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**Abstract**

The long observational record is critical to our understanding of the Earth's climate, but most observing systems were not developed with a climate objective in mind. As a result, tremendous efforts have gone into assessing and reprocessing the data records to improve their usefulness in climate studies. The purpose of this paper is to both review recent progress in reprocessing and reanalyzing observations, and summarize the challenges that must be overcome in order to improve our understanding of climate and variability. Reprocessing improves data quality through more scrutiny and improved retrieval techniques for individual observing systems, while reanalysis merges many disparate observations with models through data assimilation, yet both aim to provide a climatology of Earth processes. Many challenges remain, such as tracking the improvement of processing algorithms and limited spatial coverage. Reanalyses have fostered significant research, yet reliable global trends in many physical fields are not yet attainable, despite significant advances in data assimilation and numerical modeling. Oceanic reanalyses have made significant advances in recent years, but will only be discussed here in terms of progress toward integrated Earth system analyses. Climate data sets are generally adequate for process studies and large-scale climate variability. Communication of the strengths, limitations and uncertainties of reprocessed observations and reanalysis data, not only among the community of developers, but also with the extended research community, including the new generations of researchers and the decision makers is crucial for further advancement of the observational data records. It must be emphasized that careful investigation of the data and processing methods are required to use the observations appropriately.

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**Keywords**

(separated by "-")

Essential climate variables - Climate data records - Data rescue - Data provenance - Reanalysis - Uncertainty - Bias correction

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# On the Reprocessing and Reanalysis of Observations for Climate

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[AU1] **Michael G. Bosilovich, John Kennedy, Dick Dee,  
Rob Allan, and Alan O'Neill**

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20 of progress toward integrated Earth system analyses. Climate data sets are generally  
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29 provenance • Reanalysis • Uncertainty • Bias correction

## 30 **1 Reprocessing Observations**

31 A major difficulty in understanding past climate change is that, with very few excep-  
32 tions, the systems used to make the observations that climate scientists now rely  
33 on were not designed with their needs in mind. Early measurements were often  
34 made out of simple scientific curiosity or needs other than for understanding climate  
35 or forecasting it; latterly, many systems have been driven by other needs such as  
36 operational weather forecasting, or by accelerating improvements in technology.  
37 This has two major consequences.

38 The first consequence is that although large numbers of observations are available  
39 in digital archives, many more still exist only as paper records, or on obsolete  
40 electronic media and are therefore not available for analysis. Measurements made  
41 by early satellites, whaling ships, missions of exploration, colonial administrators,  
42 and commercial concerns (to name only a few) are found in archives scattered  
43 around the world. Finding, photographing and digitizing observations from paper  
44 records and locating machines capable of reading old data tapes, punch cards, strip  
45 charts or magnetic tapes are each time-consuming and costly, but they are vital to  
46 improving our understanding of the climate. Furthermore, there is a growing need  
47 for longer, higher quality data bases of synoptic timescale phenomena in order to  
48 address questions and concerns about changing climate and weather extremes,  
49 risks and impacts under both natural climatic variability and anthropogenic climate  
50 change. Such demands are leading to a greater emphasis on the recovery, imaging,  
51 digitization, quality control and archiving of, plus ready access to, daily to sub-daily  
52 historical weather observations. These new data will ultimately improve the quality  
53 of the various reanalyses that rely on them. There is also a sense of urgency as many  
54 observations are recorded on perishable media such as paper and magnetic tapes  
55 which degrade over time. Without intervention, our ability to understand and recon-  
56 struct the past is disintegrating in a disturbingly literal sense.

57 The second major consequence is that current observation system requirements  
58 for climate monitoring and model validation such as those specified by GCOS

(<http://www.wmo.int/pages/prog/gcos/index.php?name=ClimateMonitoringPrinciples>) – typically emphasizing continuity and stability over resolution and timeliness – are met by few historical observing systems. Changes in instrumentation, reporting times and station locations introduce non-climatic artifacts in the data necessitating consistent reprocessing to recover homogeneous climate records. Nevertheless, reliable assessments of changes in the global climate have been made such as the IPCC’s statement that “warming of the climate system is unequivocal”. This assessment relies on the many multi-decadal climate series which now exist.

Reprocessing of observations aims to improve the quality of the data through better algorithms and to understand and communicate the errors and consequent uncertainties in the raw and processed observations. Reanalyses differ from reprocessed observational data sets in that sophisticated data assimilation techniques are used in combination with global forecast models to produce global estimates of continuous data fields based on multiple observational sources (to be discussed in the following section).

### ***1.1 Data Recovery and Archiving***

A vital first step for the understanding of historical data and hence past climate is to digitize and make freely available the vast numbers of measurements, other observations and related metadata that currently exist only in hard copy archives or on inaccessible (or obsolete) electronic media. Some estimates suggest that the number of undigitized observations prior to the Second World War is larger than the number of observations currently represented in the largest digital archives.

[AU2] Digitizing large numbers of observations that are printed or hand-written in a variety of languages is labor intensive: imaging fragile paper records is time consuming and optical character recognition (OCR) technology is not yet capable of dealing with handwritten log book or terrestrial registers entries, so they must be keyed by hand. Scientific projects such as CLIWOC (García-Herrera et al. 2005), RECLAIM (Wilkinson et al. 2011) and the international ACRE initiative (Atmospheric Circulation Reconstructions over the Earth, Allan et al. 2011) have worked to recover and make available these observations. More recently they have been supplemented by citizen science projects such as oldweather.org (<http://www.oldweather.org>) and Data.Rescue@Home (<http://www.data-rescue-at-home.org/>) which have reliably and rapidly digitized large numbers of meteorological observations online at the same time as increasing public engagement with science via lively e-communities. Such projects are not only of climatological interest but can also be of wider historical interest (Allan et al. 2012).

The international ACRE initiative (Allan et al. 2011) both undertakes data rescue and facilitates data recovery projects around the world and their integration with existing data archives. A number of these data archives exist. The International Comprehensive Ocean Atmosphere Data Set (ICOADS Woodruff et al. 2010) holds marine meteorological reports covering a wide range of surface variables.

100 The World Ocean Database (WOD, Showstack 2009) has large holdings of  
101 oceanographic measurements. The Integrated Surface Database (ISD, Lott et al.  
102 2008) holds high-temporal resolution data for land stations. The International  
103 Surface Pressure Databank (ISPD, Yin et al. 2008) contains measurements of  
104 surface pressure from ICOADS and land stations, supplemented by information  
105 about tropical cyclones from the International Best Track Archive for Climate  
106 Stewardship (IBTrACS, Knapp et al. 2010). The Global Precipitation Climatology  
107 Centre (GPCC) has gathered precipitation observations from many different sources.  
108 The International Surface Temperature Initiative (ISTI, Thorne et al. 2011a, b) is [AU3]  
109 bringing together temperature measurements from many different sources to pro-  
110 vide a single, freely available databank of temperature measurements combined  
111 with metadata concerning the provenance of the data. Nevertheless, these various  
112 activities are very fragile, and often only exist as a result of ‘grassroots’ actions  
113 by the climate science community (Allan et al. 2011, 2012). These projects and  
114 initiatives urgently need to be imbedded in an overarching, sustainable, fully funded  
115 and staffed international infrastructure that oversees data rescue activities, and com-  
116 pliments the various implementation and strategy plans and documents on data  
117 through international coordinating bodies, such as GCOS, GEO, WMO and WCRP.  
118 The consolidation of meteorological, hydrological and oceanographic reports  
119 and observations into large archives facilitates the creation of a range of ‘summary’  
120 data sets which are widely used in climate science and can also act as a focus for  
121 an international community of researchers. However, further consolidation could  
122 bring greater benefits. A land equivalent of the ICOADS, for example, would bring  
123 together many of the elements needed to fully describe the meteorological situation  
124 and potentially reduce the efforts that are currently expended to maintain and grow  
125 a large number of different datasets. In fact, both the terrestrial and marine data  
126 efforts need to be integrated and better linked up under an international framework  
127 that supports their activities in a fully sustainable manner.

## 128 *1.2 Data Set Creation and Evaluation*

129 The difficulties of converting raw observations into data sets which are of use to climate  
130 researchers are well documented (e.g. Lyman et al. 2010; Thorne et al. 2011a; Kent  
131 et al. 2010; Lawrimore et al. 2011; Hossain and Huffman 2008). Systematic errors  
132 and inhomogeneities in data series caused by changes in instrumentation, time of  
133 observation and in the environment of the sensor are often as large, or larger than,  
134 the signals we hope to detect. Without reliable traceability back to international  
135 measurement standards, the problem of detecting and accounting for these errors is  
136 not easy. Before the satellite era, observations were often sparsely distributed.  
137 Various methods have been devised to impute the values of climatological variables  
138 at locations and times when no such observations were made. The problems are  
139 further compounded by the necessity of making approximations, using uncertain  
140 inputs (such as climatologies), the use of different data archives and having sometimes

limited statistics with which to estimate important parameters. Three examples will help to illustrate some of these difficulties and the way that they have been tackled.

One long running example is seen in the different reprocessings of the data from the satellite-based Microwave Sounding Units (MSU) which can be used to derive vertical temperature profiles through the free atmosphere (Thorne et al. 2011a). The earliest processing by Spencer and Christy (1990) suggested a monthly precision of  $0.01^{\circ}$  C in the global average lower troposphere temperatures but the lack of a trend in the satellite data was not physically consistent with contemporary surface temperature estimates. However, when other teams (Prabhakara et al. 2000; Vinnikov and Grody 2003; Mears et al. 2003) processed the data they found quite different long term behavior. Successive iterations of the datasets have considered an increasingly broad range of confounding factors including orbital decay, hot target temperature and diurnal drift. Twenty years of analysis and reprocessing have undoubtedly improved the overall understanding of the MSU instruments (Christy et al. 2003; Mears and Wentz 2009a, b), the quality of the data sets and estimates of atmospheric temperature trends, but despite these improvements temperature trends from the different products still do not agree. This implies either the existence of unknown systematic effects, or significant sensitivity to data processing choices. Mears et al. (2011) used a monte-carlo approach to assess the uncertainty arising from data processing choices, but this did not fully bridge the gap between their analysis and others.

In the past decade, the view of ocean heat content has changed considerably. Early estimates of global ocean heat content (Levitus et al. 2000) showed marked decadal variability. Gouretski and Koltermann (2007) identified a time-varying bias in measurements made by expendable BathyThermographs (XBT). An XBT is a probe that is launched from the deck of a ship and falls down through the ocean trailing behind it a fine wire that relays water temperature measurements to the operator. The depths of the measurements are estimated from an equation that relates time-since-launch to depth. Gouretski and Koltermann (2007) found that there were time-varying differences between the actual and estimated depths. Since 2007, various groups (Wijffels et al. 2008; Ishii and Kimoto 2009; Levitus et al. 2009; Gouretski and Reseghetti 2010; Good 2011) have proposed adjustments for the XBT data based on a number of factors including, the make and model of the XBT, water temperature (which is related to viscosity) as well as a pure thermal bias of unknown origin. By running the different correction methods on a defined set of data, it has been possible to begin to assess the uncertainty arising from the different parts of the reprocessing e.g. bias adjustment, choice of climatology etc. (Lyman et al. 2010).

The third example provides contrasting depth to the problems at hand. A number of sea-surface temperature data sets extend back to the start of the twentieth century (and before). Because observations become fewer the further back in time one goes, statistical methods are used to estimate SSTs in data gaps. However, as before, the data sets differ. Trends in SSTs in the tropical Pacific show different behavior depending on the data set used. Some data sets show an El Niño-like pattern, others



186 a La Niña-like pattern (Deser et al. 2010) indicating that uncertainty in long-term  
187 trends can arise from sources other than systematic instrumental error.

188 Because of the obvious difficulties with observationally-based data sets, it is  
189 dangerous to consider them as unproblematic data points which one can use to build  
190 and challenge theories and hypotheses regarding the climate. The reality is not  
191 so simple. The data sets are themselves based on assumptions and hypotheses  
192 concerning the means by which the observed quantity is physically related to the  
193 climatological variable of interest. In the first example given above, the MSUs are  
194 sensitive to microwave emissions from oxygen molecules in the atmosphere. To  
195 convert the measured radiances to atmospheric temperature requires knowledge of  
196 atmospheric structure, the physical state of the satellite, quantum mechanics and  
197 orbital geometry.

198 In the first two examples above, the earliest attempts to create homogeneous data  
199 series underestimated the uncertainties because they did not consider a wide enough  
200 range of systematic effects. The physical understanding of the system under study  
201 was incomplete. Such problems are not unique to the study of climate data; see  
202 for example, Kirshner (2004) on the difficulties of estimating the Hubble constant.  
203 The uncertainty highlighted by the differences between independently processed  
204 data sets is often referred to as *structural* uncertainty. It arises from the many different  
205 choices made in the processing chain from raw observations to finished product.  
206 Part of this difference will arise from the different systematic effects considered –  
207 implicitly and explicitly – by the groups, but part will also arise from the different  
208 ways independent groups tackle the same problems. In most cases there are a wide  
209 variety of ways in which a particular problem can be approached and no single  
210 method can be proved definitively to be correct. The uncertainty associated with  
211 small changes in method (for example, using a 99 % significance cutoff as opposed  
212 to 95 % for identifying station breaks) can be assessed using monte-carlo techniques  
213 (see e.g. Mears et al. 2011; Kennedy et al 2011; Williams et al. 2012) and is referred  
214 to as *parametric* uncertainty to differentiate it from the deeper – and often larger –  
215 uncertainties associated with more significant structural changes that can only be  
216 assessed by taking independent approaches.

217 This slow evolution underlies what drives improvements in the understanding of  
218 the data. It also highlights the fact that no reprocessing is likely to be final and  
219 definitive. These considerations show the ongoing importance of making multiple,  
220 independent data sets of the same variable and many analyses that rely on climate  
221 data sets use multiple data sets to show that their results are not sensitive to struc-  
222 tural uncertainty.

223 Comparisons between different methods have been used to assess the relative  
224 strengths and weaknesses of different approaches. Side by side comparisons of  
225 existing data sets have been made (Yasunaka and Hanawa 2011) but the use of care-  
226 fully designed tests datasets can be far more illuminating. Real observations can  
227 be used (e.g. Lyman et al. 2010), but in this case the ‘true’ value is unknown. By  
228 using synthetic data sets, where the truth is known, much more can be learned  
229 (e.g. Venema et al. 2012; Williams et al. 2012). The use of carefully designed test  
230 data sets has been used in metrology to understand uncertainties associated with

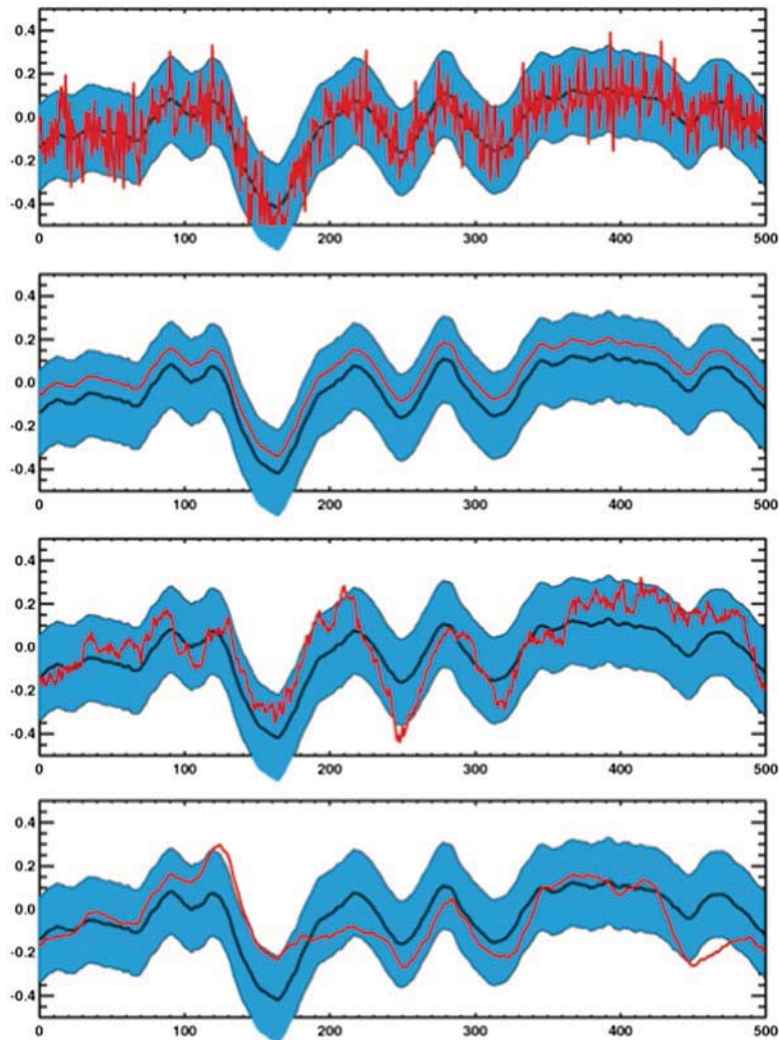


software in the measurement chain. However, the National Physics Laboratory (NPL) best practice guide on validation of software in measurement systems (NPL report DEM-ES 014) excludes measurement systems where the physics is still being researched which is arguably the case for many climate data sets. The International Surface Temperature Initiative (ISTI Thorne et al. 2011b) is developing a sophisticated process for developing test data sets based on synthetic ‘pseudo-observations’ that have been constructed to contain errors and inhomogeneities thought to be representative of real world cases. By running the algorithms designed to homogenize station data on these analogues of the real world as well as on the real data, it will be possible to directly compare the performance of different methods. Tests like these have been used to study the effectiveness of paleo-reconstruction techniques (Mann and Rutherford 2002) and have long formed the basis of Observing System Simulation Experiments (OSSE’s). Ideally, such processes need to be ongoing for two reasons. Firstly, benchmark tests become less useful over time because there is a danger that the methods will become tuned to their peculiarities. Secondly, because the benchmarks might not address novel uses of the data or reflect new understanding of the error structures present in real world data.

Such methods are less effective for assessing homogenization procedures where they are based on empirical studies (Brunet et al. 2011), or on physical reasoning (Folland and Parker 1995). However, they could be used to cross-check results if statistically-based alternatives can be developed. A more empirical approach to the problem of assessing data biases is to run observational experiments (Brunet et al. 2011) whereby different sensors, including historical sensors, are compared side by side over a period of years. Such comparisons can be used to estimate the biases and associated uncertainties that can be used to cross check other methods, and in periods with fewer observations they may be the only means of assessing the data uncertainties.

Greater emphasis is now being given to the importance of uncertainty in observationally-based data sets, but it is not always clear how a user of the data should implement or interpret published uncertainty estimates. The traditional approach of providing an error bar on a derived value is often unsatisfactory because it provides information only on the magnitude of the uncertainty, but not how uncertainties co-vary. For example in the schematic in Fig. 1, each of the red lines is consistent with the median and 95 % uncertainty range indicated by the black line and blue area. By providing only the black line and ‘error bar’, information concerning (in this case) the temporal covariance structure of the errors is lost. This has implications when the data are further processed, because the covariance is needed to correctly propagate the uncertainties.

Recent approaches have drawn representative samples (roughly equivalent to the red lines shown in Fig. 1) from the posterior distributions of statistically reconstructed fields (Karspeck et al. 2011; Chappell et al. 2012) or representative samples from a particular error model (Mears et al. 2011; Kennedy et al. 2011). Each sample, or realization, can then be run through an analysis to generate an ensemble of results that show the sensitivity of the analysis to observational uncertainty.



**Fig. 1** Four examples showing that very different behaviors are consistent with the same ‘error bars’. (*Top*) uncertainty range indicates that high-frequency variability is missing. (*second from top*) uncertainty range indicates a systematic offset. (*bottom and second from bottom*) uncertainty range indicates red-noise error variance

276 While these issues have been important for assessing large scale long term  
 277 climate change, the challenges become even more formidable when data sets are  
 278 used to assess climate change at higher resolution in time and in space. It is the  
 279 extremes of weather that most often have the highest societal impacts and detecting  
 280 and attributing changes in the statistics of these events is hampered by sparse data  
 281 and poorly characterized uncertainties (see the OSC Community Paper on Extremes  
 282 by Alexander et al.). The analysis of extremes demands more careful quality

control – which in turn necessitates greater understanding of the underlying processes – because unusual events can sometimes resemble data errors and vice versa. In order to provide the data sets demanded by climate services the problems detailed above need to be resolved for a new generation of high resolution data set; from the discovery imaging and digitizing of paper records and metadata, through the management of appropriate archives, the generation of multiple independent data sets and their intercomparison to the wide dissemination and documentation of the final products.

Addressing the above concerns is vital for the creation of Climate Data Records (CDR <http://www.ncdc.noaa.gov/cdr/guidelines.html>), defined by the National Research Council (NRC) as “a time series of measurements of sufficient length, consistency, and continuity to determine climate variability and change”. At the moment, the concept of a CDR has been associated with satellite processing, but a similar approach would be illuminating for in situ measurements of other geophysical variables. Of particular interest, from this point of view are the importance accorded to transparency of data and methods. Openness and transparency have many advantages over their opposites. They lay bare the assumptions made in the analysis: although methods sections in papers can adequately describe an algorithm, there is always the danger of ambiguity, or unstated assumptions. Where computer codes are provided, they unambiguously describe the methods used. In addition, the discovery and correction of errors in data and analysis are greatly facilitated, as is the reuse of methods in later analyses (Barnes 2010). The Climate Code Foundation (<http://climatecode.org/>) has been set up to help improve the visibility, availability and quality of code used in climate assessments and has recoded the NASA Goddard Institute of Space Studies global temperature data set, which has been developed over a number of years, in a single consistent package.

Assessing the quality of anything is a difficult task (Pirsig 1974) and CDRs are no exception. Indices attempting to measure the quality, or maturity of CDRs have been proposed ([www1.ncdc.noaa.gov/pub/data/sds/cdrp-mtx-0008-v4.0-maturity-matrix.pdf](http://www1.ncdc.noaa.gov/pub/data/sds/cdrp-mtx-0008-v4.0-maturity-matrix.pdf)). These include considerations of criteria such as scientific maturity, preservation maturity and metadata completeness as well as highlighting the importance of independent cross-checks and the provision of validated uncertainty estimates. A concept such as “maturity” is dangerous when applied to a single dataset: longevity and quality are not equivalent. As shown above, scientific maturity has typically developed by means of making *multiple independent* data sets. Even when considering the understanding of a variable across a range of data sets, difficulties arise because systematic errors in the data can go undetected for many years. “Immaturity” has only ever been obvious in hindsight.

Climate research encompasses a large range of studies, from process studies, overlapping more traditional research, that focus on large space-time scale interactions and coupling (i.e, feedbacks) to global, long-term monitoring (change detection) and attribution (change explanation). Planning for the needs of all of these uses is difficult. The need for greater transparency and traceability of raw data characteristics, analysis methods and data product uncertainties also have to help users judge whether a particular product is useful for a particular study. Given the large

328 range of data products currently available—both raw and analyses—it is sometimes  
329 difficult for users to identify, locate and obtain what they need unless there is an  
330 organized set of information available. A number of approaches can help users find  
331 the data they need.

332 First, users need information about the various data sets. Journal papers and  
333 technical reports describing data set construction are often less useful as user guides,  
334 with technical details hidden behind journal paywalls or spread across a series of  
335 publications. Initiatives such as the Climate Data Guide project aims to provide  
336 expert and concise reviews of data and quality (<http://climatedataguide.ucar.edu/>).  
337 By comparing data sets side by side in a common setting, it should be easier for  
338 users to understand the relative strengths and weaknesses of different data sets.

339 Second, the users need to be able to find the data. This is easiest to do if there  
340 exists a common method for data discovery. At the basic level of individual meteo-  
341 rological reports, there exist a large number of archives (as mentioned before). At a  
342 higher level, there is no single repository for gridded and otherwise processed  
343 observational data sets that is analogous to the CMIP archive of model data (Meehl  
344 et al. 2000). Generating such an archive would have the dual effect of giving users  
345 easy access to the data in a standard format while allowing data producers to get  
346 their work more widely recognized. Presenting different data sets side by side will  
347 also serve to highlight the uncertainties in the observations themselves. A problem  
348 common to all data sets is that of accurate citation. Where data sets are regularly  
349 updated, a citation to a journal paper might not be sufficient to allow full reproduc-  
350 ibility. Data archives could allow systematic version control of data set through  
351 a common mechanism allowing future users to extract a particular data set down-  
352 loaded at any time. There is a growing concern about archiving and ready access to  
353 all of these data under a viable system that can easily handle the storage and access  
354 to an ever expanding volume of data. By combining such an archive with detailed  
355 provenance information, as anticipated by ISTI, would allow users to use data of a  
356 kind that is appropriate for their particular analysis. In gathering together observa-  
357 tional data, thought must also be given to archiving and systematizing metadata  
358 and documentation. Such things as, quality flags, stations histories, calibration  
359 records, reanalysis innovations and feedback records, observer instructions, and so  
360 on, provide valuable information for analysts. Ideally, archives of metadata should  
361 coexist with the archives of data to which they refer.

362 Third, the information and data sets need to be integrated. There is not as yet a  
363 systematic way to gather value that has been added by a community that works with  
364 the data. The Climate Data Guide points to the data, but the data exist in a variety of  
365 formats. Collections of data sets exist, but they are sometimes divorced from the  
366 expert guidance necessary to understand them. A number of initiatives are addressing  
367 these problems. The ICOADS does incorporate some information concerning  
368 quality control, or bias identification and adjustment, but the IVAD (ICOADS  
369 Value-Added Data <http://icoads.noaa.gov/ivad/>) data base plans to add a layer which  
370 will give users access to a range of value-added data. The ISTI (International Surface  
371 Temperature Initiative) plans to create an archive of air temperature data and go  
372 further by planning to include other variables, as well as full provenance information

for each observation in the archive allowing users to drill down from fully analyzed products to the original handwritten note made by the observer. Other projects, such as Group for High Resolution Sea Surface Temperature (GHRSSST, [www.ghrsst.org](http://www.ghrsst.org); Donlon et al. 2007), have produced alternative models for their own user communities that give access to greater detail allowing them to make their own evaluations of uncertainty.

### **1.3 Recommendations**

1. Projects and initiatives concerning data digitization and archiving of basic observations urgently need to be imbedded in an overarching, sustainable, fully funded and staffed international infrastructure that oversees data rescue activities, and compliments the various implementation and strategy plans and documents on data coming out of GCOS, GEO, WMO, WCRP and the like.
2. Terrestrial and marine data efforts need to be integrated and better linked up under an international framework that supports their activities in a fully sustainable manner.
3. An archive of observational data sets analogous to the CMIP archive of model data, should be set up and integrated with user-oriented information such as the Climate Data Guide.

## **2 Reanalysis of Observations**

Reanalyses differ from reprocessed observational data sets in that sophisticated data assimilation techniques are used in combination with global forecast models to produce global estimates of continuous data fields based on multiple observational sources. One advantage of this approach is that reanalysis data products are available at all points in space and time, and that many ancillary variables, not easily or routinely observed, are generated by the forecast model subject to the constraints provided by the observations. An important disadvantage of the reanalysis technique, however, is that the effect of model biases on the reanalyzed fields depends on the strength of the observational constraint, which varies both in space and time. This needs to be taken into account when reanalysis data are used for weather and climate research (e.g. Kalnay et al. 1996). Nevertheless, recent developments in data assimilation techniques, combined with improvements in models and observations (e.g. due to reprocessing of satellite data) have led to increasing use of modern reanalyses for monitoring of the global climate (Dee and Uppala 2009; Dee et al. 2011b; Blunden et al. 2011).

With multiple reanalyses now available for weather and climate research, investigators must consider the strengths and weaknesses of each reanalysis. Estimates of the basic dynamic fields in modern reanalyses are increasingly similar, especially in



410 the vicinity of abundant observations (Rienecker et al. 2011). The physics fields  
411 (e.g. precipitation and longwave radiation) are more uncertain due to shortcomings  
412 in the assimilating model and its parameterizations. Understanding the effect of model  
413 errors is important both for users and developers of reanalyses, and ultimately  
414 needed to further improve the representation of climate signals in reanalysis.  
415 Observations provide the essential information content of reanalysis products; their  
416 quality and availability ultimately determines the accuracy that can be achieved.  
417 The types of observations assimilated span the breadth of remotely sensed and  
418 instrumental in-situ observations. Dealing with the complexities and uncertainties  
419 in the observing system, including data selection, quality control and bias correction,  
420 can have a crucial effect on the quality of the resulting reanalysis data.

421 Given the importance of reanalysis for weather and climate research and applica-  
422 tions, successive generations of advanced reanalysis products can be anticipated.  
423 In the near future, coupling ocean, land and atmosphere will allow an integrated  
424 aspect of the reanalysis of historical observations, but may also increase the presence  
425 of model uncertainty. However, with the complexity of all the components of  
426 the Earth system, realizing the true potential of such advancements will require  
427 coordination, not only among developers of future reanalyses but also with the  
428 research community.

## 429 **2.1 Current Status**

430 The most used and cited reanalysis is the NCEP/NCAR reanalysis, which includes  
431 data going back to 1948 (Kalnay et al. 1996). The 45 year ECMWF reanalysis  
432 (ERA-40, Uppala et al. 2005), which stops in August 2002, has also been extensively  
433 used in weather and climate studies. Both of these reanalyses span the transition  
434 from a predominantly conventional observing system (broadly referring to in situ  
435 observations and retrieved observations that are assimilated) to the modern period  
436 with abundant satellite observations, marked by the introduction of TOVS radiance  
437 measurements in 1979. Many spurious variations in the climate signal have been  
438 identified in these early-generation reanalyses (Bengtsson et al. 2004; Andersson  
439 et al. 2005; Chen et al. 2008a, b), mainly resulting from inadequate bias corrections  
440 of the satellite data and modulated effects of model biases related with changes in  
441 the observing system. There now exist several atmospheric reanalyses covering the  
442 post-1979 period that are being continued forward in near-real time. The Japanese  
443 25-year Reanalysis (JRA-25), released for use in March 2006 (Onogi et al. 2007) is  
444 the first effort by the JMA, and their second, JRA-55 is underway (Ebita et al. 2011).  
445 The National Centers for Environmental Prediction (NCEP) second reanalysis  
446 (NCEP-DOE, Kanamitsu et al. 2002) improved upon the NCEP/NCAR reanalysis  
447 data. More recently, ECMWF has produced the ERA-Interim reanalysis based on a  
448 2006 version of their data assimilation system (Dee et al. 2011a), in preparation for  
449 a new climate reanalysis to be produced starting in 2014. NASA's Modern Era  
450 Retrospective-analysis for Research and Applications (MERRA) was developed as

a tool to better understand NASA's remote sensing data in a climate context 451  
(Rienecker et al. 2011). The NCEP Climate Forecast System Reanalysis (Saha et al. 452  
2010) became available in early 2010, produced with a data assimilation system 453  
that includes precipitation assimilation over land, and a semi-coupled ocean/land/ 454  
atmosphere model and intended for seasonal prediction initialization. This is a brief 455  
description of the latest atmospheric reanalyses. The basic information about the 456  
data can be found at <http://reanalyses.org/atmosphere/comparison-table>, along with 457  
similar information for the latest oceanic reanalyses. 458

While the fundamental strength in resolving dynamical processes remains, recent 459  
reanalyses have improved on many aspects of the earlier-generation systems. Direct 460  
assimilation of the remotely-sensed satellite radiances, rather than assimilation of 461  
retrieved state estimates, has become the norm. Variational bias correction of the 462  
satellite radiances effectively anchors these data to high-quality observations from 463  
radiosondes and other sources (Dee and Uppala 2009; used in ERA-Interim, 464  
MERRA, and CFSR as well as the forthcoming JRA-55). The recently completed 465  
CFSR is the first reanalysis to use a weakly-coupled ocean/atmosphere model, 466  
and also assimilates precipitation data over land. In addition to the technical and 467  
scientific improvements of the reanalysis systems, increased computational resources 468  
allow the use of higher-resolution models that better resolve the observations. 469  
These advances combined have lead to improved representations of many physical 470  
parameters and processes in reanalyses, for example improved skill of the large-scale 471  
global and tropical precipitation (Bosilovich et al. 2008, 2011). In addition, the need 472  
for reanalyses to contribute to climate change studies has prompted significant 473  
innovations. For example, the twentieth century Reanalysis (20CR) project carried 474  
out by NOAA in collaboration with CIRES uses the available global surface 475  
pressure observations and sea surface temperature record reconstructed through the 476  
1870s in an ensemble-based global analysis method. The resulting analysis is able 477  
to produce weather patterns with the quality of a modern 3-day numerical forecast 478  
(Compo et al. 2011). 479

Even with substantial improvements, assessment of the uncertainties in reanalysis 480  
output, especially in the physical processes needed to study climate variations and 481  
change, remains a significant concern. For a more complete picture of the climate 482  
system, as represented by reanalyses, the impact of the observations on the resulting 483  
data should be captured in the analysis of the physical processes (as in Roads et al. 484  
2002). Even the most recent reanalyses demonstrate, to varying degrees, shifts in the 485  
time series that can be related to changes in the observing systems being assimilated 486  
(Dee et al. 2011a, b; Saha et al. 2010; Bosilovich et al. 2011). These shifts, which 487  
may be due to changing biases in the observations, systematic errors in the assim- 488  
lating model, or both, interfere with the ability to detect reliable climate trends from 489  
the reanalyses. While there are some post-processing techniques that may address 490  
these spurious features (Robertson et al. 2011), dealing with biases in models and 491  
observations remains the most difficult challenge for the reanalysis and data assim- 492  
ilation community in developing future generations of climate reanalyses. 493

The number of global reanalyses has increased greatly in recent years, as com- 494  
puting improves, and various entities have need for specific missions to support. 495



496 Furthermore, spanning the various Earth system disciplines shows that uncoupled  
497 ocean and land reanalyses are being performed as regularly as those for the atmosphere  
498 (Guo et al. 2007; Xue et al. 2011; an evolving list of reanalyses is maintained at  
499 *reanalysis.org*). Regional reanalyses attempt to improve upon the local representa-  
500 tion of climate and processes that must be handled more generally in global systems  
501 (Mesinger et al. 2006; Verver and Klein Tank 2012). While this increase in new  
502 reanalyses can cause additional work for the research community in understanding  
503 the various strengths and weaknesses, it does provide opportunity to more quantita-  
504 tively investigate the uncertainties of the reanalysis data. For example, in studying the  
505 global water and energy budgets Trenberth et al. (2011) characterized the range of  
506 values for each term. In addition, collections of analyses have been used to derive a  
507 super ensemble mean and variance for the ocean (Xue et al. 2011), land (Guo et al. 2007)  
508 and atmosphere (Bosilovich et al. 2009). While the ensembles can expose biases in  
509 the character of various reanalyses, there is some evidence that the ensemble itself  
510 can also provide reasonable data from weather to monthly timescales. Despite the  
511 difficulties in dealing with a large amount of data, a researcher will find more  
512 advantage to have multiple data sets available for study. Just as several coupled  
513 model integrations are required for present day and future climate projections,  
514 multiple reanalyses will better contribute to the characterization of present day  
515 climate. Reanalyses may well benefit from common data standards that facilitate  
516 evaluation and analysis of the IPCC climate change experiments.

## 517 2.2 Integrating Earth System Analyses

518 Observations are the critical resource for a reanalysis, which needs as many as possible  
519 to characterize the state of the Earth system. As decadal predictions begin to play a  
520 role in understanding near-term climate variations, the Earth system ocean/land/  
521 atmosphere needs to be initialized in a balanced state. Newer measurements, such  
522 as aerosols, sea ice and ocean salinity contribute to the need for reanalyses that  
523 encompass the broad Earth system. Therefore, Integrated Earth Systems Analysis  
524 (IESA) encompasses the connections of these disparate observations, and have  
525 become an important challenge for data assimilation development.

526 NCEP CFSR provides a reanalysis produced with a semi-coupled ocean/land/  
527 atmosphere model, along with an analysis of land precipitation gauge measurements  
528 (Saha et al. 2010). Development of the next reanalysis from NASA includes  
529 aerosols, ocean (temperature and salinity), land (soil water) and ocean color (biology)  
530 analysis. While there are significant difficulties in both the modeling and assimi-  
531 lation of the integrated Earth system, extending these more complex reanalyses to  
532 historic periods, when little or none of the diversity in observations is available  
533 will require even more effort on addressing the impact of changes in the observing  
534 systems. Likewise, maintaining and expanding many of the Earth observations for-  
535 ward in time is also a critical issue (Trenberth et al. OSC position paper on observing  
536 system), and reference networks can provide stable benchmarks for reanalyses

and their data assimilation. Consistency and overlap of newer systems will help 537  
maintain the consistency in the integrated reanalyses. 538

### 2.3 *Reanalysis Input Observations* 539

Essentially, reanalyses without input observations revert to model products, hence 540  
the importance of the observing system emphasized here. As discussed previously, 541  
there are numerous value added advantages from reanalysis, but they cannot replace 542  
observed data. It is very important, especially for new reanalysis users, to understand 543  
that reanalyses are *not* observations, but rather, an observation-based data product. 544  
Since reanalyses combine many types of observations, their relative comparison 545  
should be valuable in assessing the quality of the observation as well. However, it is 546  
not always easy to determine which observations are included in the reanalysis at 547  
specific spatio-temporal coordinates. Any given observation will be weighted with 548  
other nearby observations and the model forecast in the assimilation process. It may 549  
be accepted or rejected, and if accepted will contribute to the overall analysis including 550  
other accepted observations. The degree to which an observation influences an 551  
analysis can be determined from the output background model forecast error and 552  
the analysis error (as discussed in Rienecker et al. 2011). 553

Such output data have been available from reanalysis and data assimilation 554  
products for some time, but generally only used by developers or those closely 555  
familiar with the data assimilation methodology. However, these assimilated obser- 556  
vations represent a key component in the output of the reanalyses, and can show 557  
which observations are used and how. For example, Haimberger (2007) used feedback 558  
information from ERA40 to better characterize inhomogeneities in the radiosonde 559  
time series, and this information was, in turn, used to improve the input observa- 560  
tions to both ERA-Interim and MERRA. To facilitate broader access, assimilated 561  
observations need to be provided in a format easily accessible to the reanalysis 562  
users, so that users can more appropriately identify the agreement between observed 563  
features (including all sources of a given state variable) and reanalysis features at 564  
any specific point in space and time. Even just the capability of easily determining 565  
the presence (or lack thereof) of assimilated observations during a given event 566  
would be useful in many research studies. Typically, the data is produced in 567  
“observation-space”, in that, it is an ascii record including space and time coordinates. 568  
To facilitate comparisons with the gridded reanalysis output, the GMAO has 569  
processed MERRA’s assimilated observations to its native grid (Rienecker et al. 570  
2011) called the MERRA Gridded Innovations and Observations (GIO). It includes 571  
each observation, its forecast error and analysis error (as well as the count of obser- 572  
vations and variance within the grid box). Similarly, recent efforts at ECMWF aim 573  
to make assimilated observations and the “feedback” files available through a WWW 574  
interface. With these data, researchers can quickly identify the observation assimilated 575  
at each of the reanalysis grid points. 576

Of course, reanalyses rely on the broad and open availability of increasing numbers 577  
of observing systems and variables. Regarding in situ (or sometimes referred to as 578

579 conventional) observing networks, reanalysis projects have been able to coordinate  
580 and update data holdings to reflect the latest quality assessments and reprocessing  
581 of the data. For the remote sensing data, however, there remains much less organiza-  
582 tion of the data and how it is used in reanalyses. As part of preparations for a new  
583 comprehensive climate reanalysis, an inventory of satellite radiances potentially  
584 available for reanalysis is currently being compiled at ECMWF. Some remotely  
585 sensed data is still assimilated as retrieved state fields, instead of radiances, and is  
586 therefore a function of the algorithm or radiative transfer model and its version, as  
587 well as the version of the input radiance.

588 There is significant work progressing on the radiances themselves that should  
589 affect their use in reanalyses. For example, intercalibrated MSU (channels 2–4) (Zou  
590 et al. 2006) were newly available and assimilated from the start of MERRA produc-  
591 tion, but this was not an option for reanalyses beginning prior to it. The satellite data  
592 input is generally handled by the reanalysis center, which must maintain contacts  
593 with the data community to be informed on all the latest information and updates.  
594 Presently, each center documents its own data usage, but there is no central information  
595 about this for research users to access and intercompare among reanalyses. As dis-  
596 cussed earlier, observations are the key resource for reanalysis, reanalysis are sensi-  
597 tive to the assimilated observations and so, it is vitally important for reanalysis  
598 projects to have the latest information and reprocessing of the input data type, and  
599 also convey that information to the research community. The series of international  
600 reanalyses conferences have provided a focal point for discussions on the accom-  
601 plishments, challenges and future directions of reanalyses (e.g. [jra.kishou.go.jp/3rac\\_](http://jra.kishou.go.jp/3rac_en.html)  
602 [en.html](http://en.html) and [icr4.org](http://icr4.org)). Additionally, a grass roots effort to open communication  
603 among reanalysis developers and the research community leveraging internet com-  
604 munication technology has begun and is gaining momentum ([reanalysis.org](http://reanalysis.org)).

## 605 **2.4 Recommendations**

- 606 1. The research community and reanalysis developers benefit from the availability  
607 of multiple international reanalysis products. Researchers should be encouraged  
608 to use as many as possible to better define the uncertainty of reanalyses. Data  
609 management practices and utilities should be developed to facilitate intercom-  
610 parison among reanalyses.
- 611 2. Given the criticality of observations and their quality in reanalyses, efficient and  
612 open communications among the reanalyses developers and observation develop-  
613 ers/stewards needs to be enhanced. Likewise, information on how the observations  
614 are used in the reanalysis can be used by the observation developers and research  
615 community. Reanalysis developers should be encouraged to provide the assim-  
616 ilated observations and innovations alongside the characteristic reanalysis data.
- 617 3. Interdisciplinary coupled modeling and assimilation across the atmosphere  
618 (including aerosols and the stratosphere), ocean, land and cryosphere needs  
619 significant advancement and communications to accomplish the long-term goals  
620 of integrated reanalyses.

### 3 Future Directions

621

Global data products and their further refinement will continue to be a critical resource for understanding the Earth's climate, variability and change. Not only is reduction of uncertainty for any individual product important, through improved algorithms and processing, but also, global data must be physically integrated and consistent in their use of ancillary information and consistency in assumptions. These considerations are leading to more formal assessments of global data products, such as those put forward by the GEWEX Data and Assessment Panel (e.g. Gruber and Levizzani 2008).

A substantial amount of observations are not regularly analyzed in present day research projects because it has yet to be digitized. Projects and initiatives concerning data digitization and archiving of basic observations urgently need to be imbedded in an overarching, sustainable, fully funded and staffed international infrastructure that oversees data rescue activities, and compliments the various implementation and strategy plans and documents on data coming out of international coordinating agencies. Terrestrial and marine data efforts need to be integrated and better linked up under an international framework that supports their activities. An archive of observational data sets analogous to the CMIP archive of model data, should be established and integrated with user-oriented information such as the Climate Data Guide.

The reanalysis developer and user community has increased substantially over the last decade, mostly due to the broad utility of the data. This paper has addressed some of the most pressing challenges facing the international reprocessing and reanalysis communities. WCRP has been an integral partner in the development of reprocessing and reanalyses, fostering communications within the community through workshops, conferences and its scientific panels. Recently, reanalyses data have been discussed and considered in the derivation of Essential Climate Variables (ECVs), as well as using the data for climate monitoring and information services (Dee et al. 2011b). Assessment of global data products is also a major issue for ECVs.

As can be easily seen in the overview summary of reanalyses, the reanalysis systems are evolving and growing. There will be newer, more advanced and comprehensive reanalysis data products available in coming years. Regarding the most recent reanalysis data products, there are many questions on their relative performance for the many uses and regions covered. It is not feasible for any one institution to be able to fully address the exact quality among all the reanalyses, simply because there are too many applications of reanalyses. While this does put the burden of intercomparison on the individual researcher, in quite a few instances, communication and sharing of knowledge between users and developers will have become critically important. In a grass roots effort to address the communications issues, an effort to utilize the internet and live documents has begun, to provide a forum that facilitates communication within the reanalysis community. It is considered a pilot project, and is called *reanalyses.org*. At this site, developers can contribute to a central knowledge-base regarding all issues of reanalyses.

664 In addition, reanalyses.org provides a function to allow users to compare reanalyses.  
 665 In the long run, users are encouraged to summarize their results with pointers to  
 666 detailed information and ultimately publications on the ongoing efforts. While this  
 667 should not be the sole effort to facilitate communications, it does provide an outlet  
 668 and focal point for anyone in the community. The Climate Data Guide ([climate-](http://climate-dataguide.ucar.edu)  
 669 [dataguide.ucar.edu](http://climate-dataguide.ucar.edu)) provides concentrated information and expert analysis of many  
 670 reprocessed data set, data sources for reanalysis and the reanalyses themselves.  
 671 Another platform, the Earth System Grid (ESG) is under development and will  
 672 allow users to easily compare the existing reanalyses with observations and also  
 673 CMIP present day simulations. While significant challenges remain, the active  
 674 communities of users and developers have numerous avenues of information and  
 675 interaction to pursue the solutions.

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# Author Queries

Chapter No.: 3      0001973455

Queries	Details Required	Author's Response
AU1	Please confirm the corresponding author and also affiliation of all authors.	
AU2	Citations García-Herrera (2005a), Thorne et al. (2010), Prabhakara (2000), Good (2010), Yasunaka et al. (2011) have been changed to García-Herrera et al. (2005), Thorne et al. (2011), Prabhakara et al. (2000), Good (2011), Yasunaka and Hanawa (2011) as per the reference list. Please check.	
AU3	Please fix "a" or "b" for the reference citations Thorne et al. (2011), Dee et al. (2011).	
AU4	Please provide in-text citation for references Bengtsson and Shukla (1988), Schubert and Chang (1996).	
AU5	Please provide page range for reference Chappell et al. (2012).	
AU6	Please check the inserted location for references Gruber and Levizzani (2008), Pirsig (1974) is appropriate.	
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AU8	Please confirm the journal title, volume number, page range of reference Robertson et al. (2011).	
AU9	Please provide volume number and page range for references Thorne (2011b), Xue et al. (2011).	
AU10	Please confirm the inserted volume number and page range is appropriate for reference Williams et al. (2012).	
AU11	Please update reference Xue et al. Submitted.	