Fig. 2. Correlation plots for the estimation of the random and systematic errors. Circles represent the 500 individual members of the applied ensemble; red lines the linear regression line. Black dashed line indicates the diagonal, i.e. the situation for no systematic error component.

[Title Page](#)[Abstract](#)[Introduction](#)[Conclusions](#)[References](#)[Tables](#)[Figures](#)[◀](#)[▶](#)[◀](#)[▶](#)[Back](#)[Close](#)[Full Screen / Esc](#)[Printer-friendly Version](#)[Interactive Discussion](#)

**Monitoring total
ozone with a
precision of around
1 DU**

M. Schneider and F. Hase

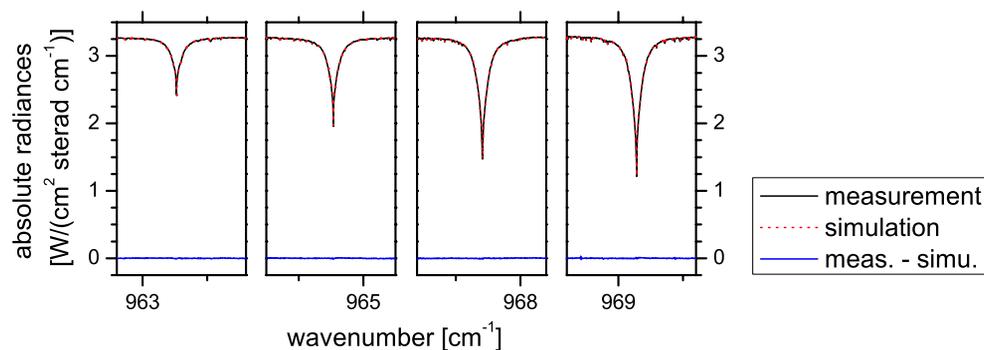


Fig. 3. Applied CO₂ windows. The spectra correspond to the same measurement as the spectra shown in Fig. 1. Scale and meaning of lines and colours is the same as in Fig. 1

[Title Page](#)[Abstract](#)[Introduction](#)[Conclusions](#)[References](#)[Tables](#)[Figures](#)[◀](#)[▶](#)[◀](#)[▶](#)[Back](#)[Close](#)[Full Screen / Esc](#)[Printer-friendly Version](#)[Interactive Discussion](#)