

# LECTURE NOTES ON SURFACE QUASI-GEOSTROPHIC

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**Table 1:** Glossary of Variables and Operators

Variables and Operators			
Symbol	Variable and Operators	Symbol	Description
$\mathbf{v}(x, y, z, t) = (u, v, w)$	Full 3-dimensional Velocity	$\nabla$	2D Gradient Operator
$\mathbf{u}(x, y, z, t) = (u, v)$	2-dimensional velocity, in $x$ and $y$ direction	$\nabla_3$	3D Gradient
$\hat{\cdot}$	Dimensionless Variable	$\frac{D}{Dt}$	Material Derivative
$\psi$	Geostrophic Streamfunction defined in Eq	$\nabla^2$	2D laplacian operator (zonal and meridional)
$(i, j, k)$	Unit vector in zonal, meridional and vertical direction	$\hat{\cdot}$	Wide hat for Fourier Transform

## SECTION 1

**Question for Meetings**

## SUBSECTION 1.1

**0108**

1. So the QG<sup>+1</sup> model is still geostrophic? How does it improve the accuracy of submesoscale dynamics prediction who is not geostrophic?
2. What is the Physical Meaning of the  $\mathcal{L}$  operator acting on  $\Gamma$  which is the Gauge transform is 0.
3. Leading order of the Potential Terms are about Geostrophic Balance?
4. Sign Difference?
5. Briefly walk me through how is the code constructed? What are some of the potential **difficulties**? How do we overcome this.

## SECTION 2

## Literature Review

## SUBSECTION 2.1

### Ryan et.al.

**Year:** 2025

The  $\text{QG}^{+1}$  model incorporates the first-order corrections that were neglected in the basic QG approximation. It essentially refines the QG equations by accounting for non-geostrophic (ageostrophic) flow components that are dependent on the Rossby number ( $\epsilon$ ).

In **Chapter 2**, the  $\text{QG}^{+1}$  model is introduced. In this paper,

$$N = f \equiv \text{Constant}^1$$

<sup>1</sup>page 8

To facilitate the asymptotic approximation, a potential field is introduced.

$$\mathbf{A} = (-G, -F, \Phi)$$

By Incompressible condition we have

$$\mathbf{v} = \nabla_3 \times \mathbf{A}^2$$

<sup>2</sup>In this paper  $\nabla_3$  is 3D gradient.  
2D is just  $\nabla$

Some Physical implications of the model

1. Breaking Symmetry of QG model.
2. It Captures Cyclogeostrophic balance.

Cyclogeostrophic balance is a fundamental force balance approximation used in meteorology and physical oceanography to describe the motion of fluids (like air and water) in curved paths, where the Coriolis force is balanced by the pressure gradient force and the centrifugal force. It is an essential extension of the simpler geostrophic balance, which only considers straight flow. This balance is particularly important in systems with high curvature and strong winds, such as tropical cyclones (hurricanes/typhoons), mid-latitude low-pressure systems, and strong ocean eddies. The Governing Equation is

$$\underbrace{f\mathbf{v}}_{\text{Coriolis Force}} + \underbrace{\frac{|\mathbf{v}|^2}{R}}_{\text{Centrifugal Force}} = \underbrace{-\frac{1}{\rho} \frac{\partial p}{\partial n}}_{\text{Pressure Gradient Force}} \quad (2.1)$$

Here  $n$  is the normal direction pointing toward the center of curvature.

3. Inclusiong of **Frontogenesis**<sup>3</sup>.

<sup>3</sup>Generation of Ocean Fronts

In **Chapter 3**. A simulation for  $\text{QG}^{+1}$  is conducted, showing several features:

1. More Vigorous due to captureing ageostrophic frontogenesis.
2. Since the Ageostrophic effects creates stronger surface velocity. Finer structure can be seen on surface using  $\text{QG}^{+1}$ .<sup>4</sup>.

<sup>4</sup>See Figure 4 in page 24

In summary, this paper provides a very detailed derivation to the  $\text{QG}^{+1}$  equation which is introduced more detailed in **5**. This paper also demonstrate two simulation to show how  $\text{QG}^{+1}$  model captures balanced submesoscale dynamics and frontogenesis.

**Remark 1**

In my own derivation following Ryan's work in the later chapter, first half of the calculation is based on this paper, then I follow Ryan's note for the rest.

### 2.1.1 Questions Regrading this Paper

1. In page 10, Equation 15. How does the above derivation implies  $F = G = 0$ . Does this implies that

$$F^0 + \epsilon F^1 + \dots = 0$$

Then each order term of  $F$  and  $G$  is 0. I just don't get the physical meaning here.

SUBSECTION 2.2

## J.Wang et.al. Reconstructing the Ocean's Interior from Surface Data

**Year : 2013**

In the **Introduction**, the author discussed the current challenge of using SSH and SST<sup>5</sup> measurement to reconstruct subsurface dynamics.

<sup>5</sup>Surface Sea Height and Surface Sea Temperature

- Traditional studies assume the signal is dominated by barotropic and first baroclinic modes. However, these modes are typically calculated by **assuming buoyancy anomalies vanish at the surface**.
- SQG theory works as well. But it normally assume 0 interior PV.

The author introduced the **Interior plus surface QG** method. It is quasigeostrophic. As introduced in Chapter 2:

1. Surface buoyancy anomaly contributes to the surface part of streamfunction  $\psi^s$ :

$$\begin{aligned} \mathcal{L}\Psi + f_0 + \beta y &= Q, \\ \mathcal{L} = \left( \frac{\partial^2}{\partial x^2} + \frac{\partial^2}{\partial y^2} + \frac{\partial}{\partial z} \frac{f_0^2}{N^2} \frac{\partial}{\partial z} \right), \quad \text{and } -H < z < 0, \end{aligned}$$

Governing equation is

$$\mathcal{L}\psi^s = 0$$

Essentially, this is same in the SQG theory where we assume 0 interior PV. With boundary condition :

$$\frac{\partial}{\partial z} \psi^s(\mathbf{x}, z, t) = b(\mathbf{x}, z, t)/f_0 \quad \text{at } z = 0, -H,$$

2. The interior part is governed by

$$\frac{\partial}{\partial z} \frac{f_0^2}{N^2} \frac{\partial}{\partial z} \hat{\psi}^i - \kappa^2 \hat{\psi}^i = \hat{q}^i \quad \text{with} \quad \frac{d\hat{\psi}^i}{dz} = 0 \quad \text{at } z = 0, -H.$$

However, the interior  $q^i$  is not clear.

**Remark 2**

This is the essential modification of this isQG model. They project the interior induced PV equation onto baroclinic modes and **impose additional boundary conditions to deduce the gravest modes**.

This is the origin of QG<sup>+1</sup> theory.

SECTION 3

## Quasi-Geostrophic Equations

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In this section, I introduce some basic equations in QG theories. Building a foundation for SQG, eSQG and other variations introduced later. The analysis is already in a **stratified ocean**.

SUBSECTION 3.1

### Governing Equations

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Momentum Equation

$$\frac{D\mathbf{u}}{Dt} + \mathbf{f} \times \mathbf{u} = -\frac{\nabla p}{\rho} \quad (3.1)$$

Mass Conservation

$$\frac{D\rho}{Dt} + \rho \nabla \cdot \mathbf{v} = 0 \quad (3.2)$$

We are in a **stratified ocean**. Breaking the total state variables into a "hydrostatic reference state" (which depends only on  $z$ ) and a "dynamic perturbation" (which moves the fluid):

$$\rho = \tilde{\rho}(z) + \rho_1(x, y, z, t) \quad (3.3)$$

and

$$p = p_0(z) + p_1(x, y, z, t) \quad (3.4)$$

Then RHS of Eq 3.6 becomes

$$-\frac{1}{\rho} \nabla p_1 \sim -\frac{1}{\rho_0} \nabla p_1$$

Define the **Kinematic Pressure**

$$\phi = \frac{p_1}{\rho_0} \quad (3.5)$$

Momentum Equation becomes

$$\frac{D\mathbf{u}}{Dt} + \mathbf{f} \times \mathbf{u} = -\nabla \phi$$

(3.6)

Hydrostatic balance is a state of equilibrium in a fluid where the upward force of pressure exactly balances the downward force of gravity.

$$-g\tilde{\rho} = \frac{dp_0}{dz} \quad (3.7)$$

#### 3.1.1 Continuity Equation Approximation

The general continuity equation can always be expressed as

$$\frac{D\rho}{Dt} + \rho \nabla \cdot \mathbf{u} = 0$$

In Ocean, we assume that the fluid is **Incompressible** and wrote

$$\frac{D\rho}{Dt} = 0 \quad \nabla \cdot \mathbf{u} = 0$$

In Atmosphere, we use the **Anelastic Assumption** Then the mass conservation yeilds

$$\frac{\partial \rho_1}{\partial t} + \nabla \cdot ((\tilde{\rho} + \rho_1)\mathbf{v}) = 0 \Rightarrow \boxed{\nabla \cdot (\tilde{\rho}\mathbf{v}) = 0}$$

**Remark 3**

Here we drop the  $\partial_t \rho_1$  term under the **Anelastic assumption**. Essentially by eliminating this partial derivative, we assume the fluid is anelastic, so sound wave is not supported<sup>6</sup> in the system. However, this approximation is normally used for **deep atmospheric or stellar conversion** where density  $\tilde{\rho}$  changes significantly with height.

<sup>6</sup>or less important

For Oceanography, Next we define the Buoyancy :

$$b = -g \frac{\rho}{\bar{\rho}_0} \quad (3.8)$$

Here  $\bar{\rho}_0$  is a constant reference density. The the divergent free condition implies

$$\boxed{\frac{Db}{Dt} = 0} \quad (3.9)$$

And thus the Hydrostatic balance equation Eq 3.7 implies

$$\boxed{\frac{\partial \phi}{\partial z} = b} \quad (3.10)$$

All the Boxed Equation together is the **Hydrostatic Anelastic Equations for Stratified Flow**. If we consider the perturbation of Buoyancy

$$b = \tilde{b}(z) + b_1(x, y, z, t)$$

Expand Eq 3.9 can be writen as

$$\boxed{\frac{Db_1}{Dt} + w \frac{db}{dz} = 0}^7 \quad (3.11)$$

<sup>7</sup>this is the more familiar buoyancy equation we see in lecture

In a more familiar form we define

$$N^2 = \frac{db}{dz} = -g \frac{\tilde{\rho}_z}{\bar{\rho}_0}$$

Which is the **Brunt Vasala Frequency**.

#### SUBSECTION 3.2

## Scaling Analysis

To simplify our equation, we introduce some scalings.

$$(x, y) \sim L, \quad (u, v) \sim U, \quad t \sim \frac{L}{U}, \quad z \sim H, \quad f \sim f_0$$

Introduce the **Rosby Number**:

$$\text{Ro} = \frac{U}{f_0 L} \quad (3.12)$$

Now let  $\phi = \tilde{\phi}(z) + \phi_1(x, y, z, t)$ . Then since the gradient in Eq 3.6 is horizontal, we can replace  $\phi$  by  $\phi_1$ . Now suppose

$$|\mathbf{f} \times \mathbf{u}| \sim |\nabla \phi_1|$$

From Hydrostatic balance we have

$$b \sim \frac{f_0 U L}{H}$$

Then

$$\frac{(\partial b'/\partial z)}{N^2} \sim \frac{f_0 U L}{(HN)^2} \sim Ro \frac{L^2}{L_d^2}$$

Where we have the deformation radius as a function of  $z$ .

$$L_d = \frac{NH}{f_0}$$

Introduce dimensionless variables

$$(\hat{u}, \hat{v}) = U^{-1}(u, v) \quad \hat{w} = \frac{L}{UH} w, \quad \hat{f} = f_0^{-1} f, \quad \hat{\phi} = \frac{\phi_1}{f_0 U L}, \quad \hat{b} = \frac{H}{f_0 U L} b_1$$

**Remark 4**

We then have dimensionless equation of motion for Atmosphere or Ocean.<sup>8</sup>

$$\text{Momentum Equation : } Ro \frac{D\hat{\mathbf{u}}}{Dt} + \hat{\mathbf{f}} \times \hat{\mathbf{u}} = -\nabla \hat{\phi} \quad (3.13)$$

$$\text{Buoyancy Equation : } Ro \frac{D\hat{b}}{Dt} + \left( \frac{L_d}{L} \right)^2 \hat{w} = 0 \quad (3.14)$$

$$\text{Hydrostatic Balance : } \frac{\partial \hat{\phi}}{\partial \hat{z}} = \hat{b} \quad (3.15)$$

$$\text{Continuity(Atmosphere) : } \hat{\nabla} \cdot \hat{\mathbf{u}} + \frac{1}{\tilde{\rho}} \frac{\partial \tilde{\rho} \hat{w}}{\partial \hat{z}} = 0 \quad (3.16)$$

$$\text{Continuity(Oceanography) : } \hat{\nabla} \cdot \hat{\mathbf{u}} = 0 \quad (3.17)$$

<sup>8</sup>often people drop the hat for simplicity. However in the first derivation I keep everything with a hat.

From now on I will drop the hats.

### SUBSECTION 3.3

## Quasi-Geostrophic Potential Vorticity Equation

We now derive the Quasi-Geostrophic Potential Vorticity Equations. Starting from asymptotic expansions<sup>9</sup>

<sup>9</sup>hat is dropped

$$\mathbf{u} = (u, v, w) = \mathbf{u}_g + Ro \mathbf{u}_1 \quad \phi = \phi_0 + Ro \phi_1 \quad b = b_0 + Ro b_1$$

Here we consider the  $\beta$  effect.

$$\mathbf{f} = f_0 \mathbf{k} + \beta y \mathbf{k}$$

Let  $\epsilon = Ro$ . **Momentum Equation :**

The  $O(1)$  momentum equation gives the Geostrophic balance

$$f_0 \mathbf{k} \times \mathbf{u}_g = -\nabla \phi_0 \quad (3.18)$$

Immediately this implies

$$\nabla \cdot \mathbf{u}_g = 0$$

And  $O(\epsilon)$  is

$$\frac{D_g \mathbf{u}_g}{Dt} + \beta y \mathbf{k} \times \mathbf{u}_g + f_0 \mathbf{k} \times \mathbf{u}_1 = -\nabla \phi_1 \quad (3.19)$$

Here  $D_g$  is the geostrophic material derivative

$$D_g = \partial_t + \mathbf{u}_g \cdot \nabla$$

### Mass Equation :

Since geostrophic velocity is divergent free then  $O(1)$  mass equations is

$$\frac{\partial \tilde{\rho} w_0}{\partial z} = 0$$

and  $O(\epsilon)$ ,

$$\nabla \cdot \mathbf{u}_1 + \frac{1}{\tilde{\rho}} \left( \frac{\partial \tilde{\rho} w_1}{\partial z} \right) = 0 \quad (3.20)$$

### Buoyancy Equation :

$O(1)$ :

$$\left( \frac{L_d}{L} \right)^2 w_0 = 0$$

and  $O(\epsilon)$ :

$$\frac{D_g b_0}{Dt} + \left( \frac{L_d}{L} \right)^2 w_1 = 0 \quad (3.21)$$

Now we take the **Curl** of Eq 3.19, note that

$$\nabla \times (\mathbf{k} \times \mathbf{u}_1) = \mathbf{k} \nabla \cdot \mathbf{u}_1 - \underbrace{\mathbf{u}_1 \nabla \cdot \mathbf{k}}_{=0} + \underbrace{(\mathbf{u}_1 \cdot \nabla) \mathbf{k}}_{=0} - \underbrace{(\mathbf{k} \cdot \nabla) \mathbf{u}_1}_{=0} = \mathbf{k} \nabla \cdot \mathbf{u}_1$$

Define the geostrophic vorticity :

$$\xi_g = \nabla \times \mathbf{u}_g$$

Then Eq 3.19 becomes

$$\frac{D_g \xi_g}{Dt} + \beta v_0 = -f_0 \nabla \cdot \mathbf{u}_1^{10}$$

<sup>10</sup>this equation is already in  $\mathbf{k}$  direction so the unit vector is dropped

Plug in Eq 3.20,

$$= \frac{f_0}{\tilde{\rho}} \frac{\partial \tilde{\rho} w_1}{\partial z}$$

Plug in Eq 3.21 to replace  $w_1$

$$= -\frac{f_0}{\tilde{\rho}} \underbrace{\frac{\partial}{\partial z} \left( \tilde{\rho} \left( \frac{L}{L_d} \right)^2 \frac{D_g b_0}{Dt} \right)}_{\equiv I}$$

Now we examine  $I$ , normally in QG theory, we assume  $L_d$  is a constant. Thought from its definition,  $N$  could actually depends on  $z$ . Since  $\nabla \tilde{\rho} = 0$ , we can put the first two terms into the material derivative.<sup>11</sup>

<sup>11</sup>Here we use the fact that  $N$  is constant

$$I = \partial_z \left( \tilde{\rho} \left( \frac{L}{L_d} \right)^2 \right) \frac{D_g b_0}{Dt} + \tilde{\rho} \left( \frac{L}{L_d} \right)^2 \partial_z \frac{D_g b_0}{Dt} \equiv I_1 + I_2$$

Let's go back to the Hydrostatic balance equation,<sup>12</sup> For  $O(1)$ :

<sup>12</sup>we haven't use it yet.

$$\frac{\partial \phi_0}{\partial z} = b_0 + f_0 \mathbf{k} \times \mathbf{u}_g = -\nabla \phi_0 \Rightarrow \mathbf{k} \times \frac{\partial \mathbf{u}_g}{\partial z} = -\frac{\nabla b_0}{f_0}$$

Then

$$I_2 = \tilde{\rho} \left( \frac{L}{L_d} \right)^2 \partial_z \frac{D_g b_0}{Dt} = \tilde{\rho} \left( \frac{L}{L_d} \right)^2 \left[ \frac{D_g \partial_z b_0}{Dt} + \underbrace{\partial_z \mathbf{u}_g \cdot \nabla b_0}_{=0} \right]$$

Therefore

$$I = \partial_z \left( \tilde{\rho} \left( \frac{L}{L_d} \right)^2 \right) \frac{D_g b_0}{Dt} + \tilde{\rho} \left( \frac{L}{L_d} \right)^2 \frac{D_g \partial_z b_0}{Dt} = \frac{D_g}{Dt} \left[ \frac{\partial}{\partial z} \left( \tilde{\rho} \left( \frac{L}{L_d} \right)^2 b_0 \right) \right]$$

Then evantually we have

$$\frac{D_g}{Dt} \left[ \xi_g + f + \frac{f_0}{\tilde{\rho}} \frac{\partial}{\partial z} \left( \tilde{\rho} \left( \frac{L}{L_d} \right)^2 b_0 \right) \right] = 0 \quad (3.22)$$

We can rewrite this equation using Streamfunction in a more simple form. Recall Eq 3.9, we have

$$b_0 = \frac{\partial \phi_0}{\partial z}$$

From Eq 3.18, the Kinematic Pressure can be expressed in terms of geostrophic streamfunction

$$u_g = -\partial_y \psi_g \quad v_g = \partial_x \psi_g \quad \text{where} \quad \boxed{\phi_0 = f_0 \psi_g} \Rightarrow \xi_g = \nabla^2 \psi_g$$

Then Eq 3.22 becomes

$$\frac{D_g}{Dt} \left[ \nabla^2 \psi_g + f + \frac{f_0^2}{\tilde{\rho}} \frac{\partial}{\partial z} \left( \tilde{\rho} \left( \frac{L}{L_d} \right)^2 \frac{\partial \psi_g}{\partial z} \right) \right] = 0 \quad (3.23)$$

Restore the dimensions

$$\frac{Dg}{Dt} \left[ \nabla^2 \psi_g + f + \frac{f_0^2}{\tilde{\rho}} \frac{\partial}{\partial z} \left( \frac{\tilde{\rho}}{N^2} \frac{\partial \psi}{\partial z} \right) \right] = 0 \quad (3.24)$$

#### SUBSECTION 3.4

### Ertel PV Conservation

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**Theorem 3.1** The Ertel PV, denoted usually as  $q$  or  $Q$ , is defined as:

$$Q = \frac{\omega_a \cdot \nabla \psi}{\rho} \quad (3.25)$$

Where:

1.  $\omega_a = \nabla \times \mathbf{u} + 2\Omega$  is the absolute vorticity.
2.  $\psi$  is a conserved scalar (like potential temperature  $\theta$  or density).
3.  $\rho$  is the density.

The derivation starts from the Momentum Equation

$$\frac{D\mathbf{u}}{Dt} + \frac{1}{\rho} \nabla p = -2\Omega \times \mathbf{u}$$

Use the vector identity then take Curl

$$(\mathbf{u} \cdot \nabla) \mathbf{u} = \nabla \left( \frac{1}{2} \mathbf{u}^2 \right) - \mathbf{u} \times (\nabla \times \mathbf{u})$$

We have

$$\frac{\partial \omega_a}{\partial t} - \nabla \times (\mathbf{u} \times \omega_a) = \nabla \times \left( -\frac{1}{\rho} \nabla p \right)$$

Then apply the vector identity

$$\nabla \times \left( \frac{1}{\rho} \nabla p \right) = \frac{1}{\rho^2} \nabla \rho \times \nabla p$$

We get

$$\frac{D\omega_a}{Dt} = (\omega_a \cdot \nabla) \mathbf{u} - \omega_a (\nabla \cdot \mathbf{u}) + \frac{\nabla \rho \times \nabla p}{\rho^2} \quad (3.26)$$

#### SECTION 4

## Surface Quasi-Geostrophic Equations

The surface Quasi-Geostrophic Equation takes the problem to the next step, how could we retrieve the interior motion from surface measurements such as SSH and SST. Recall the Buoyancy Equation

$$\frac{Db_1}{Dt} + wN^2 = 0 \quad (4.1)$$

At the surface,  $z = \eta$ , the boundary condition yeilds that  $w = 0$ . We denote the surface buoyancy as  $b_s$  and surface velocity  $\mathbf{u}_s$ . Then

$$\frac{\partial b_s}{\partial t} + \mathbf{u}_s \cdot \nabla b_s = 0$$

and

$$b_s = f_0 \frac{\partial \psi}{\partial z} \Big|_{z=0}$$

**Explanation 1**

The critical principle of SQG is to view surface buoyancy as a PV sheet. Since

$$\int_0^\epsilon f + \nabla^2 \psi_g + \frac{f_0^2}{\tilde{\rho}} \frac{\partial}{\partial z} \left( \frac{\tilde{\rho}}{N^2} \frac{\partial \psi}{\partial z} \right) dz = 0$$

Then we impose a boundary condition

$$\frac{\partial \psi}{\partial z} \Big|_{z=\epsilon} = \frac{b_s}{f_0} \quad \Rightarrow \quad \int_0^\epsilon \frac{b_s}{f_0} = \frac{\partial \psi}{\partial z} \Big|_0^\epsilon$$

Compare the latter with the integral, by defining

$$q_{\text{SQG}} = \nabla^2 \psi_g + f + \frac{f_0^2}{\tilde{\rho}} \frac{\partial}{\partial z} \left( \frac{\tilde{\rho}}{N^2} \frac{\partial \psi}{\partial z} \right) + \frac{b_s}{f_0} \delta(z)$$

We have

$$\frac{Dq}{Dt} = 0 \quad \frac{\partial \psi}{\partial z} = 0$$

Then the surface buoyancy appears in the QGPV equation naturally, it is as if adding an additional PV sheet at the surface. This inspires us to separate the surface induced dynamics and interior dynamics.

**Interior Dynamics**

$$\begin{cases} q &= \nabla^2 \psi + f + \frac{f_0^2}{\tilde{\rho}} \frac{\partial}{\partial z} \left( \frac{\tilde{\rho}}{N^2} \frac{\partial \psi}{\partial z} \right) \\ f_0 \frac{\partial \psi}{\partial z} \Big|_{z=0} &= 0 \\ \frac{Dq}{Dt} &= 0 \end{cases}$$

**SUBSECTION 4.1****Surface Buoyancy Induced Dynamics**

**Surface Dynamics**, this is the Surface Quasi-Geostrophic Dynamics:

$$\begin{cases} q &= \nabla^2 \psi + f + \frac{f_0^2}{\tilde{\rho}} \frac{\partial}{\partial z} \left( \frac{\tilde{\rho}}{N^2} \frac{\partial \psi}{\partial z} \right) = 0^{13} \\ f_0 \frac{\partial \psi}{\partial z} \Big|_{z=0} &= b_s \\ \frac{Db_s}{Dt} &= 0 \end{cases}$$

<sup>13</sup>no interior Potential vorticity

The key assumption for SQG theories is that all the Potential vorticity is injected into the system by surface buoyancy.<sup>14</sup>

The horizontal Fourier coefficients of the solution is

$$\hat{\Phi}^0(k, l, z) = A e^{\mu z}$$

Where

$$\mu = \frac{NK}{f} \sqrt{Bu} \quad K^2 = k^2 + l^2$$

<sup>14</sup>surface buoyancy is actually first order, so it is also called surface buoyancy anomaly in some context.

**SUBSECTION 4.2****Retrieving Vertical Velocity**



SECTION 5

## QG<sup>+1</sup> Model

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The derivation starts from the same set of equations above. We set

$$\epsilon = \text{Ro} = \frac{U}{fL} \quad \text{Bu} = \left( \frac{NH}{fL} \right)^2$$

The Derivation starts from Eq 3.14, 3.17, 3.15 and 3.13. The Ertel Potential Vorticity is conserved. In this case, the conserved quantity is the **total Buoyancy** since Eq 3.14 we define it as

$$b_{\text{tot}} = N^2 z + b$$

and

$$\boldsymbol{\omega}_a = \nabla_3 \times (u, v, 0) + f\hat{z} = (-v_z, u_z, f + \xi)$$

Then

$$Q = \underbrace{fN^2}_{\text{Background}} + \underbrace{(N^2\xi + fb_z)}_{\text{Linear terms, QGPV}} + \underbrace{(\xi b_z - v_z b_x + u_z b_y)}_{\text{Nonlinear terms}} \quad (5.1)$$

and

$$q_{\text{QG}} = N^2\xi + fb_z$$

Use the vector identity

$$\nabla_3 \cdot (\boldsymbol{\omega}b) = \boldsymbol{\omega} \cdot \nabla_3 b + \underbrace{b(\nabla \cdot \boldsymbol{\omega})}_{=0, \boldsymbol{\omega} = \nabla \times \cdot}$$

We note that

$$\xi b_z - v_z b_x + u_z b_y = \boldsymbol{\omega} \cdot \nabla_3 b$$

where

$$\boldsymbol{\omega} = (-v_z, u_z, \xi) = (-v_z, u_z, v_x - u_y)$$

Then after scaling analysis we have <sup>15</sup>

$$Q = N^2 f + \epsilon q$$

where

$$q = N^2\xi + \frac{1}{\text{Bu}}fb_z + \frac{\epsilon}{\text{Bu}}\nabla_3 \cdot (\boldsymbol{\omega}b) \quad (5.2)$$

The first two term is the classical Quasi Geostrophic Potential Vorticity.

**Explanation 2** Since here  $N$  is constant and we assume the Boussinesq Equation, the third term in Eq 3.22 becomes,

$$\frac{f_0}{\rho} \rho' \frac{\partial b}{\partial z} \left( \frac{fL}{NH} \right)^2 \sim fb_z \frac{1}{\text{Bu}}$$

The only difference here is the third second order ageostrophic quadratic correction we normally ignore in classical QG theories.

SUBSECTION 5.1

### QG<sup>+1</sup> Vector Field

In order to facilitate asymptotic approximation, the velocity field  $\mathbf{u}$  are written as the Curl of a vector field  $\mathbf{A}$ . <sup>16</sup>. One convention is writing

$$\mathbf{A} = (-G, F, \Phi) \quad (5.3)$$

and

$$\begin{aligned}\mathbf{u} &= \nabla \times \mathbf{A} \\ u &= -\Phi_y - F_z \\ v &= \Phi_x - G_z \\ w &= F_x + G_y\end{aligned}$$

The Horizontal Vorticity in vector potential form is

$$\xi = v_x - u_y = \Phi_{xx} - G_{zx} + \Phi_{yy} + F_{zy} = \nabla^2 \Phi + F_{zy} - G_{zx}$$

However, this  $\mathbf{A}$  isn't uniquely correspond to a velocity field. Since Gradient is Curl free,  $\mathbf{u}$  admits a gauge freedom in that the transformation

$$\mathbf{A} \rightarrow \mathbf{A} + \nabla_3 \Gamma$$

Left  $\mathbf{u}$  unchange. Now instead of assuming  $\mathbf{A}$  is divergent free. <sup>17</sup> We fix the buoyancy to be roughly scaled version of  $\nabla_3 \cdot \mathbf{A}$ .

$$\nabla_3 \cdot \mathbf{A} = -G_x + F_y - \Phi_z \Rightarrow b = f\Phi_z + Bu \frac{N^2}{f} (G_x - F_y)$$

<sup>17</sup>if  $\mathbf{A}$  is divergent free, then this is adding an additional information to the system and  $\mathbf{A}$  can be uniquely determined.

The advantage can be seen by calculating the QGPV Eq 5.2 (Dimensionless form) :

$$q_{QG} = N^2 \xi + \frac{f}{Bu} b_z = N^2 (\Phi_{xx} + \Phi_{yy}) + \frac{f^2}{Bu} \Phi_{zz} = \mathcal{L} \Phi \quad (5.4)$$

Where

$$\mathcal{L} = N^2 \nabla^2 + \frac{f^2}{Bu} \partial_{zz} \quad (5.5)$$

Then  $\Phi$  is the only component related to the QGPV compare to dependence on all three component of velocity in the classical QGPV. When is the Buoyancy unchanged?

**Explanation 3**

Suppose we add a gradient to the original Vector Potential

$$\mathbf{A} \rightarrow \mathbf{A} + \nabla_3 \Gamma$$

Then

$$G \rightarrow G - \Gamma_x \quad F \rightarrow F + \Gamma_y \rightarrow \Phi \rightarrow \Phi - \Gamma_z$$

And

$$b_{new} = \underbrace{\left[ f\Phi_z + \{Bu\} \frac{N^2}{f} (G_x - F_y) \right]}_{b_{origin}} - \underbrace{\left[ f\Gamma_{zz} + \{Bu\} \frac{N^2}{f} (\Gamma_{xx} + \Gamma_{yy}) \right]}_{b_{change}}$$

So in order to have  $b_{new} = b_{origin}$ . We have

$$b_{change} = f\Gamma_{zz} + \{Bu\} \frac{N^2}{f} (\Gamma_{xx} + \Gamma_{yy}) = \boxed{\mathcal{L}(\Gamma) = 0} \quad (5.6)$$

## Some Discussions

## 1. In a triply-periodic domain :

Eq 5.6 implies that  $\Gamma$  is constant in the domain.

## 2. Rigid Lid and flat bottom :

since  $w = 0$  at upper and lower boundary, we have

$$F_x + G_y = 0$$

## SUBSECTION 5.2

Evolution and Inversion Equations of QG<sup>+1</sup>

Assume<sup>18</sup>

$$G^0 = F^0 = 0$$

<sup>18</sup> Why? First order is geostrophic balance?

and

$$\epsilon \ll 1 \quad \text{Bu} \sim O(1)$$

Then expand  $A$  asymptotically we have

$$u = -\Phi_y^0 - \epsilon(\Phi_y^1 + F_z^1) \quad (5.7a)$$

$$v = \Phi_x^0 + \epsilon(\Phi_x^1 - G_z^1) \quad (5.7b)$$

$$w = 0 + \epsilon(F_x^1 + G_y^1) \quad (5.7c)$$

$$b = f\Phi_z^0 + \epsilon f \left( \Phi_z^1 + \text{Bu} \frac{N^2}{f^2} (G_x^1 - F_y^1) \right) \quad (5.7d)$$

Evaluate Eq 5.2 we have up to  $O(\epsilon)$ .

$$\begin{aligned} q &= N^2(\nabla^2\Phi^0 + \nabla^2\Phi^1 - G_{zx}^1 + F_{zy}^1) + \frac{f^2}{\text{Bu}}\Phi_z^0 + \epsilon \frac{f^2}{\text{Bu}} \left( \Phi_z^1 + \text{Bu} \frac{N^2}{f^2} (G_x^1 - F_y^1) \right) \\ &\quad + \underbrace{\left[ -\Phi_{xz}^0, -\Phi_{yz}^0, \nabla^2\Phi^0 \right]}_{\text{This is } \omega = (-v_z, u_z, \tilde{\zeta})} \cdot \underbrace{\left[ f\Phi_{zx}^0, f\Phi_{zy}^0, f\Phi_{zz}^0 \right]}_{\text{this is } \nabla_3 b} \\ &= \boxed{\mathcal{L}(\Phi^0) + \epsilon \mathcal{L}(\Phi^1) + \epsilon \frac{f}{\text{Bu}} \left( -|\nabla\Phi_z^0|^2 + \Phi_{zz}^0 \nabla^2\Phi^0 \right) + O(\epsilon^2)} \end{aligned} \quad (5.8)$$

The surface Buoyancy from

$$b^t = f\Phi_z^0 \Big|_{z=0} + f\Phi_z^1 \Big|_{z=0} + O(\epsilon^2) \quad (5.9a)$$

$$b^b = f\Phi_z^0 \Big|_{z=-H} + f\Phi_z^1 \Big|_{z=-H} + O(\epsilon^2) \quad (5.9b)$$

To complete the inversion, we need to relate ageostrophic vertical streamfunctions  $F^1$  and

$G^1$  to  $\Phi^0$ . We start with the first order primitive equations

$$\frac{Du}{Dt} - fv^1 = -p_x^1 \quad (5.10a)$$

$$\frac{Dv}{Dt} + fu^1 = -p_y^1 \quad (5.10b)$$

$$\frac{Db}{Dt} + BuN^2w^1 = 0 \quad (5.10c)$$

$$p_z^1 = b^1 \quad (5.10d)$$

Take the difference of  $z$ -derivative of  $f$  times Eq 5.10b and  $x$ -derivative Eq 5.10c we derive

$$\mathcal{L}(F^1) = \frac{2f}{Bu} J(\Phi_z^0, \Phi_x^0) \quad (5.11)$$

and similarly

$$\mathcal{L}(G^1) = \frac{2f}{Bu} J(\Phi_z^0, \Phi_y^0) \quad (5.12)$$

SECTION 6

## SQG<sup>+1</sup> Model

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From the Geostrophic Balance Equation we have

$$\nabla^2 p^0 = f\zeta^0$$

To obtain the next order balance equation, we use Eq 5.7d, 5.11 and 5.12.

$$\begin{aligned} \nabla^2 b^1 - f\zeta^1 &= f \left( \nabla^2 \Phi_z + \text{Bu} \frac{N^2}{f^2} \nabla^2 (G_x - F_y) \right) - f \nabla^2 \Phi_z - f \partial_{zz} (G_x - F_y) \\ &= \frac{\text{Bu}}{f} \mathcal{L}(G_x - F_y) \end{aligned} \quad (6.1)$$

(Here apply Eq 5.11 and Eq 5.12)

$$= 2\partial_z J(\Phi_x^0, \Phi_y^0)$$

Recall that  $p_z = b$  by definition then we have

$$\boxed{\nabla^2 p^1 - f\zeta^1 = 2J(\Phi_x^0, \Phi_y^0)} \quad (6.2)$$

This model captures the ageostrophic at first order and the term on the right hand side represents the **cyclogeostrophic correction**. In SQG, interior potential vorticity is 0. Then from Eq 5.8, since  $q^1 = 0$ . Then

$$\mathcal{L}(\Phi^1) = \frac{f}{\text{Bu}} \left( |\nabla \Phi_z^0|^2 - \Phi_{zz}^0 \nabla^2 \Phi^0 \right)$$

Using  $\mathcal{L}(\Phi^0) = 0$ . We have

$$\mathcal{L}(\Phi^1) = \frac{f}{N^2 \text{Bu}} \left( N^2 |\nabla \Phi_z^0|^2 + \frac{f^2}{\text{Bu}} \Phi_{zz}^0 \Phi_{zz}^0 \right) \quad (6.3)$$

Together with Eq 5.11, Eq 5.12 and boundary conditions.

$$\Phi_z^1 = F^1 = G^1 = 0 \quad \text{at } z = 0$$

Further we assume all potential vanish at infinity.

SUBSECTION 6.1

### $\Phi^0$ Inversion

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To get the  $\Phi^0$  from SSH data, we do the standard inversion as in the Quasi-Geostrophic Balance Model.

The first order potential is geostrophic. And in the Surface Geostrophic Model, the interior PV is 0. So we have the Governing equation

$$\mathcal{L}(\Phi^0) = 0 \quad f\Phi_z^0 = b$$

In the Fourier space, since  $\Phi$  vanish as  $z \rightarrow -\infty$ . Then the Horizontal Fourier modes are

$$\hat{\Phi}^0 = \frac{\hat{b}^{0,t}}{f\mu} e^{\mu z}$$

With constant

$$\mu = \sqrt{\text{Bu}} \frac{NK}{f} \quad K = \sqrt{m^2 + l^2}$$

#### SUBSECTION 6.2

## Higher Order Potential Inversion

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Now the  $\Phi^0$  is known already.

**Explanation 4**

For this system, the goal is to know  $\Phi^1, G^1$  and  $F^1$ . We recall that first order potential  $G^0 = F^0 = 0$ . And  $\Phi^0$  can be obtain from geostrophic balance. This is a system of decoupled linear elliptic (Poisson) equations.

1. Decoupled: You can solve for  $\Phi^1, F^1$ , and  $G^1$  independently of each other.
2. Linear/Poisson: Each equation takes the form  $\mathcal{L}(\text{Potential}) = \text{Source Term}$ .
3. Dependence: The "Source Terms" on the right-hand side (RHS) are known quantities derived entirely from the zeroth-order solution  $\Phi^0$  (which is obtained from the observed SSH/buoyancy)

The inversion is carried on by decomposing potential into interior and surface part. The interior part satisfies the main equations but ignore the boundary condition. The surface part solves the homogeneous problem and but corrects the boundary conditions. For  $\Phi^1$ , we first notice that

$$\Phi_{int}^1 = \frac{f}{2N^2 \text{Bu}} \Phi_z^0 \Phi_z^0 \quad (6.4)$$

Is an analytic solution to Eq 6.3. Then it remains to solve the surface part given by

$$\mathcal{L}(\Phi_{sur}^1) = 0 \quad (6.5)$$

$$\Phi_{sur,z}^{1,t} = C_b - \partial_z \Phi_{int,z}^{1,t} = C_b - \frac{f}{\text{Bu}N^2} \Phi_z^{0,t} \Phi_{zz}^{0,t} \quad (6.6)$$

This problem is much more familiar, exactly the same problem when solving first order potential  $\Phi^0$ . The Fourier modes are

$$\hat{\Phi}_{sur}^1 = \left( C_b - \partial_z \Phi_{int,z}^{1,t} \right) \frac{1}{\mu} e^{\mu z} = \left( C_b - \frac{f}{\text{Bu}N^2} \widehat{\Phi_z^{0,t} \Phi_{zz}^{0,t}} \right) \frac{1}{\mu} e^{\mu z}$$

The analytic solution of  $\Phi_{int}$  is given by Eq 6.4 already. So the total Fourier mode of  $\Phi$  is

$$\hat{\Phi}^1 = \hat{\Phi}_{sur}^1 + \hat{\Phi}_{int}^1$$

Similarly, by setting

$$F_{int}^1 = \frac{f}{\text{Bu}N^2} \Phi_y^0 \Phi_z^0$$

We see that

$$\begin{aligned}\mathcal{L}(F^1) &= \frac{f}{\text{Bu}N^2} \left( \underbrace{\mathcal{L}(\Phi_y^0)\Phi_z^0}_{=0 \text{ since } \mathcal{L}(\Phi_0)=0} + \underbrace{\mathcal{L}(\Phi_z^0)\Phi_y^0}_{\text{same}} + 2N^2(\nabla\Phi_y^0 \cdot \nabla\Phi_z^0) + \underbrace{\frac{2f^2}{\text{Bu}}\Phi_{yz}\Phi_{zz}}_{\text{rewrite using } \mathcal{L}(\Phi^0)=0} \right) \\ &= \frac{f}{\text{Bu}N^2} (2N^2(\Phi_{xy}^0\Phi_{xz}^0 + \Phi_{yy}^0\Phi_{zy}^0) - 2N^2\Phi_{yz}(\Phi_{xx}^0 + \Phi_{yy}^0)) \\ &= \frac{2f}{\text{Bu}} J(\Phi_z^0, \Phi_x^0)\end{aligned}$$

This match with Eq 5.11. Then similar as  $\Phi^1$ . The total Fourier mode is the sum of interior part and surface part. Where surface part is set to match the boundary condition. THe equations are

$$\begin{aligned}\mathcal{L}(F_{int}^1) &= \frac{2f}{\text{Bu}} J(\Phi_z^0, \Phi_x^0) \quad \mathcal{L}(F_{sur}^1) = 0 \quad \& F_{sur}^0(z=0) = -F_{int}(z=0) \\ \widehat{F}^1 &= \frac{f}{\text{Bu}N^2} \left( \widehat{\Phi_y^0\Phi_z^0} - \widehat{\Phi_y^{0,t}\Phi_z^{0,t}} e^{\mu z} \right)\end{aligned}\tag{6.7}$$

Similarly we can set <sup>19</sup>

<sup>19</sup>Do the calculation for G here later.

$$G_{int}^1 = -\frac{f}{\text{Bu}N^2} \Phi_x^0 \Phi_z^0$$

and

$$\widehat{G}^1 = -\frac{f}{\text{Bu}N^2} \left( \widehat{\Phi_x^0\Phi_z^0} - \widehat{\Phi_x^{0,t}\Phi_z^{0,t}} e^{\mu z} \right)\tag{6.8}$$

We don't see the  $\mu$  here on the denominator since the surface part for  $F$  and  $G$  has Dirichlet Boundary condition <sup>20</sup> while  $\Phi$  has Neumann Boundary Condition.

<sup>20</sup>condition on the function

The inversion of surface horizontal velocity can be calculate as follow :

The derivative is taken before the Fourier Transform, since  $int$  part has analytic solution.

$$\begin{aligned}u &= \sum \left( -\hat{\Phi}_y^{0,t} - \epsilon(\hat{\Phi}_y^{1,t} + \hat{F}_z^{1,t}) \right) e^{i(kx+ly)} \\ &= -\epsilon \cdot \frac{f}{\text{Bu}N^2} \left[ \partial_y \left( \underbrace{\frac{\Phi_z^{0,t}\Phi_z^{0,t}}{2}}_{\Phi_{int}^{1,t}} \right) + \partial_z \left( \underbrace{\Phi_y^{0,t}\Phi_z^{0,t}}_{F_{int}^1} \right) \right] \\ &\quad + \sum \left[ -\hat{\Phi}_y^{0,t} e^{i(kx+ly)} - \epsilon \cdot \frac{f}{\text{Bu}N^2} \partial_y \left( \underbrace{-\frac{\Phi_z^{0,t}\Phi_z^{0,t}}{\mu} e^{\mu z}}_{\Phi_{sur}^{1,t}} \right) e^{i(kx+ly)} - \epsilon \cdot \frac{f}{\text{Bu}N^2} \partial_z \left( \underbrace{-\frac{\Phi_y^{0,t}\Phi_z^{0,t}}{F_{sur}^1} e^{\mu z}}_{\Phi_{sur}^{1,t}} \right) e^{i(kx+ly)} \right]\end{aligned}$$

Then take the derivative, then take the Fourier Transform we have

$$\begin{aligned}\hat{u}^t &= \hat{u}(z=0) \\ &= -\Phi_y^{0,t} - \epsilon \cdot \frac{f}{\text{Bu}N^2} \left[ \underbrace{\widehat{\Phi_y^{0,t}\Phi_z^{0,t}} + 2\widehat{\Phi_{yz}^{0,t}\Phi_z^{0,t}}}_{\text{Interior Part}} - \underbrace{\mu\widehat{\Phi_y^{0,t}\Phi_{zz}^{0,t}} - \frac{il}{\mu}\widehat{\Phi_z^{0,t}\Phi_{zz}^{0,t}}}_{\text{Surface Part}} \right]\end{aligned}\tag{6.9}$$

Similarly

$$\begin{aligned} \hat{v}^t &= \hat{v}(z=0) \\ &= \Phi_x^{0,t} + \epsilon \cdot \frac{f}{BuN^2} \left[ \underbrace{2\widehat{\Phi_{xz}^{0,t}\Phi_z^{0,t}} + \widehat{\Phi_x^{0,t}\Phi_{zz}^{0,t}}}_{\text{Interior Part}} - \underbrace{\frac{ik}{\mu} \widehat{\Phi_z^{0,t}\Phi_{zz}^{0,t}} - \mu \widehat{\Phi_x^{0,t}\Phi_z^{0,t}}}_{\text{Surface Part}} \right]^{21} \quad (6.10) \end{aligned}$$

<sup>21</sup>The sign here? Should be both minus sign perhaps?

For the Vertical Velocity : Start in the primitive space

$$\begin{aligned} w &= \epsilon(F_x^1 + G_y^1) \\ &= \epsilon \frac{f}{BuN^2} \sum \partial_x \left[ \left( \widehat{\Phi_y^0\Phi_z^0} - \widehat{\Phi_y^{0,t}\Phi_z^{0,t}} e^{\mu z} \right) e^{i(kx+ly)} \right] - \partial_y \left[ \left( \widehat{\Phi_x^0\Phi_z^0} - \widehat{\Phi_x^{0,t}\Phi_z^{0,t}} e^{\mu z} \right) e^{i(kx+ly)} \right] \end{aligned}$$

The Fourier Transform aren't function of  $x$  or  $y$

$$= \epsilon \frac{f}{BuN^2} \sum \left( ik\widehat{\Phi_y^0\Phi_z^0} - il\widehat{\Phi_x^0\Phi_z^0} \right) e^{i(kx+ly)} - \left( ik\widehat{\Phi_y^{0,t}\Phi_z^{0,t}} - il\widehat{\Phi_x^{0,t}\Phi_z^{0,t}} \right) e^{i(kx+ly)}$$

Taking  $x$  derivative to Fourier Component pulls down an additional fact of  $ik$ . Then

$$\hat{w} = \epsilon \frac{f}{BuN^2} \quad (6.11)$$