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PHYSICAL
OCEANOGRAPHY
BY DRAWING PICTURES

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Foreward

When I was first approached to deliver a first undergraduate course on physical oceanography, but that I should refrain from using maths and calculus because of reasons, my first (somewhat knee jerk) reaction was laugh in the senior professor's face and said "*no, tell the students to suck it up, you can't learn physics things without maths*". The senior, being a more professional and less confrontational type than myself, asked me to sit on it a bit and have a try. Long story short, the result is this set of notes, which is to complement a course of descriptive physical oceanography with a focus on the *dynamical processes* that lead to some of the phenomenon we observe in the ocean. The bias is on things I can explain by drawing pictures and particularly on *dynamics* (because that's the thing that interests me, and I make no apologies for this focus). Some of my own arguments for and against this kind of descriptive course are as follows:

- ✓ yes, you actually can learn a lot (about oceanography and the physical arguments) just by drawing pictures!
- ✗ no, drawing pictures is only qualitative and gives you very little "teeth" if you are wanting to e.g. make predictions or quantitative statements
 - e.g. pictorial/descriptive arguments can tell you why you might have Western intensification, but to get the Stommel boundary layer dependence you need some maths (although the pictures might suggest what should be involved)
- ✓ it does help develop intuition (speaking as a maths person by training, I have learnt a lot by writing this course)
- ? it also highlights why to take it further you really do need the maths, because intuition can be misleading (the devil really is in the details)

The selling points (or deficiencies depending on your point of view) of the content here:

- ocean phenomena motivated, united by *dynamics*¹
- skimpy on facts and things to memorise, focus more on *logical deductions* (because I am very lazy and hate remembering things)
- broad but relatively little *depth* (enough concepts to start on the other books in the literature to take it further maybe)

This set of notes presents a pictorial/geometric way of looking at ocean dynamics (or, more generally, aspects of *geophysical fluid dynamics*) that might be beneficial for those wanting some exposure to concepts in physical oceanography without necessarily specialising in it (e.g. marine biologists, ocean engineers, ecologists etc.), and those who are already familiar with the maths wanting to see things in another way (e.g. symbol worshippers like myself). The notes are relatively self-contained and don't assume any background really; relevant concepts in physics and maths will be recalled here but in a very skimpy manner, and only on the concepts that are directly used. Calculus is employed here but the focus is going to be on their *geometric* meaning. Symbol manipulations and calculations are almost non-existent and limited to order of magnitude estimates and working out some signs (e.g. negative times negative is positive); see the exercises for the more involved calculations. The notes here are not meant to be cover everything in physical oceanography, and there are many other better resources out there with a more comprehensive ocean focus (e.g. [Talley et al. \[2011\]](#), [Williams and Follows \[2011\]](#)) and/or with more focus on dynamics (e.g. [Vallis \[2006\]](#)).

As you may have also gathered, the writing style here is deliberately conversational/informal/unprofessional, and the drawings are cartoon-ish/coarse. The former is by choice, the latter is because (a) I am artistically challenged, (b) because I want to highlight that these drawings are things you can (and should) do yourselves to convince yourselves of the logic and arguments behind them, and (c) because I am lazy (this will be a recurring theme...) Some pictures and animations I did make using Python (via Jupyter notebooks), and the codes will be available on a GitHub repository (again, no promises on clean or Pythonic code, again laziness). Do what you like with the material, just keep it open source and non-commercial. If you find any errors, have suggestions or even want to contribute (!), feel free to open an issue or pull request on the GitHub repository. The document is prepared using the the Tufte-L^AT_EXclass², modified from the files³ of Jody Klymak (University of Victoria), with additional editing based on the excellent Finite Element Methods course notes⁴ of Patrick Farrell (University of Oxford).

¹ Personal gripe: Prior editions of *Descriptive Physical Oceanography* (Pickard & Emery, 5th edn. and before) do not do this, and in my opinion it makes the topics more complicated/disconnected than it needs to be.

² <https://github.com/Tufte-LaTeX/tufte-latex/>

³ <https://github.com/jklymak/Eos314Text>

⁴ <https://pefarrell.org/teaching/>

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1 “Big picture”

Key takeaway of this chapter: OCEANS ARE INTERESTING AND IMPORTANT TO CLIMATE, AND PHYSICS IS IMPORTANT ‘KAY?

This section goes through some facts and observations about the ocean, partly to argue why you might care about the ocean (if you need convincing), and partly to highlight the phenomena we will try to explain in the subsequent section using pictorial arguments. Since the course attached to this set of notes is designed and caters somewhat to people with minimal physics/maths background, there are two subsections which will highlight the bare minimum of the concepts that are needed to link the symbols used with the pictures drawn. The convention of symbols and a cheat sheet of sorts is given at the end of this chapter. Taking artistic license to set the scene for telling a story, and attempting to strike a balance between an attempt at whet one’s appetite but also (attempt as best as possible) remain somewhat technically accurate, concepts and terminology will be used here in this chapter, but not elaborated on in detail until later chapters.

Of course as the reader it is absolutely your prerogative to use/skip/reject the following propaganda as you see fit. Don’t just assume everything is right either! I will have invariably made typos, or worst, *thinko*’s (I first saw the term in [Vallis \[2006\]](#)), so you should convince yourself the ideas and arguments actually have some value. If you can spare the time please report any typos, thinkos or suggested improvements on the GitHub repository where you got this document as an issue or, if you like, as a pull request.

1.1 *Oceanography, and physical oceanography*

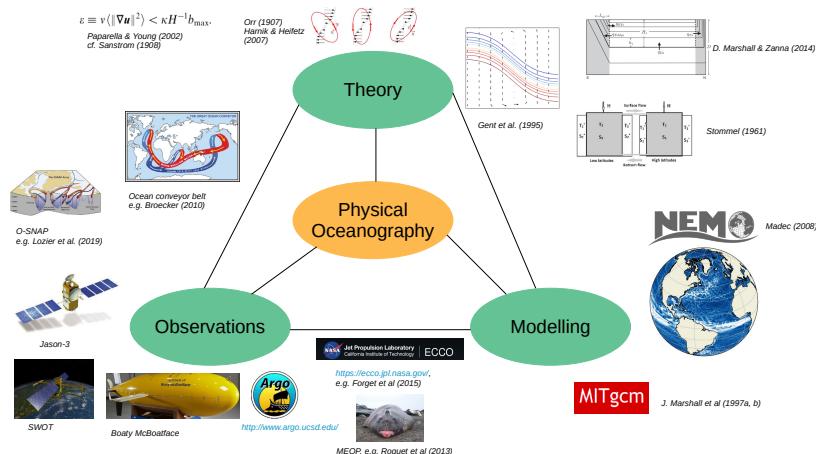
The two general questions regarding the ocean to me are:

- *what* does the ocean look like?
- *why* does it look like what it looks like?

The former encompasses *observations* (Ch. 7), not just for the physical quantities such as temperature, salinity and ocean currents, but also for biogeochemistry or other quantities such as phytoplankton concentration, oxygen content, plastic distribution, ecosystem behaviours, and so forth. The latter involves understanding the processes underlying the physical, but also chemical, biological, ecological processes, to name but a few. The two are not mutually exclusive of each other: that *what* requires the *why* for explanation, the *why* sometimes tells you *what* to expect, and the *what* acts as a

constraint for the *why*. Oceanographers tend to have a particular focus, on theory, modelling, observations, physics, biology etc., but, fundamentally, most things are intrinsically linked one way or another, and the differing approaches compliment each other.

Physical oceanography focuses on the physics aspect, and in a nutshell (to me anyway) is the study of *how water in the ocean moves around*, i.e. *dynamics*. Making this “simplification” in a sense, we *have* the governing equations of motion (e.g. Ch. 1.4.3), which is a modification of Newton’s equations in classical mechanics. In principle we can derive things from first principles, and if we can “solve” the equations then we are done. Of course we generally can’t do either in the general case, so we employ a variety of tools, such as approximations, numerical methods, observation techniques, to help us in this venture. The general approach here is that we will first highlight the features observed in the ocean to set the scene, but mostly talk about *dynamics*¹, with a focus on *intuition* by going through *pictorial arguments*, to convince you why it might be true (again, the devil is really in the details, but we will not touch those too much here). Fundamentally physical oceanography is an *interdisciplinary* science at its core, benefiting from multiple approaches in order to chip away at the overall problem, such as that depicted in Fig. 1.1.



¹ The study of rotating stratified fluid dynamics is generally grouped under *Geophysical Fluid Dynamics* (GFD), which is applicable to studies of planetary atmospheres and/or oceans. It also has extensions to stellar atmospheres and interiors with suitable extensions (e.g. include magnetic effects).

Figure 1.1: A schematic of how I see physical oceanography, like three sides of the triforce (if you know that reference), and all three parts are needed to make a whole (not going to comment which one represents wisdom, courage and power...) There are more developing branches coming out that doesn’t quite fit neatly (e.g. data oceanography, though that could be somewhere between observation and modelling), and in reality most people are somewhere in between (I am personally more on the theory/modelling side).

1.1.1 Motivation: climate

Here I give my own spin² as to why I think the marine environment and particularly why the physics is important. The study of the Earth’s *climate* from a holistic point of view requires an understanding of the several “spheres”, split for example as the *lithosphere*

² This is just one spin of why you might care about marine environments, and it’s not the only one. A useful exercise would be to create your own depending on your interests, e.g. if you want to focus on stable isotopes.

(solid Earth related things), *biosphere* (living things), *cryosphere* (ice), *atmosphere* (air), *hydrosphere* (the water stuff), and *anthroposphere* (human things). These are not mutually exclusive of course: there is life in the ocean, ocean interacts with the atmosphere and ice and vice-versa, land boundaries and movements constraints and drives ocean dynamics, and so on. We are going to focus on the hydrosphere.

Fig. 1.2 shows a map of the globe but with an ocean focus rather than the usual land focus. From this point of view it is perhaps more convincing that the oceans actually covers around 70% of the Earth's surface. Two more attributes about the ocean:

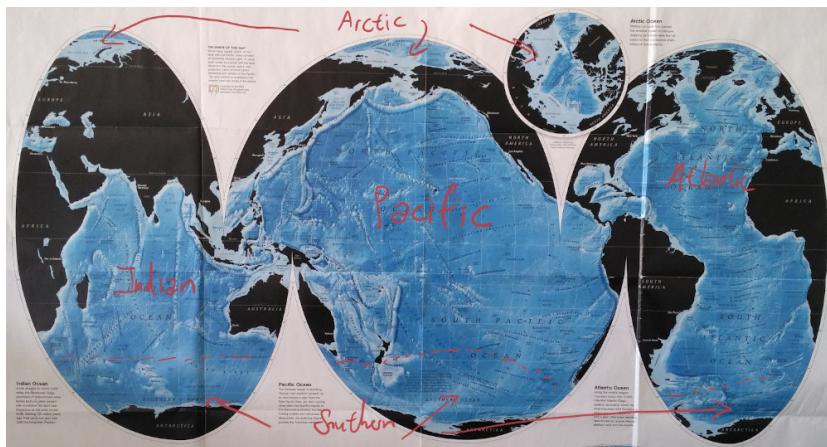


Figure 1.2: Ocean map focusing on the five major oceans by splitting the land. From National Geographic at some point.

1. the ocean holds around 50 times more *carbon*³ than the atmosphere
2. the upper 2.5 m holds as much *heat* as the atmosphere

With these two observations, there are multiple points we can make for the marine environment being a central part of the climate system:

- The marine environment is a crucial component of the *carbon cycle*, and we care about the role of carbon as carbon dioxide in the atmosphere as a *greenhouse gas* and its role in the *energy balance* of the Earth. While we view the ocean largely as a sink for atmospheric carbon particularly for long-term storage (by the *biological* or the *physical pump*), this does not have to be the case and we want to know how this evolves in the future.
- Related to above, the ocean is an important component of the *energy balance* of the Earth system, acting largely as a heat reservoir

³ Some inorganic (carbonates etc.) but largely organic, since most life on Earth is carbon based.

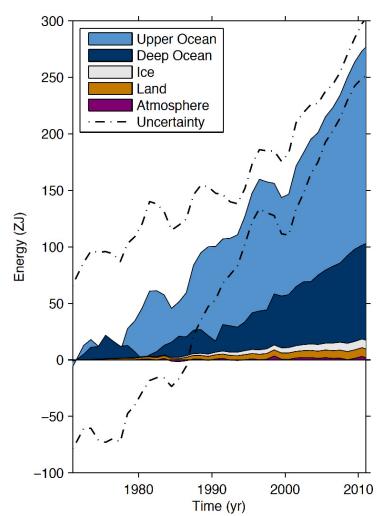


Figure 1.3: Figure 3.1 from the IPCC AR5 WG1 report, showing the destination of the excess energy received by the Earth. Most of it goes into the ocean.

absorbing a large amount of excess heat (see Fig. 1.3), partly because seawater has a much larger *heat capacity* (see Ch. 2). The *Meridional Overturning Circulation* (MOC, see Ch. 5) plays an important role in this through transporting energy given there is an imbalance (e.g. the Earth receives more heat at the equator than at the poles), and again we want to know how that evolves.

- If the ocean is warming because it is absorbing excess energy, then this has consequences for the following:
 - the density *stratification* and the MOC, which feeds back onto the ability of the ocean in transporting/absorbing excess heat
 - *biogeochemical* cycles and its content, because surface warming is expected to lead to a strengthening of the stratification in the upper ocean, affect nutrient supply from the deep (arising from upwelling of colder, nutrient rich waters at depth), the ability of the water to hold chemicals (outgassing of dissolved oxygen because warmer water holds less oxygen), and others
 - general rise in *sea level*, since seawater larger than around 4° C expands when it is warmed up⁴
 - effects on the ocean ecology by physical stressors (such as increasing temperature) and/or biogeochemical stressors (such as decrease in nutrient supply, acidification, oxygen depletion⁵)
 - consequences for economy via fisheries (food web consequences), shipping (changes in climate affecting the viability of certain route, or opening new routes in e.g. the Arctic), energy, ...

The is of points made for the importance of the ocean is non-exhaustive, but hopefully that provides a sample of the linkages to motivate the study of the physical aspects to do with marine environments.

1.2 Oceans

While the hydrosphere covers all things to do with water, for the purposes here we are going to mostly focus on the largest bodies of salty water, namely the *oceans*, *seas*, and *estuaries*; we are essentially not going to touch on rivers and lakes, although some of the concepts are transferable.

We first focus on **oceans**, which are taken to be the largest bodies of salty water that are bounded by **continental land masses**. These are the (by surface area) *Pacific*, *Atlantic*, *Indian*, *Southern* and *Arctic*

⁴ Known as *thermosteric sea level*, sea level arising from thermal expansion. We revisit the point about 4° C in Ch. 2.

⁵ Known as *hypoxia* and *anoxia*.

ocean; these have been marked on the map given in Fig. 1.2. The first thing to highlight is that the oceans tend to be fairly deep, with an average depth $H = 4000$ m over a significant area, which is to be contrasted to some seas that, while they can get very deep, maybe on average on the order of 1000 m deep (see Ch. 1.3 and Ch. 8). A schematic of this is given in Fig. 1.4, where we show a slice outlining the regions being referred to.

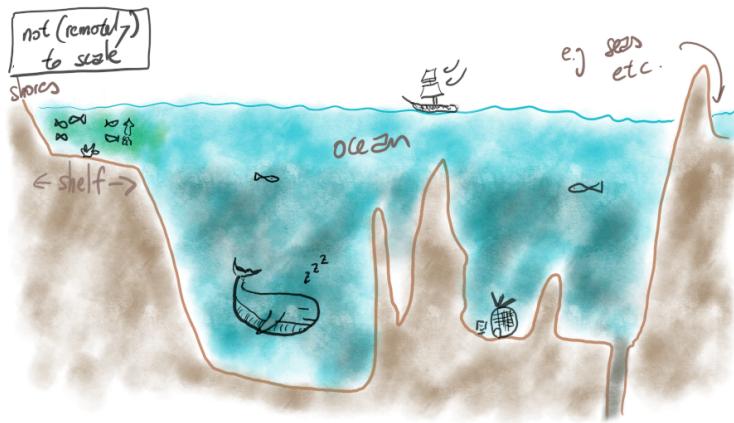


Figure 1.4: Schematic showing the oceans, shelf seas and smaller bodies of water, based on Figure 2.2 of Pickard & Emery (1990), 5th edn.

Note however there is a massive discrepancy with the horizontal and vertical length scales: we are talking horizontal length-scales of at least $L = 1,000$ km (note the units!), so the **aspect ratio** H/L is small. The smallness of the aspect ratio has important dynamical consequences, which we will revisit in the subsequent discussion relating to dynamics. In some sense large-scale ocean dynamics turns out not to be so dissimilar to large-scale atmospheric dynamics, bar the important difference on lateral boundaries provided by the land⁶. The effects on boundaries lead to phenomena unique to the ocean that we will highlight in due course, and explain in Ch. 4 and 5.

Before we go on to talk a little about the five oceans, going to quickly introduce some terminology. The land features are normally referred to as **topography** and/or **bathymetry**. Technically the former refers to features above land and the latter refers to those features below sea level, but sometimes both terms are used in the ocean community. Some notable *bathymetric features* are labelled in Fig. 1.5. There are somewhat technical (though by no means completely universal) definitions for these features, but I am of the opinion these are not hugely important to the narrative here⁷, so I merely refer the reader to other sources for this (e.g. Wikipedia, [refs](#)). The main point is that there are mountains and hills underneath the ocean that has significant influences on the dynamics (much like

⁶ Except in the case of the Southern Ocean where there are open latitudes that are unblocked. See Ch. 5.1 for more.

⁷ We will talk about shelves and continental slopes soon, and in Ch. 8.

above sea level mountains and hills influence atmospheric dynamics), which we will need to take into account when talking about ocean dynamics.

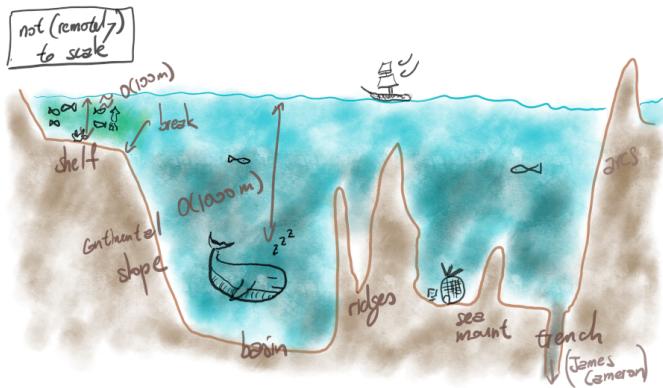


Figure 1.5: Some bathymetric features of note in the ocean. Figure based on Figure 2.2 of Pickard & Emery (1990), 5th edn.

Most of the following discussions focuses on highlighting features rather than going into details such as how many square km the particular ocean covers or what is the average temperature etc. unless they contribute to the narrative (these are covered in other books and can be searched for in Wikipedia).

1.2.1 Atlantic

We are actually going to start with the Atlantic first even if the Pacific is the biggest by surface area coverage. The Atlantic has traditionally received much more attention than the Pacific perhaps for the following reasons: the ocean sciences were first systematically studied in Europe and North America; the Atlantic is perhaps scientifically more interesting because of the role of the *Atlantic Meridional Overturning Circulation* and its links with the global circulation and the weather; the Atlantic is easier to observe and navigate simply because it is narrower than the Pacific. The Atlantic neighbours Europe, Africa, and the Americas, and is connected to the Arctic ocean to the North, the Southern Ocean to the south, and to the *Mediterranean sea*; this can be seen in Fig. 1.6.

Also marked onto Fig. 1.6 are some of the surface circulation features of note, such as the *equatorial currents* (the green arrows near the equator), the *gyres* (the recirculating currents), and the *Western Boundary Current* known as the *Gulf stream* (the big red arrow on the America side going from equator towards the pole). The **equatorial currents** are fairly fast east to west flowing currents in the low latitudes ($\pm 20^\circ$ N/S) that are largely driven by the *trade winds*, while there is a equatorial counter current that is normally

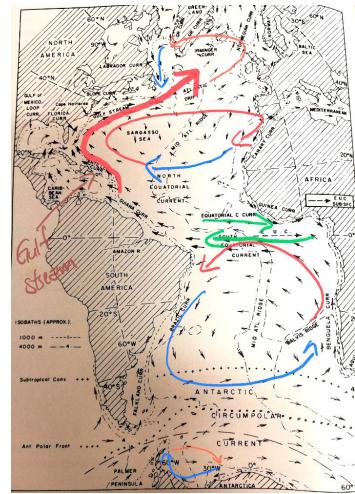


Figure 1.6: A marked up figure of the Atlantic ocean detailing the gyres and the Western Boundary Current. Modified Figure 7.9 from Pickard & Emery (1990), 5th edn.

slightly north of the equator, but goes the other way (against the wind).

The two big **gyres** immediately north and south of the equator are known as the **subtropical gyres**, and these rotate clockwise and anti-clockwise in the Northern and Southern Hemisphere respectively. The smaller gyres at higher latitudes are the **subpolar gyres**; technically in the Atlantic the subpolar gyre is in the north, since the subpolar gyre in the south belongs to the Southern Ocean. The Atlantic subpolar gyre rotates anti-clockwise⁸. The gyres acts to bring warm equatorial waters to higher latitudes and returning colder waters towards the equator.

The **Western Boundary Current** (WBC) in the Atlantic is called the Gulf stream and is a particularly intense current going North-Eastwards from the Gulf of Mexico towards the poles, and thus transporting warm equatorial waters towards the Western Europe. It has a particularly important role for shipping during the Age of Discovery when the Europeans were colonising America: going from Europe to the Americas, it is normally preferable to sail down to Africa before going across (making use of the intense Westward *trade winds* at the equator), while coming back with goods (loot?) it makes sense to make use of the Gulf stream to speed up the journey.

The Gulf stream is a fairly narrow current (typically identified by the warm water it carries around), with an across-stream extent of around 100 km and extends down to around 1000 m depth. The speed of the current decreases with depth but at the surface it can get up to 2.5 m s^{-1} ; this may not sound much (especially relative to atmospheric winds) but note that depth-average speeds of mean flows in the ocean are normally measured in cm s^{-1} , so the Gulf stream surface speeds may be two orders of magnitude faster than average ocean flows. The Gulf stream transports around 30 Sv^9 , which is particularly notable given that the current takes up relatively little volume (cf. the ACC in the Southern Ocean).

Since seawater is better than air in retaining heat (due to its larger heat capacity) and that the Gulf stream transports a significant amount of warm water towards Western Europe, the Gulf stream has a significant impact on the weather and climate in Western Europe. The trivia to note is that while London is about 10° higher in latitude than New York (around 51°N and 41°N respectively), so we might have expected London to be quite a bit colder especially in the winters (because the higher latitudes receives less sunlight), but in fact it almost barely ever snows in London, yet New York gets particularly nasty snow storms and the average temperature in the winter months are sub-zero. The warmer Gulf stream water releases a portion of its heat to the atmosphere as it reaches the

⁸ In both hemispheres the subtropical gyres rotate *anti-cyclonically* while the subpolar gyres rotate *cyclonically*; see Ch. 3.2 and 4.

⁹ $1 \text{ Sv} = 10^6 \text{ m}^3 \text{ s}^{-1}$. The unit of Sverdrup is named after the Norwegian oceanographer Harald Sverdrup (1888–1957). For reference, the Amazon river has the world's largest discharge of freshwater into the ocean and the average discharge rate is around 0.2 Sv .

colder higher latitude air, leading to the more temperate climate observed in Western Europe.

The Gulf stream should in some sense be seen as *averages/means* with a strong instantaneous signal. In reality the current meanders around, evolves over multiple time-scales (seasonally with the winds and solar forcing, longer time-scales with intrinsic variability), and on top of the mean signal there are smaller-scale fluctuations.

A snap shot of the Gulf stream is given in Fig. 1.7 showing sea surface temperature. Within the figure we can clearly identify meanders within the main current (as the main body of red), as well as loss of coherency towards the North East (cf. a water hose that is splattering around). The breaking of the jets arises from *instabilities* (cf. Ch. 6), which leads to what is referred to as **eddies**, for the moment to refer to mean closed regions of re-circulation (e.g. the blobs of green and red to the south and north of the mean current respectively)¹⁰. These eddies, which are effectively the ocean analogue of atmospheric high and low pressures, carry with it water as it moves around, and can themselves interact with each other and lead to additional phenomena (e.g. merging, further breaking, forcing of the mean state).

A few questions immediately raised through this descriptive overview may include: What drives the gyres and the WBCs? Why is it *Western* and not *Eastern* boundary currents? Given the WBC it seems there is a net transport at the surface to the poles, so where is the return flow? What leads to eddies and what do/can they do? Answers to these questions are sketched out in Ch. 3, 4, 5, 6 and 8.

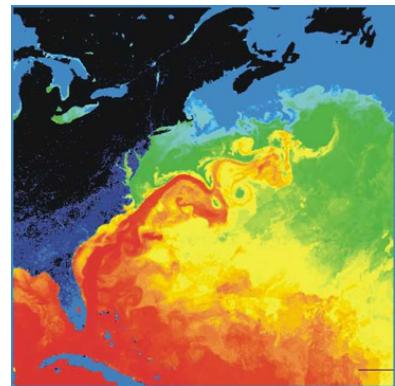


Figure 1.7: NASA observation of the Gulf stream, showing the sea surface temperature (warm waters in red and cooler waters in blue). Image taken from Wikipedia.

¹⁰ There is some argument as to what really should be called 'eddies'. To quote Ryan Abernathey (or at least that's where I first heard it described this way), should we treat *eddy* as a 'noun' (the circular-esque blobs) or a 'verb' (the fluctuations about the mean)? I would say this distinction is not as clear as it should be when the term 'eddy' is used in the community. I personally take the latter view.

1.2.2 Pacific

The Pacific is the largest ocean in the world and covers around 46% of the Earth's surface; historically this has meant it was difficult to chart and navigate because of its sheer size. The Pacific mainly neighbours the Southern Ocean, but is also connected to the Indian ocean via the Indonesian Archipelago, and to an even less extent the Arctic ocean via the Bering strait to the north (the Bering strait is very shallow and water transport between the two oceans are fairly limited).

The surface circulation features are highlighted in Fig. 1.8, and largely similar to the Atlantic ocean, in that there are equatorial currents, subtropical gyres at lower latitudes, subpolar gyres at higher latitude in Northern Hemisphere (the Southern belongs to the Southern Ocean), and the **Kuroshio** WBC off the coast of Japan. One aspect we do highlight is the **Eastern Boundary Current system** (EBUS), here the *Peru current*¹¹ (the analogous one in the Northern

¹¹ Sometimes the *Humboldt current*, after the Prussian naturalist Alexander von Humboldt (1769–1859).

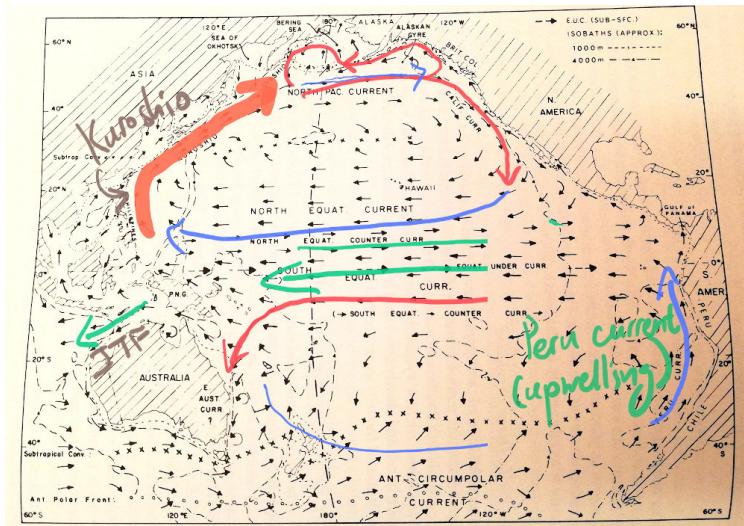


Figure 1.8: A marked up figure of the Pacific ocean detailing the gyres, the Western Boundary Current and the Peru Eastern Boundary Current system. Modified Figure 7.31 from Pickard & Emery (1990), 5th edn.

Hemisphere is called the *California current*. The difference with WBCs are that EBUS currents tend to be relatively shallow, slower flowing, and take colder water from the poles towards the equator. In particular, these currents are associated with *Ekman upwelling* (Ch. 3.3.3 and 8), bringing cold nutrient-rich waters up towards the surface, and thus have important consequences for marine ecology and fisheries.

In the Pacific a particularly interesting climate phenomenon occurs called the *El-Niño Southern Oscillation* (ENSO)¹², observed in the tropical Pacific. This phenomenon is fundamentally one of the atmospheric-ocean coupled system¹³. El-Niño events are a climate phenomenon that occurs between two to seven years, generally seen with the reversal of the trade winds in the Pacific and an increase warming of the sea surface temperature in the East of the Pacific. Associated with El-Niño events are increased precipitation in the Eastern Pacific (which can lead to severe landslides) and reduction in fishery yields (deepening of the *thermocline*; Ch. 2.2.1), while the Western Pacific gets much less precipitation, which can lead to drought-like conditions. El-Niño also appears to have an influence on global weather patterns. El-Niño has been claimed to be responsible for refs:

- human sacrificial practices in the Aztecs
- the French Revolution (1789-1799)
- the spread of Christianity in Qing dynasty China (associated with the Great North China Famine in 1876-1879)
- the Arab spring (2010-2012)

¹² *El Niño* literally means *the boy* in Spanish, a reference to the Christ child, since El Niño events tend to happen around Christmas time.

¹³ Via the *Bjerknes feedback*, named after the Norwegian-American meteorologist Jacob Bjerknes (1897-1975). Not to be confused with his father the Norwegian meteorologist Vilhelm Bjerknes (1862-1951), who is known for his contributions to weather forecasting.

These theories are quite entertaining to hear about and there are perhaps some plausibility to these theories, but of course *correlation does not imply causation*, and I will leave this at that. This document does not touch on a mechanistic rationalisation of the ENSO phenomenon here (it's somewhat to do with *waves*; more references in Ch. 6.1).

1.2.3 Indian

The Indian ocean borders mainly the Southern Ocean, and has connections with the Pacific and the Atlantic through the leakages of the *Aghulas current* (which is suggested to be the world's largest WBC with transports of around 70 Sv). There is only really a subtropical gyre in the Indian ocean because of land boundaries, and that associated subpolar gyre belongs to the Southern Ocean. Note that there is a seasonally reversing equatorial current and smaller gyres towards the coast of Indian and Persian Gulf, arising from the *monsoon winds* (Ch. 3.3 and 8)¹⁴.

One interesting aspect to note is that the Atlantic is seen to be saltier than the other oceans, and part of this is attributed to the leakage of the Aghulas current, leading to a transfer of warm, salty water through the Southern tip of Africa into the Atlantic (see e.g. Fig. 1.10). This is perhaps interesting because if you think about it: the Aghulas current is a WBC so the flow goes to the East, and there is the neighbouring *Antrctic Circumpolar Current* which is also going to the East, so the scenario is stacked against Westward transfer, yet it exists. As can be seen from Fig. 1.10, these *Aghulas rings* can maintain its coherency and travel quite far into the Atlantic basin. This route of transfer is known as the *warm route* (as opposed to the longer *cold route* going Eastward all the way round the globe to reach the Atlantic), and contributes to the global MOC (more in Ch. 5).

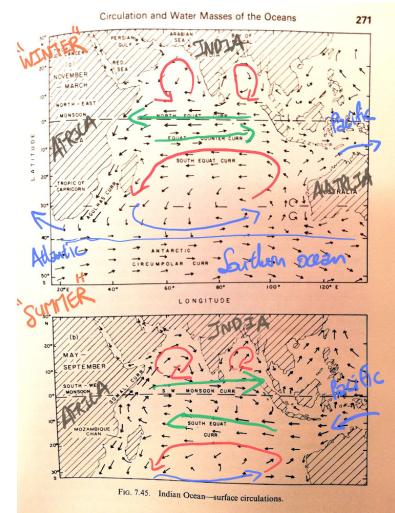


Figure 1.9: A marked up figure of the Indian ocean detailing the gyres and the equatorial currents in Summer and Winter. Modified Figure 7.45 from Pickard & Emery (1990), 5th edn.

¹⁴ There are some claims on the internet about the big subtropical gyre in the Southern Hemisphere reversing directions because of the monsoons, but I am not sure I believe those claims... The monsoons are strong but they are not that strong, plus then the subtropical gyre would have to work against the Antarctic Circumpolar Current.

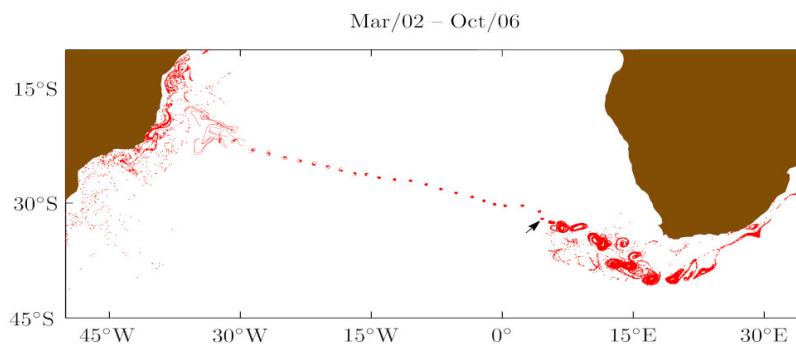


Figure 1.10: Tracking of Aghulas eddies. Image from Yan Wang (HKUST).

1.2.4 Arctic

The Arctic ocean is one of the smaller oceans (some people call it a margin sea to the Atlantic), and neighbours the Atlantic, and marginally connected to the Pacific through the Bering strait between North America and Asia.

The main thing in the Arctic is of course the presence of *sea ice*, which has thermodynamic as well as mechanical consequences for the dynamics. When sea ice forms because it is cold, the ice rejects the salt (*brine rejection*), leading to an increase of salinity in the region below the ice (cf. *double diffusion* in Ch. 6.2). If there is ice, then ice provides some shielding to the direct wind forcing, which reduces the momentum transfer to the water column by the atmosphere, but also provides an extra surface for the already flowing water underneath to rub against¹⁵. On the other hand, when ice breaks up or melts, the ocean is exposed to the cold temperatures and the winds in the atmosphere, leading to a loss of ocean heat and thus buoyancy gain (because cold water is denser), as well as momentum transfer into the ocean leading to stronger currents. The seasonal changes in the wind as well as the ice cover leads to interesting dynamics in the Arctic region as well as circulation features such as the *Beaufort gyre*.

There has been recent talk that, with the decrease in sea ice cover in the Arctic, new shipping routes could open. The existing shipping routes that uses the Bering strait to go between the Atlantic and the Pacific go along the coast of Russia, and the route is somewhat hazardous. If however the sea ice cover decreases enough there could be some incentive to just go straight through the Arctic. Although just because we could doesn't mean we should: while this is of course sound from an economic point of view, the associated consequences of loss of sea ice cover presumably will be catastrophic that any gain will probably seem insignificant in comparison...

1.2.5 Southern Ocean

Last but certainly not least is the Southern Ocean, which is connected to all the major oceans except the Arctic. The boundary of the Southern Ocean is somewhat ill-defined, but is usually done by *fronts* associated with *watermass properties*, i.e. somewhat sharp boundaries that separates water types with different temperature, salinity, or other *tracer* properties (see Ch. 2 and 5.2.1). The Southern Ocean experiences some of the strongest wind forcing in the world, and is influenced somewhat by the fact that there is sea and land ice extruding from Antarctica. Since the Southern Ocean is connected to all the major ocean basins, it is sometimes regarded as the center of

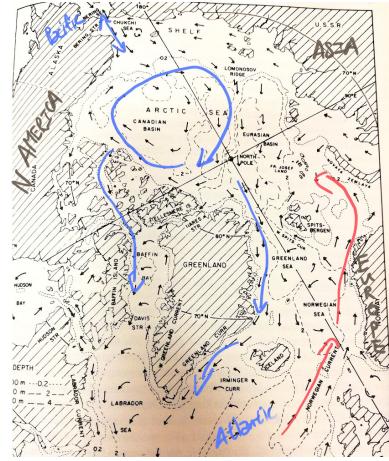


Figure 1.11: A marked up figure of the Arctic ocean detailing the Beaufort gyre and some of the currents. Modified Figure 7.26 from Pickard & Emery (1990), 5th edn.

¹⁵ Referred to as the *ice governor mechanism*, [ref](#).

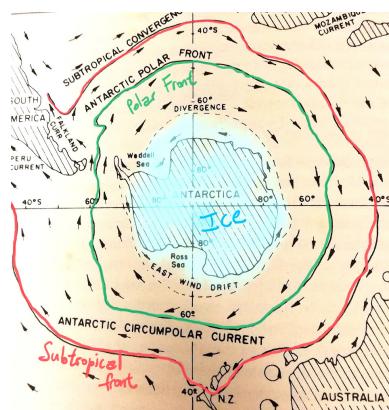


Figure 1.12: A marked up figure of the Southern Ocean, highlighting two of the fronts that roughly denote boundaries with significant difference in watermass properties. Modified Figure 7.45 from Pickard & Emery (1990), 5th edn.

the global ocean and plays a central role in the global MOC (more in Ch. 5). For example, the subpolar gyres exist in the Southern Ocean (the *Ross* and the *Weddell gyre* being the notable ones), and these interact with the abyssal water forming regions responsible for producing the densest waters that fill the deep and abyssal regions of the ocean. It is an ongoing question as to who the interplay between wind, ice, thermodynamic forcing affect the intrinsic dynamics in the Southern Ocean, and its subsequent impacts on the global MOC.

Probably the most significant difference between the Southern Ocean and other oceans is the presence of *open latitudes* where there is no zonal boundary. The dynamical balances are different to the gyres, and in that sense the dynamics within the Southern Ocean actually bears some resemblance to atmospheric dynamics (see Ch. 3 and 5). Partly because of the open latitudes the Southern Ocean possesses the largest current in the world, the *Antarctic Circumpolar Current* (ACC), with a transport of around 130 Sv; while the current is not as intense as the Gulf stream, it is much larger in terms of cross-stream and vertical extent, leading to the much larger transport. The ACC travels through a choke point at the *Drake passage* (between the tip of South America and Antarctica), then lurches northward and joins the *Brazil current* (a weaker WBC coming off South America), then proceeds around the globe whilst being steered by the bathymetry (such as the *Kerguelen plateau*, between Africa and Australia, closer to Africa). The ACC, being a strong current and subject to strong wind forcing, is a very dynamic and turbulent current, possessing *waves* that can have very large amplitudes¹⁶ as well as being susceptible to lots of *instabilities*, which in turn has consequences for things like *air-sea exchanges, momentum/energy transfers* and, in turn, the global MOC. We will revisit these in Ch. 5 and 6.

1.3 *Not oceans*

1.3.1 *Some terminology*

While oceans are relatively unambiguous to define, the smaller bodies of water are harder to define, so for the purposes here are simply to be referred to as “not oceans”, to include *seas, shelf regions, estuaries, lakes* etc. What we will define here as the boundary of the oceans are the **continental slopes**, the regions separating the ocean that are on average fairly deep, to the shallower non-ocean regions that have an average depth of 1000 m or less (see Fig. 1.13). The thing to note is that while we might expect that the aspect ratio H/L is smaller because of H is smaller, this is in fact not true since

¹⁶ We are talking wave heights measured in meters here; see for example <https://youtu.be/WQUXbkAdZhg> one of these waves battering a naval ship.

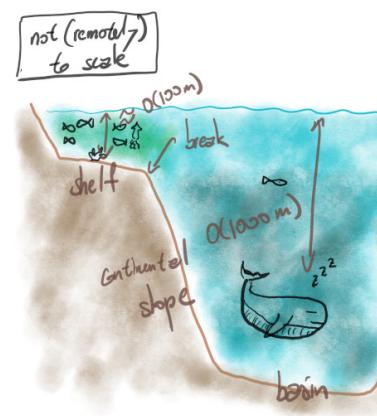


Figure 1.13: Zoomed in version of Fig. 1.4, focusing on the shelf regions. Based on Figure 2.2 of Pickard & Emery (1990), 5th edn.

the horizontal extent L of these non-ocean regions are substantially smaller. The aspect ratio is still small but no longer as small, which has some consequences for the dynamics (see Ch. 8 for more).

Part of the problem with the terminology below is that there seems to always be exceptions to the simpler and clean definitions. **Seas** for example are smaller bodies of salty water that typically have a connection with the ocean and are partially enclosed by land (**semi-enclosed seas**), but of course exceptions being for example the *Black sea*, which may be regarded as essentially covered by land (so an **inland sea**). **Shelf Seas** are seas over shelf regions, which are particularly important for biogeochemistry and ocean ecology, due to the presence of nutrients such as from river runoff and/or *Ekman upwelling*, and the fact that the region is relatively shallow and light penetration provides the necessary ingredients for *primary production*. A statistic to note is that while shelf seas cover around 8% of the global area, they account for around 15 to 20% of the ocean's primary productivity, and is a particular reason why all major fisheries in the world are in the shelf sea regions.

Fun trivia: the following are not 'seas' even though they have 'sea' in their name (they are technically lakes because they lie on land):

- *Sea of Galilee* (of the biblical fame) in northern Israel near the border of Jordan, which is a freshwater lake and is sometimes referred to as *Lake Tiberias*
- *Dead Sea* (of the cosmetics fame?) between Israel and Jordan, which is a salt lake (and lowest point on land, see Fig. 1.14)
- *Caspian Sea* north of Iran and South-East of Ukraine (of the caviar fame), which is also a salty lake

Estuaries are usually defined to be areas around the river mouths (e.g. Fig. 1.15) where there is influence from both *freshwater runoff* from the rivers and the salty water from the seas/oceans. These regions tend to be very shallow and the effects of *tides* are very prominent, leading to *tidal excursions* that are particularly notable in the salinity (more precisely the boundary between freshwater with low salinity and water with high salinity). Notably these regions are generally near settlements, and thus experience forcing from human activity such as nitrogen loading, pollutants, heavy metal, soil erosion, and so forth, which puts pressure on the ecological activity that exists in these regions.

There are several ways to classify these based on the geometry as well as the watermass properties, which will be visited in Ch. 8.

Just a few more. **Fjords** is one of the famous Scandinavian exports to the English language. These are inlets with steep sides carved by



Figure 1.14: Picture taken near the Dead Sea (visit in 2014).



Figure 1.15: (left) Estuary in the Amazon; from Science Photo Library. (right) Pearl River Delta showing Humen bridge; from Wikipedia, user Tung Wu.

glaciers, so fjords are normally only found in higher latitudes. Fjord waters are usually salty, for example, the many fjords that are dotted around the coast of Norway, although there are ones in the US Great Lakes that are not. Much like the use of the term ‘seas’, the use of ‘fjords’ is not entirely uniform either, and the Scandinavian use of the term is much more liberal.

Lakes as mentioned above are bodies of water that are on land, and most of these are freshwater ones (e.g. the famous one in Scotland given in Fig. 1.16) but again with some famous exceptions given above. There are other terms such as *lagoons*, *gulf*, *coves* etc., and we can go on all day, but perhaps lets go to some case studies instead of throwing words around... Below we give some case studies relating to not-oceans to highlight some features of interest in these smaller bodies of water, paying particular attention to the physical aspects. The list is non-exhaustive and clearly biased (e.g. I've ignored *corals* partly because I don't know much about it).



Figure 1.16: What lake am I? Pictures originally from Royal Caribbean website and TopPNG.

1.3.2 Mediterranean Sea

The Med Sea (I'm going to be lazy) is the big body of water between Europe and Africa, and is connected to the Atlantic via the Strait of Gibraltar (the **strait** being a narrow passage of water connecting two bodies of water, e.g. Bering Strait for Atlantic and Pacific, Strait of Malacca for South China Sea and Indian ocean). The Med sea has traditionally been a very important area for travellers, warmongers and merchants, enabling transport between Europe, Africa and to the Middle East, as well as providing an important source of food for the civilisations around the area.

The Med Sea has an average depth of around 1500 m but can get up to several thousand meters deep. However note that the connection with the Atlantic is choked at the Strait of Gibraltar, horizontally because the strait is only 14 km wide, and in the vertical

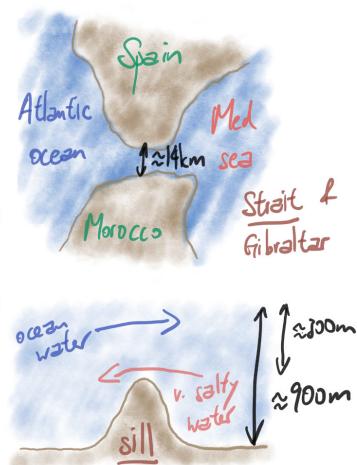


Figure 1.17: Schematic of the Med sea and its connection with the Atlantic via the Strait of Gibraltar. Schematic demonstrating the sill and resulting constraints on water exchanges.

because there is a **sill** that protrudes from the ocean bottom, leading to a **sill depth** (the depth between ocean surface to the top of the sill) of around 300 m. This limiting factor in the exchange results in the Med Sea waters having a particular signature (the *watermass property*). The Med Sea, being located just north of the equator, falls within the region of the *subtropical high* on the edge of the *Hadley cell*¹⁷: what this means is that this is a region of regular high atmospheric pressure, which suppresses atmospheric convection, the formation of clouds, and thus limits precipitation. Given this area is also warm, the Med Sea typically experiences strong *evaporation*, leading to water that is generally warm, but also very salty.

Occasionally there will be a cold burst of continental air coming from Europe, which leads to a cooling of the water. Now, slightly cooler water and very salty water is very dense (Ch. 2.3), which has the capability to sink and filling up the bottom of the Med Sea. While the water may circulate around, the fact that there is a sill at the Strait of Gibraltar means this water really has nowhere else to go¹⁸, and piles up behind the sill. The presence of the sill allows for the relatively warm and very salty water characteristic of the Med Sea to build up, until it spills over into the Atlantic in the form of *overflows*. Again, relative to the less salty and cooler water of the Atlantic, the Med Sea water is more dense, and ends up contributing somewhat to the *North Atlantic Deep Water* that sits at the mid-depths of the Atlantic¹⁹.

1.3.3 Labrador Sea and Weddell sea

Given we just talked about the Atlantic and *North Atlantic Deep Water* we first say a few things about the Lab Sea (still going to be lazy). The Lab Sea is just South West of Greenland, and given the high latitude location experiences very cold atmospheric temperatures, which is a prime site for forming cold and dense water. Recall from the text in Ch. 1.2.1 that, from the surface observations of the currents, mass seems to be converging polewards, so for mass conservation reasons the water has to return somehow even though there is no notable evidence for this at the surface. Well if it doesn't return southward at the surface it could do it at depth, and it turns out the Lab Sea is one of the areas that contributes to sinking of waters that subsequently flow back to the south (fueling the *Deep Western Boundary Current* below the Atlantic WBC). A schematic of the circulation is given in Fig. 1.18.

The Lab Sea contributes to the deep water formation via intense cooling of the water particularly in Northern Hemisphere winter, leading to *deep convection* that transports water to depth (*convection*

¹⁷ A component of the atmospheric overturning circulation. More in Ch. 3.3

¹⁸ The Med Sea, being shielded by land, means tidal effects are weak, and the associated internal waves and diapycnal mixing is expected to be weak too; see Ch. 5 and 6.

¹⁹ The deepest and densest water however originates from the Antarctic and is very cold. Part of the reason might be that the overflows out of the Med Sea leads to significant mixing (Ch. 3.4 and 5) so the resulting water is not as dense.

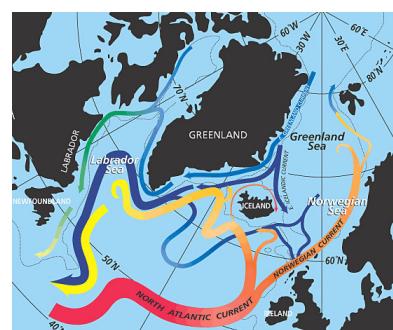


Figure 1.18: Schematic of North Atlantic Circulation. Taken from Wikipedia, image from Jack Cook at WHOI.

due to unstable density gradients in the ocean is usually shallow because the ocean heating is mostly from above; see Ch. 2). One thing which is beyond the discussion here is that the deep convection in the Lab Sea is in combination with interesting effects from effects such as *cabbeling* arising from the *nonlinear equation of state* (Ch. 2.3), where mixing of two water parcels actually leads to a water parcel that is denser than the combination of the two²⁰.

Something analogous happens in the Weddell Sea in the Southern Ocean. Water reaching the Antarctic is cold, but the Antarctic atmosphere is colder still. The intense cooling of the water again leads to formation of cold dense water. In a process similar to the Med Sea, there is a sill holding the water back, which eventually overflows and fills the abyssal ocean with the densest waters in the ocean, the *Antarctic Bottom Water*. Note that of course the water doesn't just carry temperature and salinity around with it, but also chemical tracers and in particular dissolved carbon, so the sinking of these cold waters into the ocean abyss also contribute to storage of carbon. Questions then arise as to if and how does this abyssal water gets upwelled (some of this in Ch. 5), how might this part of the MOC evolve, and what consequences this could have for the global carbon cycle.

²⁰ cf. $1 + 2 > 3$, metaphorically of course.

1.3.4 Black Sea, and anoxia

Changing gears a bit, we go back to around the Med Sea region and visit the Black Sea. There are several competing theories as to why the Black Sea is called the Black Sea, but the one I like is to do with the fact that the Black Sea might have been a somewhat treacherous place to navigate, and shipwrecks used to occur in the region quite a bit before modern day. The particular interest here is that these shipwrecks are well-preserved without decay, and it was regarded a bit spooky that these shipwrecks do not rot away. Another is that sometimes the deeper parts of the Black Sea seems devoid of life, and the water smells very bad and strongly of sulphur, which of course have religious links, and possibly contributing to the 'black-ness'.

The above observations are now known to be related to **anoxia**, referring to the absence of oxygen content especially at the deeper parts of the Black Sea, and that the physics contributes greatly to this phenomenon in addition to the biogeochemistry. The Black Sea is fed by rivers but also from the Med Sea through the shallow connection at The Bosphorus (or sometimes the Strait of Istanbul). The discrepancy in density between the freshwater from the rivers and the salty water from the Med Sea leads to the salty water sinking and filling up the bottom parts of the Black Sea, while the fresh part

stays near the surface, as in the schematic in Fig. 1.19.

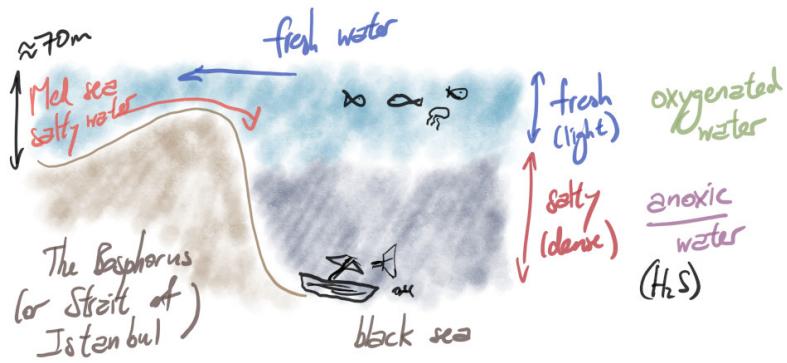


Figure 1.19: Black sea schematics water property schematic.

What this leads to is a strong vertical density gradient that is very difficult to erode, inhibiting mixing and thus vertical transfer of stuff (including oxygen). Any oxygen that is there is rapidly used up, which ends up forcing the organisms that use oxygen for *aerobic respiration* to go up the water column (assuming it is not in their nature to want to die by suffocation), consistent with the deep parts of the Black Sea being seemingly devoid of life. However of course that's just visible life, and it turns out what remains behind are the micro-organisms that undergo *anaerobic respiration*, such as hydrogen sulphide producing bacteria, which explains the bad smell²¹. The lack of oxygen content means *oxidation* of material is limited, which allows wreckage to remain somewhat intact over longer periods of time²².

1.3.5 South China Sea, and links with estuary, fisheries and trade

As a final example, the South China Sea is one of the regions that seems to have everything thrown in. It is the largest marginal sea in the region, with the main connections to the oceans via the Luzon, Taiwan and Midoro strait (to the Pacific ocean) and the Malacca strait (to the Indian ocean); see Fig. 1.20. Because of the geographical set up, the region is one of the busiest areas for shipping activity for transport of goods between Asia and the rest of the world.

The region includes shelf regions as well as deep regions (going down to around 4000 m), so coastal, shelf and ocean dynamics interact and feedback onto each other. The region, though relatively small in terms of surface, has been claimed to account for around a third of the world's biodiversity. Fisheries thrive in the area but there are concerns that human activity are stressing the marine ecology in the region (such as nutrient loading, shipping activity, pollution,

²¹ Sulphides are the stuff that smells like rotten eggs.

²² Rescue missions in 2018 AD have uncovered an almost intact Greek merchant vessel dating back to around 400 BC.



Figure 1.20: Marked up version of the South China Sea, with a triangulated mesh over it (for use with Finite Element models). Mesh and original diagram from Chinmayee Mallick.

and over-fishing), leading to action in the surrounding countries, contributing to the political tension in the region.

On a regional point of view the Luzon strait connection is probably the dominant factor since it has a sill depth of around 1000 km compared to other straits that are shallow in comparison, highlighting the possibility interaction between the ocean and regional circulation. In addition the oceanic connections, the region in addition is strongly affected by Asian monsoon winds (Ch. 3.3), which leads to seasonally varying driving of the regional circulation. One interesting aspect that is being revisited recently is the regional circulation patterns seems to display a ‘sandwich’ pattern in the vertical, i.e. a clockwise–anti-clockwise–clockwise flow (or cyclonic–anti-cyclonic–cyclonic pattern, see Ch. 3.2).

The understanding is that the surface layer is wind-driven (it can't really be anything else...), while the bottom layer is probably from Pacific flow intrusion. The middle layer on the other hand is a bit mysterious because dynamically speaking such a vertical configuration might be expected to be *baroclinically unstable* (Ch. 6), which would erode the layer, but it seems to be persistent. It is an ongoing question on what controls the South China Sea circulation, how it interacts with the other ocean and/or coastal components, and what consequences this can have in a changing climate.

1.4 Concepts in Newtonian mechanics, and governing equations for ocean dynamics

Hopefully the above has made a case for studying the physical dynamics present in the ocean. Ocean dynamics is motion on length-scales that **Newtonian mechanics** works well²³. Here a brief overview is provided, introducing the concepts and form of the equations that is used for describing ocean dynamics. While we won't do very much with the actual equation itself, it is there for reference as we will refer to them particularly in Chap. 2 and 3.

1.4.1 Forces and Newton's laws

Lets do the book keeping things first. **Newton's laws of motion** are given by:

1. a body at rest or in *steady* motion in a straight line remains at rest or in steady motion unless there is a *net* force acting on it
2. rate of change of **momentum** of a body over time is directly proportional to the *net* force applied, and in the same direction as the *net* force

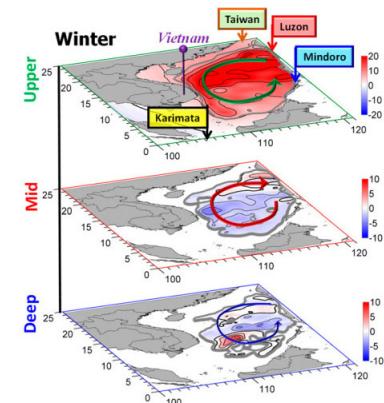


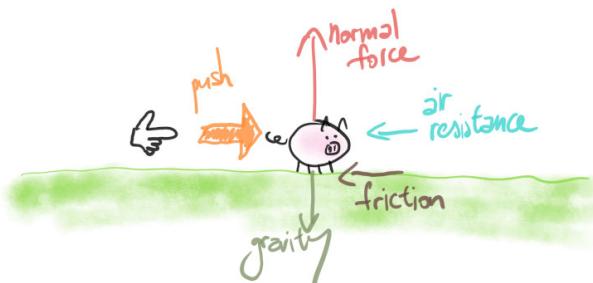
Figure 1.21: Schematic of the sandwich circulation in the South China Sea using numerical simulation data. Figure modified from Fig. 1 of Gan et al. [2016].

²³ Of course Einstein's theory of relativity is more general and accurate, and you could I suppose use it in principle, but that's seems extremely overkill...

Technically we should be dealing with a non-accelerating *inertial frames of reference*, because if not we have to add in *fictitious forces*. We are actually going to live with the fictitious force in the form of the *Coriolis effect*, but that's for Ch. 3.2.

3. for every action there is an equal and opposite reaction

Lets put this into pictorially before going into a bit of maths. Intuitively, things move when **forces** act on a body. For no particular good reason we will take to the body of interest to be a pig²⁴.



Assuming the pig is moving in steady state (i.e. moving but not accelerating, so in the regime of 1st law) to the right, there are various forces acting on this pig, namely:

- Earth's gravitational force pulling the pig down, balanced by a *normal force*²⁵ arising from the ground pushing back (3rd law), otherwise you might expect the pig to sink into the ground (1st + 2nd law)
- a phantom pointy finger pushing the pig to the right, balanced by *friction* from the ground and *air resistance* from the air resisting the motion of the pig (1st + 2nd law)

Overall there are no net forces in the horizontal *and* the vertical, and the pig moves to the right along its merry way (or maybe not because it is being pushed by a phantom pointy finger). One thing to note in relation to the 3rd law is that while from the point of view of the pig the ground and atmosphere is resisting its motion, an equivalent view to take is the ground and atmospheres point of view, where the pig is pushing against them. So there is some subtlety involving points of view here, which we will revisit in Ch. 3.1.1 and Ch. 3.4 when discussing gravitational attraction, diffusion and friction.

We note first that the magnitude of friction and air resistance depends on the speed of the pig²⁶. Now if instantaneously the phantom finger decides to increase/decrease the force magnitude accordingly (but still pointing to the right), friction and air resistance is still the same (since the speed hasn't changed), so there is an imbalance of the forces, and so there will be a net change in *momentum*. Now assuming the pig has mass m , (linear) momentum is defined as

$$p = mu, \quad (1.1)$$

²⁴ Spherical or point mass pig if you like. It's a pig because it's easy to draw.

Figure 1.22: Schematic of forces acting on a pig. While it is customary in classical physics textbooks to assume we are in a vaccum, this would of course be against animal rights, so we do have air resistance if the pig is moving.

²⁵ Normal here refers to being normal, i.e. perpendicular (at right angles) to the surface.

²⁶ The direction and magnitude depends on the *velocity*, but more on that later.

where \mathbf{u} is the **velocity**. Both \mathbf{p} and \mathbf{u} are *vectors*, i.e. something with a direction and a magnitude, to indicate where the pig is going. So change in momentum really means change in the velocity (since m is fixed), so what we have is an acceleration/deceleration (2nd law). The acceleration \mathbf{a} is given by the famous

$$\mathbf{F} = m\mathbf{a} = m \frac{d\mathbf{u}}{dt} = \frac{d\mathbf{p}}{dt}. \quad (1.2)$$

Note that acceleration and forces are also vectors (hence the bold-face), because they all have a magnitude and a direction.

Since the velocity and speed is going to change, friction and air resistance will change, leading to further changes in the acceleration/deceleration, until the forces balance again, after which the pig will be moving on its steady merry way (1st law).

To close this section, note that, in SI units,

- mass has units kg while velocity has units m s^{-1}
- acceleration has units m s^{-2} (think of the d/dt as bringing down a factor of s^{-1})
- the unit of force is called a *Newton*, and since $\mathbf{F} = m\mathbf{a}$, $\text{N} = \text{kg m s}^{-2}$

1.4.2 Forces acting on the ocean

Newtonian mechanics basically involves considering all the forces acting on a body (in our case a fluid parcel) at some time t , see what the net forces are, which leads to the body moving and being in a new place at time $t + \Delta t$, and rinse and repeat the process. Thus we have to consider what kind of forces are acting on the ocean and see what it does to the fluid.

One distinction that will be made here is **mechanical** and **thermodynamic** forcing, to be visited in detail in Ch. 2 and 3. The former is forcing that affects *momentum* and is the one described by Newtonian mechanics, and the latter affects the thermodynamic variable, which affects the density but in turn affects momentum. A sample of these are shown in Fig. 1.23. The main types of forcing on the ocean we will be concerned with are:

- heating of the ocean by (incoming) *shortwave radiation* provided by the sun, and usually lumped in with this is (outgoing) *longwave radiation* by the ocean leading to a cooling, affecting temperature and thus a thermodynamic forcing (Ch. 2.2.1)
- *freshwater forcing*, either as river runoff or *precipitation* (rain, snow, hail, etc.), leading to a decrease in salinity, and *evaporation* of

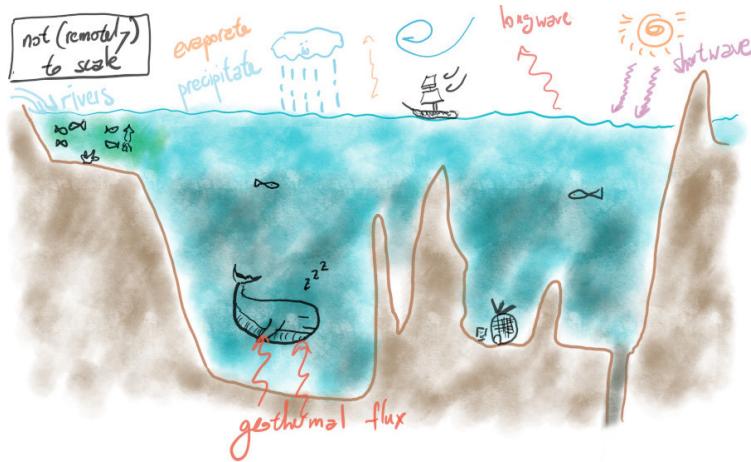


Figure 1.23: Figure based on Figure 2.2 of Pickard & Emery (1990), 5th edn., with some typical forcing drawn on.

sea water (via heating from e.g. shortwave radiation), leading to increase in salinity, and thus are thermodynamic forcings (Ch. 2.2.2)

- *wind* forcing involving the atmosphere, as a mechanical forcing, transferring *momentum* from the atmosphere into the ocean (Ch. 3.3)

There are other types of forcing that are usually regarded as weak (e.g. *geothermal flux* from the solid Earth, leading to an increase in temperature of deep water, *stirring* by fish moving around in the ocean) and/or rare (e.g. *tectonic movements* with the solid inputting momentum into the ocean), which may be important in certain moments in space and/or time. We won't talk about those in detail here.

1.4.3 Equations of motion

The evolution of momentum and the thermodynamic variables could be described in words or, more concisely and in a less cumbersome way, by equations. Denoting then $\mathbf{u} = (u, v)$ as the horizontal velocity and $\mathbf{u}_3 = (u, v, w)$ as the full velocity, one form of the equation that

describes ocean dynamics is given by

$$\rho \left(\frac{\partial \mathbf{u}}{\partial t} + \mathbf{u} \cdot \nabla \mathbf{u} + 2\Omega \times \mathbf{u} \right) = -\nabla p + \mathbf{F}_u + \mathbf{D}_u \quad (1.3a)$$

$$\frac{\partial p}{\partial z} = -\rho g \quad (1.3b)$$

$$\nabla \cdot \mathbf{u}_3 = 0 \quad (1.3c)$$

$$\left(\frac{\partial T}{\partial t} + \mathbf{u}_3 \cdot \nabla T \right) = F_T + D_T \quad (1.3d)$$

$$\left(\frac{\partial S}{\partial t} + \mathbf{u}_3 \cdot \nabla S \right) = F_S + D_S \quad (1.3e)$$

$$\rho = \rho(T, S, p), \quad (1.3f)$$

where F and D (in bold and normal format) denote the forcing and dissipations respectively, and the precise meaning of the symbols will be given in Ch. 2 to 3 when we talk about them in more detail²⁷. The equations are:

- (a) the *horizontal* momentum equation within a rotating frame of reference, to include the *Coriolis effect* $2\Omega \times \mathbf{u}$ (see Ch. 3.2), with mechanical forcing and dissipation
- (b) the *vertical* momentum equation, which actually reduces to *hydrostatic balance* as shown here from the approximations
- (c) the *continuity* equation, corresponding the *mass conservation*
- (d) an equation for *temperature* with thermodynamic forcing and dissipation
- (e) an equation for *salinity* with thermodynamic forcing and dissipation
- (f) the *equation of state* (see Ch. 2.3)

The thermodynamical and mechanical aspects are intrinsically linked. The fluid moves around because it is mechanically forced, as described by the momentum equation. The movement of the fluid transports temperature and salinity around. Additionally, the thermodynamic forcing affects temperature and salinity. However, changes in the temperature and salinity affect the density via the equation of state, and through hydrostatic balance affects the pressure, which in turn leads to pressure gradients driving the flow, and so on.

While this all sounds a very complicated, the goal here is to try and delineate this seemingly tangled ball of mess and make some sense of the world. While we will focus on simplifications of the larger problem in order to gain some understanding, the

²⁷ The Boussinesq and hydrostatic approximation has been used but we are not going to elaborate on those really. See Vallis [2006] for further reference.

Note Eq. (1.3a) is Eq. (1.2) in disguise as $ma = F$. I didn't put the Coriolis effect in with the forces, even though sometimes it is referred to as the Coriolis force. This is related to the margin note at the beginning of Ch. 1.4.1.

thing one should always bear in mind is that everything is intrinsically linked. While the obvious (and to me somewhat cheap) comment/dig/criticism is that the simpler pictures do not represent the real world, in some ways that was never the intention of these simpler pictures: the value is in what you learn from them, not from whether they describe the world down to the finest detail (great if they do of course).

If you are familiar the vector calculus and understand enough about what the equations are showing above, then you probably don't need the following section. For those who are not familiar, want to see a bit more detail, or want to see some propaganda, do continue onto the next section.

1.5 A hand wavy introduction to vector calculus

As advertised, while there are basically no calculations involved in this document beyond working out orders of magnitude and the sign of something, vector calculus concepts will be used, simply because in my opinion it is the natural language to express physics related details in a concise format. The following is a very hand wavy tour of the relevant concepts focusing on the geometric meaning of the symbols. Looking forward, we will use vectors and scalars generally, dot products to talk a bit about wave propagation (Ch. 6.1), cross product to talk about the Coriolis effect (Ch. 3.2.1), vector calculus generally, divergence when talking about Ekman pumping/suction (Ch. 3.3.3), and curl when talking about wind stress curl and vorticity (Ch. 3.3.3).

1.5.1 Vectors and scalars

As we have already seen in the discussion of Newton's laws, usually we are dealing with something that has a magnitude as well as a direction, i.e. **vectors**. **Scalars** on the other hand are just numbers. In text vectors will be boldfaced here²⁸, and scalars are always undecorated. Here are some examples:

- gravitational acceleration \mathbf{g} towards center of mass (and perpendicular to the *geoid*; see Ch. 3.1.1) is a vector, with magnitude $g = |\mathbf{g}|$, a scalar
- a fluid parcel travels with some velocity \mathbf{u} (a vector), which has speed $|\mathbf{u}|$ (a scalar) in some direction
- pressure $p = p(x, y, z, t)$ is a *scalar field* but $\nabla p(x, y, z, t)$ is a *vector field*²⁹ (the gradient operator ∇ will be talked about soon)

The antagonist in the first *Despicable Me* film is called *Vector* (was Victor, the son of the banker), because he is “committing crimes with both direction and magnitude”.

²⁸ Sometimes you see vectors with underlines, or arrows on top of them, however it is not uncommon in theoretical physics or maths literature to see them not decorated at all.

²⁹ A scalar/vector field in this context is just a function that associates scalars/vectors to different points in space. A 1d scalar field (e.g. $y = f(x)$) draws a *curve*, a 2d scalar field draws a *surface*, and so on.

While you can do the usual elementary operations with scalars, for vectors it is more limited:

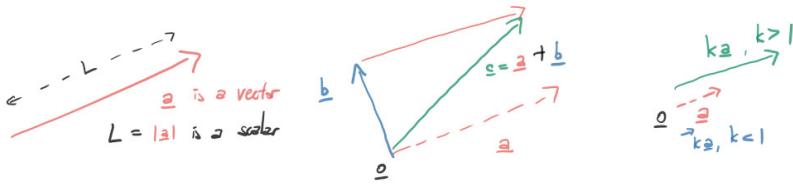


Figure 1.24: Schematic of elementary vector operations.

- add/subtract vectors to give another vector, $\mathbf{a} + \mathbf{b} = \mathbf{c}$, equivalent to joining vectors end to end
- multiply/divide vectors by scalars to get a vector, $k\mathbf{a}$, equivalent to stretching/squeezing a vector

!!! YOU DO NOT MULTIPLY / DIVIDE A VECTOR BY A VECTOR!!!

There are two other operations to do with vectors we will touch on, but first we note that we can represent a vector in terms of a *basis*³⁰. The **standard basis** in 3d is simply

$$\mathbf{e}_x = \begin{pmatrix} 1 \\ 0 \\ 0 \end{pmatrix}, \quad \mathbf{e}_y = \begin{pmatrix} 0 \\ 1 \\ 0 \end{pmatrix}, \quad \mathbf{e}_z = \begin{pmatrix} 0 \\ 0 \\ 1 \end{pmatrix}.$$

An example of how to use this is as follows for a 2d example is given in Fig. 1.25.

The **modulus** of a vector is then $|\mathbf{a}|$ of $\mathbf{a} = (a_1, a_2, a_3)$ is then given by $|\mathbf{a}| = \sqrt{a_1^2 + a_2^2 + a_3^2}$ (just Pythagoras' theorem in the standard basis). This is equivalent to taking the *length* of a vector, which turns a vector into a scalar since length itself is a magnitude and has no direction.

The **dot product** or the **scalar product** between \mathbf{a} and $\mathbf{b} = (b_1, b_2, b_3)$ is defined as

$$\mathbf{a} \cdot \mathbf{b} = a_1 b_1 + a_2 b_2 + a_3 b_3, \quad (1.4)$$

which turns two vectors into a scalar. Note it may be shown that

$$\mathbf{a} \cdot \mathbf{b} = |\mathbf{a}| |\mathbf{b}| \cos \theta, \quad (1.5)$$

where θ is the angle it takes to take \mathbf{a} to overlap \mathbf{b} (measured anti-clockwise as is convention). Then if \mathbf{a} and \mathbf{b} are **perpendicular**, then $\mathbf{a} \cdot \mathbf{b} = 0$.

³⁰ Think of the basis as the lego bricks and any vector can be built by some choice of lego blocks. Just like lego blocks you can build the same vector using different kinds of blocks, i.e. the basis is not unique, but the standard basis is one very convenient choice that we will stick with. Here vectors are put in columns or rows and just choose whichever form is convenient for writing in text (there can be a technical difference).

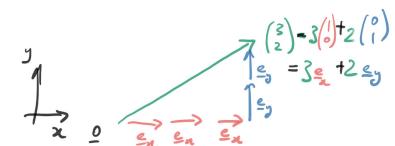


Figure 1.25: Example in 2d representing a vector with the standard basis.

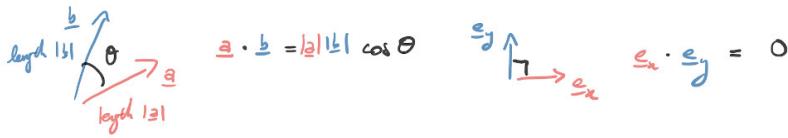


Figure 1.26: Schematic of dot product.

Finally, the **cross product** or the **vector product** between a and b is defined as

$$\mathbf{a} \times \mathbf{b} = \mathbf{c} = \begin{pmatrix} a_2b_3 - a_3b_2 \\ a_3b_1 - a_1b_3 \\ a_1b_2 - a_2b_1 \end{pmatrix} \quad (1.6)$$

and returns a vector. By itself equation (1.6) might look a bit meaningless, but geometrically what this is doing is returning a vector c that is perpendicular to both a and b , i.e. $\mathbf{a} \cdot \mathbf{c} = \mathbf{b} \cdot \mathbf{c} = 0$. This is done by the *right hand screw* convention as demonstrated in Fig. 1.27. In that example, you want to "twist" e_x into e_y , which requires your right hand to be pointing *up* when you twist, i.e. in the direction of e_z .

If on the other hand you want to find e_y into e_x , then you follow the same logic and conclude that your right hand needs to be pointing down, i.e., in the direction of $-e_z$. This demonstrates the *anti-symmetric* property of the cross product:

$$\mathbf{a} \times \mathbf{b} = -\mathbf{b} \times \mathbf{a}.$$

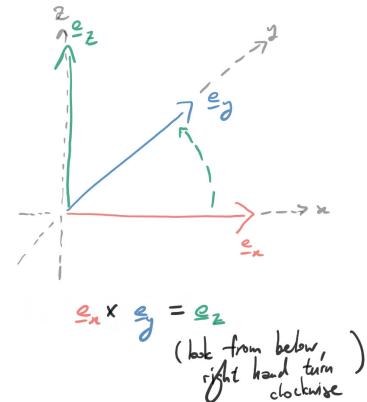


Figure 1.27: Schematic of the cross product, following the right hand screw convention.

1.5.2 Calculus: derivatives and integrals

For whatever reason calculus seems to freak people out (because there are so many rules and tricks to remember and it feels like mathematical gymnastics for the sake of doing it?), but at the intuitive level and for our purposes it is just **gradients** (i.e. *rate of change*) and **integrals** (i.e. *sums*). If we ever want to talk about how things *change* in, for example

- how stock options change in time on the market
- how the temperature changes in some material as heat is applied
- how the rate of reaction changes depending on the concentration of chemicals
- how the ocean/atmosphere moves around as forces are applied

then calculus is a tool (probably the tool) we probably want to use to describe these in a concise way.

Lets start with **gradients**, which for **linear** (straight) things is defined as

$$m = \frac{\Delta y}{\Delta x},$$

or how much do you go up/down when you move along horizontally; see Fig. 1.28. If $m > 0$ then we have positive slope, and we go up as we move towards positive x . If $m < 0$ then we have negative slope and we go down as we move towards positive x .

That's all well and good, but generally functions are not linear (as in Fig. 1.28) then what? The beauty of calculus is that it is generally (!) mathematically sensible and well-defined if we just treat the nonlinear curves as if it is linear if we zoom in sufficiently. This is illustrated in Fig. 1.29. Initially Δx is large and the approximation of the gradient at a point on the curve by a straight line is terrible. So we decrease Δx (i.e. the more we zoom in), and the approximation gets better and better. So why don't we take Δx going to zero? Calculus tells you this limit can be well-defined and controlled accordingly, so that it is generally meaningful to talk about

$$\lim_{\Delta x \rightarrow 0} \frac{\Delta y}{\Delta x} = \lim_{\Delta x \rightarrow 0} \frac{y(x + \Delta x) - y(x)}{\Delta x} \rightarrow \frac{dy}{dx}.$$

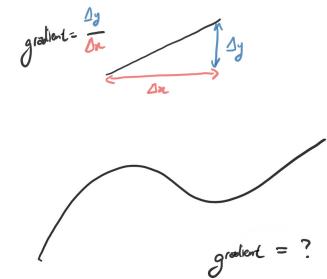
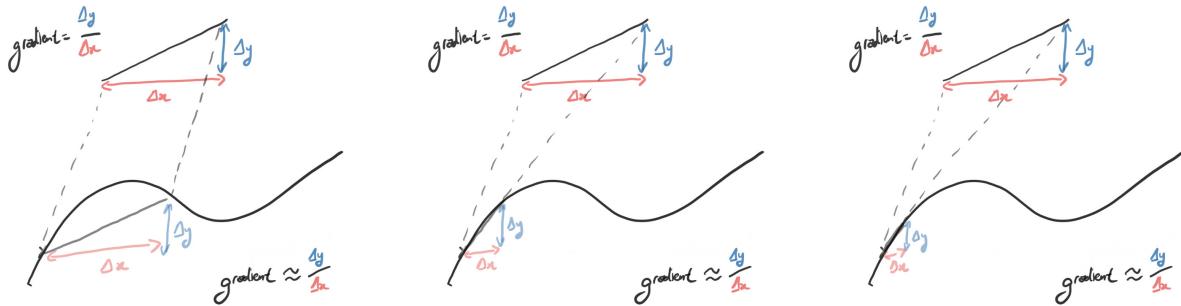


Figure 1.28: Gradient of a straight line is well-defined. But how to define gradient of a nonlinear curve?



So that's it (from the practical point of view)! Derivatives are basically gradients, nothing hugely sophisticated in the idea here (unlike the leap and details going into showing these limits are well-defined, sensible and useful, but that's not the focus here). Some examples:

- assuming $p = p(z)$ only, dp/dz would be the change of pressure with respect to depth
- assuming $[CO_2]$ is a function of temperature T only for whatever reason, then $d[CO_2]/dT$ would be the change of CO₂ concentra-

Figure 1.29: Idea behind the derivative, approximating the gradient by taking increasingly smaller increments in Δx such that the linear approximation works for sufficiently small Δx .

tion with water temperature T , which might be expected to be negative (why?)

The above assumes functions of one dimensions (so no ambiguity in talking about the **total derivative** $d/d(\text{stuff})$). For a function with multiple dependence we might talk about the **partial derivative** $\partial/\partial(\text{stuff})$. Instead of a curve and its gradient, the partial derivative can be thought of in 2d as the gradient of a surface in only one of the directions. Some examples:

- for $p = p(x, y, z)$, $\partial p/\partial z$ would be the change of pressure with respect to depth *regarding x and y as fixed*
- for $[\text{CO}_2]$ a function of temperature T and p only for whatever reason, then $\partial[\text{CO}_2]/\partial T$ would be the change of CO_2 concentration with water temperature T *regarding pressure p as fixed*

We are not going to do any actual calculations that involve taking derivatives as such, but see the [Appendix](#) for a collection of rules and examples.

The **integral** \int can be thought of as a sum (hence the stretchy 'S' symbol \int) and the opposite of a derivative³¹. Something like

$$\int_{-H}^0 \rho(z) dz, \quad \int^z \rho(z') dz'$$

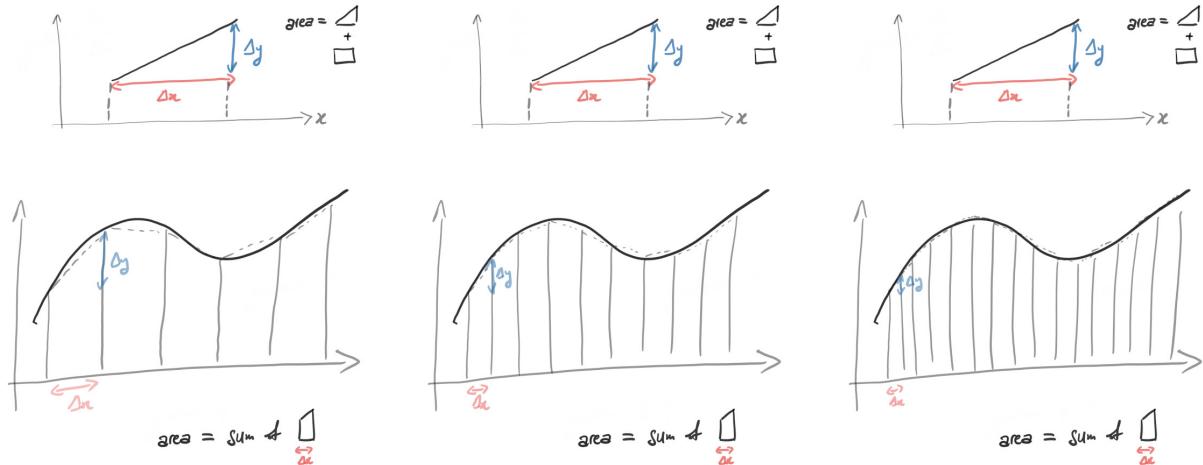
means the function (or field) summed (integrated) in the z direction. The former means sum of the function ρ between $z = 0$ and $z = -H$ (a **definite integral**), and you end up with a function that is no longer a function of z (because you summed over it). The latter on the other hands means you are doing a cumulative sum up to some depth z , so the resulting object is a *function of z*; this is sometimes just denoted $\int \rho(z) dz$, which is the **indefinite integral**, the **primitive** or the **anti-derivative**. Further examples:

- for x denoting the longitudinal direction, $L_x^{-1} \int_0^{L_x} f dx$ would mean the **zonal average** of f , and is no longer a function of x
- for V the volume of a region, $V^{-1} \iiint f dx dy dz$ would be the domain-averaged temperature, which would be a function in t possibly

The idea behind integrals again is similar to the derivative, think of it as a generalised way of working out the area under a graph as in Fig. 1.30. If the function is linear this is easy: you end up calculating areas of a trapeziums (triangle plus a rectangle). If the function is not linear (but at least continuous), then you can play the same trick as before, and chop up the graph into increasingly small segments

³¹ This one has the grand name of the Fundamental Theorem of Calculus and due to Maria Gaetana Agnesi (1718–1799). Besides being a child prodigy, was according to the Britannica "considered to be the first woman in the Western world to have achieved a reputation in mathematics". She wrote the first textbook discussing both differential and integral calculus and the connection.

There is a dummy variable z' for clarity reasons. Formally when you do $\int \rho dz$ you would integrate out the z -dependence, i.e. the object is no longer a function of z , but then $\int^z \rho(z) dz$ should be thought of as a function of z . To avoid this (hypothetical?) confusion, a dummy variable is used: the resulting object is certainly no longer a function of z' .



of width Δx , so then again the linear approximation gets better and better. Calculus then tells you the $\Delta x \rightarrow 0$ can be well-defined and actually works, and there are associated rules for doing integrals. Again, since we are not going to do any actual calculations that involve analytically computing an integral, see the [Appendix](#) for a collection of rules and examples.

1.5.3 Vector calculus: grad, div and curl

The vector calculus of interest here will mostly involve three operators associated with derivatives, which are used quite a bit through the document. There are some integral related ones that do make a showing in geophysical dynamics relatively often (e.g. Green's theorem, divergence theorem and Stokes' theorem) but we won't use them here; see the [Appendix](#) for those.

The **gradient** (sometimes just **grad**) operator ∇ ('nabla') turns a scalar field into a vector field, as

$$\nabla p(x, y, z) = \begin{pmatrix} \partial p / \partial x \\ \partial p / \partial y \\ \partial p / \partial z \end{pmatrix} = \frac{\partial p}{\partial x} e_x + \frac{\partial p}{\partial y} e_y + \frac{\partial p}{\partial z} e_z. \quad (1.7)$$

Again these are just gradients and nothing more (except now it has a direction because it is a vector). The two that we will mostly encounter are $-\nabla p$, the *negative pressure gradient* (i.e. high pressure regions "pushing" stuff into low pressure regions), and $\nabla \rho$, which is the *density gradient*³².

The **divergence** (sometimes **div**) operator $\nabla \cdot$ takes a vector field

Figure 1.30: Idea behind the integral, approximating the sums by taking increasingly smaller increments in Δx such that the linear approximation works for sufficiently small Δx . The "chopping" is called a *partition*, and in this case we chopped in "x" (the *Riemann integral*). The way to formally define the Riemann integral is you cook up an upper and lower Riemann sum S_u and S_l such that you consistently over- and under-estimate the integral (best done with rectangles actually), i.e. $S_l \leq \int f dx \leq S_u$. Then you show that both S_u and S_l tend to the same thing, so that $\int f dx$ must also tend to that thing. The way the integral is approximated here is called the *trapezoidal rule*. You will also notice you could chop it horizontally, i.e. in " y " = $f(x)$, which turns out to be a more robust definition but needs more complicated machinery; see the *Lebesgue integral*.

³² Density is related to $\partial p / \partial z$ via *hydrostatic pressure*, and contribute to *thermal wind* (Ch. 5.1.2)

and turns it into a scalar field³³ as

$$\nabla \cdot \mathbf{u}(x, y, z) = \nabla \cdot \begin{pmatrix} u(x, y, z) \\ v(x, y, z) \\ w(x, y, z) \end{pmatrix} = \frac{\partial u}{\partial x} + \frac{\partial v}{\partial y} + \frac{\partial w}{\partial z}. \quad (1.8)$$

Geometrically what div represents is *convergence* or *divergence* of a vector field. Fig. 1.31 shows a 2d schematic, with the dashed lines showing a before control area and solid lines showing an after control area. For converging flow, things are piling in and the control area shrinks, with $\nabla \cdot \mathbf{u} < 0$. For diverging flow, things are moving out and control area expands, with $\nabla \cdot \mathbf{u} > 0$. For purely rotations or uniform translations, the control area simply gets moved around with no change in volume, with $\nabla \cdot \mathbf{u} = 0$.

This is used later particularly in relation to *Ekman pumping/suction* (Ch. 3.3.3); since we have mass should be conserved, if there divergence at the surface, there has to an associated *upwelling* to replenish the mass that are moving out, and vice versa for convergence.

The last one of interest here is the **curl** operator, which takes a vector field to a vector field as³⁴

$$\nabla \times \mathbf{u}(x, y, z) = \begin{pmatrix} \partial w / \partial y - \partial v / \partial z \\ \partial u / \partial z - \partial w / \partial x \\ \partial v / \partial y - \partial u / \partial x \end{pmatrix}. \quad (1.9)$$

Note that for almost the entire document we will be focusing on the z -component of the curl ζ ('zeta', for z), i.e.

$$\zeta = e_z \cdot (\nabla \times \mathbf{u}) = \frac{\partial v}{\partial y} - \frac{\partial u}{\partial x}. \quad (1.10)$$

These will show up as either the (relative) *vorticity* (the curl of the velocity) or the *wind stress curl* (Ch. 3.3.3).

One way to think of the curl is how much the vector field spins around (how the field "curls" around I suppose); see Fig. 1.32 for a schematic. A uniformly converging, diverging and translating flow has no curl and is *irrotational* (i.e. $\zeta = 0$ here), as the control area does not change its orientation. For a rotation and a shear however it does. By convention anti-clockwise rotation is *positive curl* (because mathematicians measure angles in an anti-clockwise manner), so the examples show in the figure has negative curl because the control area rotates clockwise.

³³ Recall dot product above.

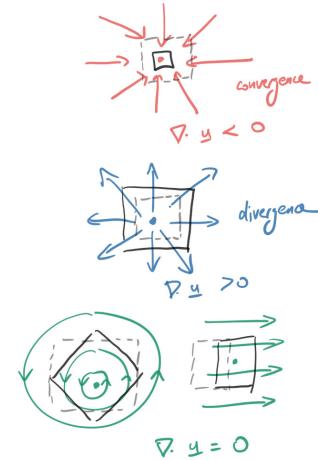


Figure 1.31: 2d schematic for the divergence of a vector field. Dashed lines denote the before control are while the solid lines denote the after control area.

³⁴ Recall cross product above, and compare the formula with Eq. (??).

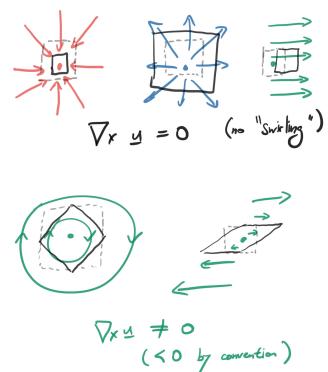


Figure 1.32: 2d schematic for the curl of a vector field. Dashed lines denote the before control are while the solid lines denote the after control area.

1.6 Conventions used here

- x, y, z you can/should think of as East-West, North-South and up-down, respectively called the **zonal**, **meridional** and **vertical** direction

- $x, y, z > 0$ are East, North and up, so e_x, e_y, e_z points East, North and up
- $\mathbf{u}_3 = (u, v, w)$ is a vector field, and u, v, w are scalar fields and the zonal, meridional and vertical velocity, with $u, v, w > 0$ the East, North and upward velocity
- vectors will be **bold** whilst scalars are un-decorated

Summary and further reading

Chapter exercises

1. Provide an estimate of the aspect ratio for the ocean. What about for the atmosphere?
2. Show that for $c = a \times b$, c really is perpendicular to both a and b by explicitly computing $a \cdot c$ and $b \cdot c$ using equation (1.6).
3. Fig. 1.33 shows a typical road sign for steep slopes. The sign means you go down 1 unit for every 8 units you move horizontally (roughly speaking). With this, compute the magnitude of the gradient, and work out the slope angle relative to the horizontal (give it in degrees). For those mathematically inclined, estimate the angle but don't use a calculator (gradient of $1/10$ might be neater to do).



Figure 1.33: Image from HK transport department (www.td.gov.hk).

2 Seawater properties and thermodynamic forcing

Key takeaway of this chapter: FROM A DYNAMICAL POINT OF VIEW,
IT'S ALMOST NEVER IN-SITU DENSITY YOU CARE ABOUT!

We go on to justify the above claim. In Ch. 1 we made a distinction between the *thermodynamic* and *mechanical* contribution to the fluid dynamics, the former to mean anything that directly affects the *density* of the fluid, and the later to mean anything that directly affects the *momentum* of the fluid. Of course the two are intimately linked together, but we will start first with a discussion of the *thermodynamic* aspects because it is perhaps more intuitive to talk about¹. Referring to the equations given in Eq. (1.3), the subset of interest are

$$\left(\frac{\partial T}{\partial t} + \mathbf{u}_3 \cdot \nabla T \right) = F_T + D_T \quad (2.1)$$

$$\left(\frac{\partial S}{\partial t} + \mathbf{u}_3 \cdot \nabla S \right) = F_S + D_S \quad (2.2)$$

$$\rho = \rho(T, S, p) \quad (2.3)$$

The key quantity that we are aiming to get to is the fluid **density**² ρ (with units of kg m^{-3} or the **buoyancy** $b = -(\rho/\rho_0)g$, where ρ_0 is a reference density and g is the gravitational acceleration. The density measures how much ‘stuff’ there is per volume, and if two blobs of water has identical volume but one is more dense, then the denser one is heavier. An equivalent measure would be by the buoyancy: the heavier blob is less buoyant so has smaller buoyancy. You actually know some of this from intuition already, for example via the thought experiment in Fig. 2.1. On the one hand we have warm water over cold water, which we know will be stable, but on the other hand if we have cold water over warm water we expect the water to overturn in the vertical, because the water is heavier, denser or less buoyant than the warm water. While temperature is used here, for seawater salinity is also important, though ultimately it is actually the density that matters.

¹ I hesitate to use the adjective ‘easy’ because it can get a little mind bending and slightly confusing. I’ll try...

² Here I am really thinking of *in-situ density*, but we will get to the subtleties later.

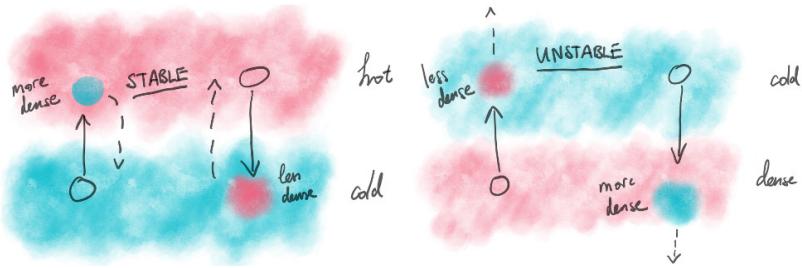


Figure 2.1: Parcel argument for static instability, red and blue denoting warm and cool water respectively. More in Ch. 6.

As can be seen from the thought experiment in Fig. 2.1, density is expected to play an important role in the vertical movement of seawater. It turns out that minor differences in density/buoyancy are also one of the primary drivers for horizontal dynamics in the ocean (through a combination of *hydrostatic* and *geostrophic balance*), which we will visit in Ch. 3 and 5.

2.1 Seawater properties

Since density is argued to be important, we want to know what contributes to density of seawater. Before we do that, just a quick clarification on two physical concepts. **Mass** (units of kg) is about how much ‘stuff’ the body is made of, and is a scalar. **Weight** is force and so a vector, and is the mass multiplied by the magnitude of gravitational acceleration in the direction of the gravitational acceleration, i.e. $F = mg$. Because we are talking about blobs of water, we use density, and it is the changes in the density that leads to a difference in the force, and thus an acceleration by Newton’s laws.

Temperature T of the water is a measure of how warm or cool something is, and is often measured in degrees Celcius ($^{\circ}\text{C}$) of Kelvin (K, but no degrees)³. One can think of temperature of a blob to be related to the amount of thermal *energy* in the blob, so sometimes we talk about temperature and energy content interchangeably, related to the **heat capacity**, which is the energy required to raise the temperature by a certain amount. For practical purposes, we take the heat capacity of seawater to be a constant, and energy Q (in units of Joules, J), mass m , the **specific heat capacity** c (in units of $\text{J kg}^{-1} \text{K}^{-1}$, note the per mass bit) and the change in temperature of a material ΔT is given by

$$Q = mc\Delta T, \quad (2.4)$$

where for seawater⁴, $c \approx 3850 \text{ J kg}^{-1} \text{ K}^{-1}$. This formula is used when we are talking about *heat content* in the ocean (cf. Fig. 1.3). To measure temperature, the obvious thing is to use a *thermometer*.

³ The ‘spacing’ of degrees Celcius and Kelvin are exactly the same, except there is a shift so that $0^{\circ}\text{C} = 273.15\text{ K}$. 0 K is known as *absolute zero*.

⁴ The equivalent for air is much smaller, hence why it takes so much longer to heat up the kettle for that cup of tea, but also the cup of tea keeps its heat much longer.

Even though a thermometer would provide a gold standard of sorts, we generally can't do that easily if we want a large spatio-temporal coverage of the ocean, and there have been suggestions to use for example the *speed of sound* in seawater as a way to get at the temperature: speed of sound depends on the density of water, and differences in density lead to wave *refractions* (Ch. 6.1) therefore measurable changes in the travel time, from which the density and temperature could be inferred for. See more in Ch. 8 (on *acoustic tomography*).

With regards to density, we expect that increasing T decreases ρ in pure water, however the rate of increase is not necessarily linear above 4°C , and also water is not true below around 4°C where water is actually densest. Below that, water actually gets less dense⁵, and this essentially points to a *nonlinear* dependence of density in water as well as seawater to temperature; see top panel of Fig. 2.2 and note the turning point (the peak of the graph). We say a bit more about this in Ch. 2.3.

As already mentioned, one distinguishing feature of seawater is that it is salty⁶. The saltiness derives from the fact there is sodium chloride (NaCl) dissolved in seawater, and salt contributes to the mass and density of the fluid. We denote the **salinity** of seawater by S , which measures how salty or fresh something. The measure of salinity is a concentration and sometimes given by g kg^{-1} (grams of NaCl dissolve in 1 kg of seawater), and note that this is non-dimensional (mass divided by a mass). However you sometimes see salinity given in 'units' of PSU (*practical salinity unit*), because some people think it is weird to not have units tagged on with a measure; the use of PSU is strongly discouraged.

The gold standard of measuring salinity is by measuring the **chlorinity**, i.e. the concentration of chlorine atoms in the water sample. This requires analysing the water sample by e.g. *titration* against silver nitrate solution to precipitate the chlorine. This is known as **absolute salinity** S_A and is defined as

$$S_A = 1.80655 \times \text{Chlorinity}. \quad (2.5)$$

As you can probably tell, this is impractical to do on a regular basis (I means how much silver do you need!?) An alternative is to note that seawater is conducts electricity, and the **conductivity** depends on the concentration of salt and hence salinity⁷. Conductivity is relatively speaking much easier to measure, although it is less accurate as strictly speaking the conductivity depends on temperature and pressure as well. Salinity measured this way is usually called **practical salinity** S_p (or just S).

For reference, freshwater tends to have low salinity, on the order

⁵ Hence why ice floats.

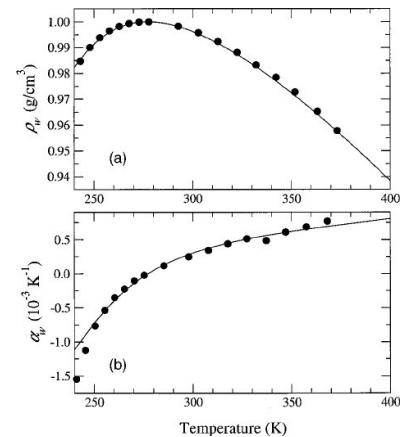


Figure 2.2: (top) density $\rho = \rho(T)$ for pure water, (bot) the coefficient of thermal expansion $\alpha = \alpha(T)$. From Ashbaugh *et al.* (2002), *J. Chem. Phys.*, ref

⁶ 'Salt' in chemistry means something slightly more general.

⁷ Fun trivia: Pure water is a very bad electrical conductor because not that many H_2O molecules disassociate into H^+ and OH^- , and free charges are needed to conduct an electric current. Impurities are usually required to increase the number of free electrons. In seawater, the prime source of impurities is NaCl , and dissolved NaCl breaks the ionic bonds and resulting in Na^+ and Cl^- , i.e. charged particles and therefore a possibility to conduct an electric current.

of 0.01 g kg^{-1} . Seawater tends to have salinity around 35 g kg^{-1} , and doesn't vary much (from 33 to 37 or so), though the Med Sea can have salinity up to 40 g kg^{-1} . Estuary regions are influenced by rivers as well as oceans so salinities there can vary from 0.5 up to 35 g kg^{-1} . For completeness, the Dead Sea has salinities of around 200 g kg^{-1} , and that's why they suggest you don't spend too long in there, and definite wash off afterwards, because the saline water dehydrates you quite substantially (but is good for cleansing purposes I guess, and it means the muds there are full of minerals, hence it is highly prized from a cosmetics point of view).

There are other things dissolved in water (e.g. chemical *tracers* such as oxygen and dissolved inorganic carbon), but these don't contribute much to the physics so we won't really talk about it (the physics on the other hand is very important for the content). Before we go on, the last major property we will talk about here is **opacity**. Something is *opaque* if light (more accurately, *radiation*; more in a bit) does travel through the material very well⁸. Air for example is not opaque, because otherwise you would not even be able to see this set of notes. Clouds are opaque because it absorbs/disperses light. Seawater opacity depends on the water condition (e.g. the *turbidity*) but usually it would be regarded as opaque: you usually can't see that deep into the ocean (e.g., Fig. 2.3). This is mostly the reason why you only find *phytoplankton*s above around 200 m depth in the *euphotic zone*, because they need sunlight for *photosynthesis*, and there is not enough light below a certain point.

2.2 Observations and forcing

The fact that seawater is opaque has important consequences for the ocean. Naturally, a main source of energy on Earth is from the Sun, which is responsible for heating the Earth system and, in turn, driving the winds in the atmosphere that forces the ocean mechanically. However, given sunlight (more precisely, *solar radiation*) doesn't penetrate much into the deeper parts of the ocean we have the set up in Fig. 2.4.

In the atmosphere, because the air allows solar radiation through, the atmosphere may be heated below. Much like boiling a pan of water from below, eventually there is heating that the fluid at the bottom becomes warmer, less dense than the water above, and overturns, leading to *convection* (convection also means transfer by movement). Clouds exist because there is convection leading to upward motion of air carrying moisture up high, and when it cools it condenses and forms clouds (mostly happening in the *troposphere*). In the ocean however we have a reverse case. Since water is opaque,

⁸ Describing things (e.g. a book or someone's speech) as opaque would then be that something is hard to understand, confusing, or impenetrable, possibly like this set of notes.



Figure 2.3: Picture of the sea. You can't see through it that well so seawater is regarded as opaque. CC0 Public Domain, taken from phys.org.

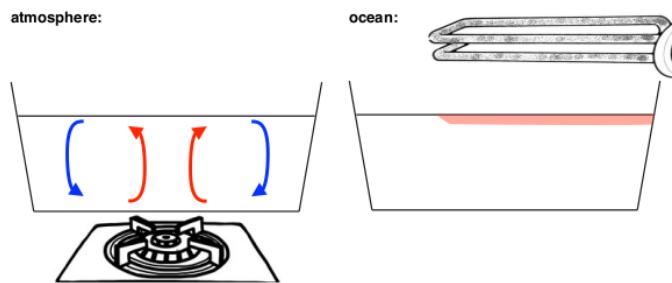


Figure 2.4: Schematic of principal sources of thermal forcing between atmosphere and ocean. Courtesy of David Marshall (Oxford).

solar radiation gets dispersed easily and the scenario is really like a case where you trying to heat up a pan of water, but from above, which is you may guess is almost impossible⁹! Without some sort of fluid transport the heat basically takes ages to *diffuse* into the interior of the ocean (we are talking about at least thousand year time-scales easily; see Ch. 3.4), but this kind of heating is so inefficient at driving and significant motion in the first place¹⁰! Of course despite this inefficient setup, there is in fact a large-scale overturning circulation which can move heat around in the ocean, and we explore some of the reasons for why this is in Ch. 5.

2.2.1 Temperature

To talk about seawater temperature distribution and so on we first make a digression to talk about some physical aspects of **solar radiation**. Energy can generally be transferred in three ways: **conduction**, where a particle hits another particle physically; **convection**, where energy is moved around by a collection of particles; and **radiation**, where energy is transferred by **electromagnetic waves**¹¹. The classic examples demonstrating the three is a air radiator. You could get warmed by the radiator through touching it (conduction, but maybe don't actually do this), by being above and getting the warm air (convection, as heat is transferred through movement of air), or just by sitting slightly away from it (radiation, as **infra-red radiation**). The first two need matter to be present, while radiation does not (hence it can travel through space).

The Sun emits all sorts of radiation and these are normally classified depending on their *frequency/wavelength*¹² The types of electromagnetic waves are given in Fig. 2.5. Note that there are many familiar names here, from long radio waves that we use in communication, to microwaves for cooking and communication, infra-red as heat, visible light between 380 to 700 nm (nano-meters, 10^{-9} m), so short and high frequency waves such as ultra-violet (UV) and X-rays.

This bit is going to be a bit hand-wavy, but the key take-away is

⁹ I once tried this when visiting my now wife to boil some dumplings back when she was in her student halls. We got take-away in the end.

¹⁰ This is related to something now called *Sandstroöm's theorem*, formalised in PaparellaYoung, Nycander.

¹¹ These are *photons*, and visible light is a special case. Photons are a bit weird because they are wave-like and particle-like at the same time. See *wave-particle duality* in most *quantum mechanics* books.

¹² How often the waves oscillate and how wide two wave crests are apart, which are of course inversely correlated with each other. Measured in Hertz $\text{Hz} = \text{s}^{-1}$ and m respectively. More in Ch. 6.1.

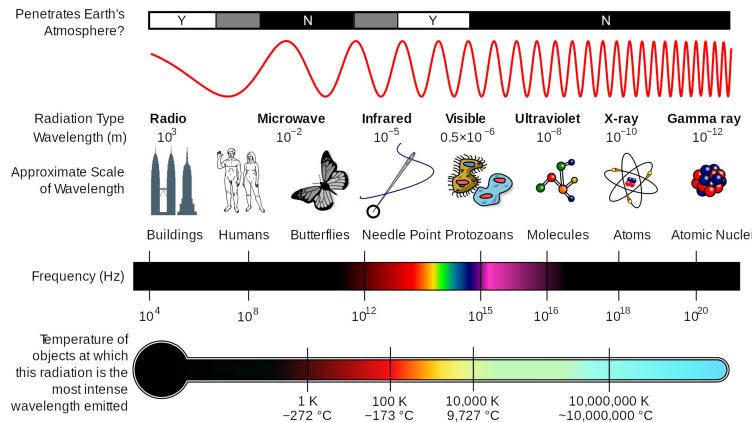


Figure 2.5: The electromagnetic spectrum by wavelength and frequency. Image from Wikipedia, adapted from an image from NASA.

that incoming solar radiation is largely in the form of **shortwave radiation**, energy loss by the ocean is via outgoing **longwave radiation**. If you are eager to get back to explicit talk about the ocean then you can skip the paragraph without losing that much I suppose.

Now, one can imagine that it takes more energy to make the wave oscillate so hard, so there is more energy in the high frequency waves¹³, i.e. the short waves. A body in thermal equilibrium that is hotter emits more radiation, and is able to emit higher frequency radiation; if a cooler body emitted the same type of radiation it would cool down too fast, and thus not be in equilibrium. In fact, with an approximation¹⁴, the kind of radiation and magnitude of radiation a body in thermal equilibrium can emit is uniquely determined by the temperature of the body¹⁵. It turns out then the current day Sun, with a surface temperature of around 6000 K, emits a good chunk of energy at the visible and the lower end of the UV spectrum. However, because of the composition of the atmosphere some of the radiation gets reflected or absorbed and then emitted back into space¹⁶, and the main source of solar radiation at the surface of the Earth is in the form of *shortwave radiation*. By a similar argument, since the Earth has a temperature, it still emits radiation, but because it is much cooler than the Sun, it emits radiation at a much lower frequency, thus mostly in the form of *longwave radiation*, such as infra-red¹⁷.

With that digression, Fig. 2.6 shows a typical profile of SST (sea surface temperature) and the incoming shortwave radiation Q_{sr} (in units of W m^{-2}), showing the horizontal distribution overlaid on a map, and the zonally averaged profile over latitude, defined as

$$\bar{f}(y) = \frac{1}{L_x} \int_{0^\circ}^{360^\circ} f(x, y) dx, \quad (2.6)$$

where (x, y) denotes the longitude and latitude, L_x is the circum-

¹³ This is the *Planck relation*.

¹⁴ The *black body approximation*

¹⁵ This is *Planck's law*, after the German physicist Max Planck (1858–1947).

¹⁶ Look up *absorption spectrum*, and it is mainly ozone (O_3) absorbing the high frequency UV bands, and water vapour absorbing a lot of the remaining incoming solar radiation.

¹⁷ *Greenhouse gases* are then the gases that permit shortwave radiation to pass into Earth, but traps long-wave radiation by absorbing it and re-emitting it back to Earth. Fun trivia: while carbon dioxide CO_2 is talked about so much, the biggest contributor to greenhouse effect on Earth is actually water vapour H_2O . CO_2 is not even that potent a greenhouse gas, but it is a problem because there is so much of it...

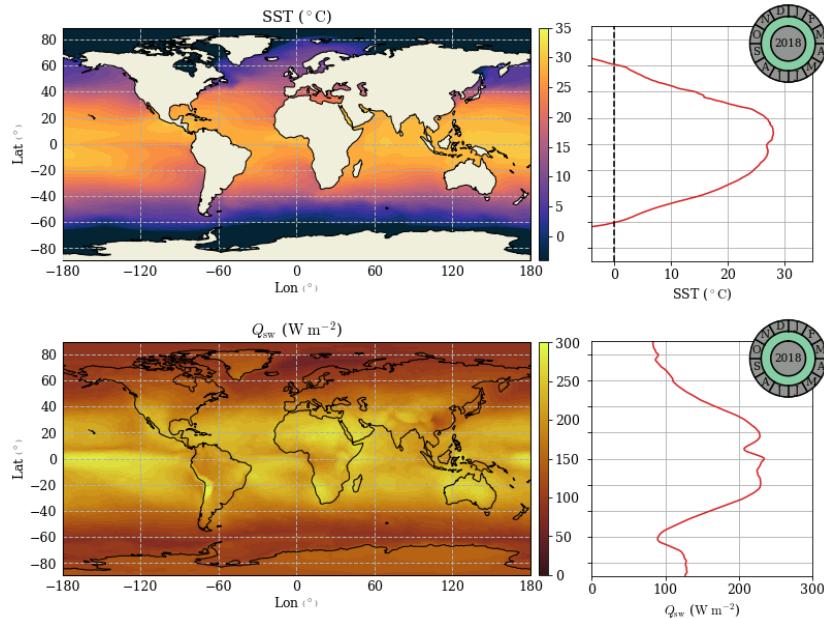


Figure 2.6: Year-averaged (left) and year and zonally averaged (right) sea surface temperature (top) and incoming shortwave radiation (bottom), from the JRA55 dataset (Kobayashi et al. 2015, *J. Meteor. Soc. Japan*). See `plot_jra55_sample.ipynb` for code, and `sst_day_avg_2018.mp4` and `rsds_day_avg_2018.mp4` for movies of the analogous daily averaged data through a particular year.

polar length, and x here is given in *degrees*¹⁸, i.e. we average stuff in longitude. The data is additionally averaged over a year to show the typical profile. First, note that the SST is largest at the equators at around 30° C and smallest at the high latitudes, dipping below 0°C, which is what you would expect since the equator receives the most heat. Indeed, the Q_{sr} averaged over the year is also largest around the equator and smallest at the poles. In the supplementary movie files `sst_day_avg_2018.mp4` and `rsds_day_avg_2018.mp4`, which shows the daily-averaged data over the year, you can see the **seasonal cycle**, where the peak Q_{sr} starts below the equator, since January is **Austral summer**, i.e. where Southern Hemisphere receives more heating), moves up as the months progress, and is in the Northern Hemisphere by the time we get to **Boreal summer**, i.e. Northern Hemisphere summer, before venturing south again as the months progress. The SST signal follows this behaviour somewhat but the variations are much smaller compared to Q_{sr} , and this is again because of seawater has a higher heat capacity (because of the amount of energy that needs to be gained or lost to change the water temperature). The outgoing long wave radiation Q_{lr} is not shown, but is correlated well with the SST evolution (why?)

What about changes of temperature with depth? Fig. 2.7 shows the changes of temperature¹⁹ at fixed longitude and latitude as a function of depth, and red and blue denote the (Boreal) summer and winter profile. There are several features of note:

¹⁸ We should really be using *radians* ($180^\circ = 1 \text{ rad}$), but we don't do calculations here so we leave it in degrees.

¹⁹ A cheat and a note here: this is actually *conservative* temperature; more on this later.

- in winter, the temperature profile tends to be ‘vertical’ near the surface, i.e. the temperature gradient with depth is close to zero, since temperature is barely changing
- in general, there is a region where the temperature gradient is large, in a layer between the surface and the deeper parts
- in general, as we get deeper, the gradient decreases again

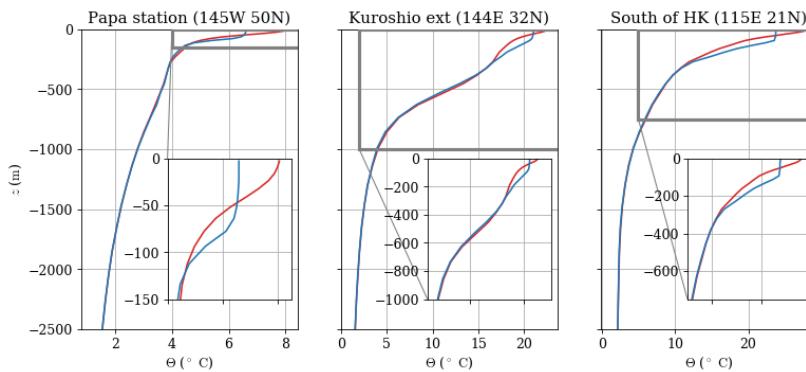


Figure 2.7: Vertical variation of conservative temperature at some designated locations, based on WOA13 data. Red and blue line denote summer and winter climatology. See `plot_WOA13_sample.ipynb`

The exact depths and extent of where the noted features occur at depends on the geographical location²⁰ The first observation is of the (winter) **mixed layer**. The definitions and measures of the mixed layer varies, but is generally characterised by where the stratification is weak, and is usually located within the top 100 m or so (except in high latitudes during the respective winters). The weak gradients are indicative of strong convective mixing going on (see Ch. 6.2), mixing everything up and erodes the density stratification, as seen in the weak temperature gradients. The second roughly denotes the **thermocline**, which is the region where the temperature gradient is the largest in the vertical, i.e. the transition is the fastest, and is located roughly between 200 to 1000 m or so. Below the thermocline is usually regarded as the deeper parts of the ocean, where the temperature gradients are relatively small, and the density stratification²¹ is weak.

To anticipate the discussion about *watermass properties* when we want to talk about the MOC in Ch. 5.2, Fig. 2.8 shows a **meridional section**²² of yearly-averaged temperature, in both the Atlantic and Pacific. Temperature is largest at the surface and near the equator, as expected. There are several features of note, which we will revisit in more detail later:

²⁰ As well as dynamical actually, as seen in the middle graph. The Kuroshio, which is a WBC, has a large gradient in temperature that goes down to around a 1000 m, and is consistent with *thermal wind shear relation*; see Ch. 5.1.2.

²¹ As measured by anything that is *not* the *in-situ* density; more later.

²² Fix a longitude and show data in latitude and depth. *Longitudinal sections* are analogously defined.

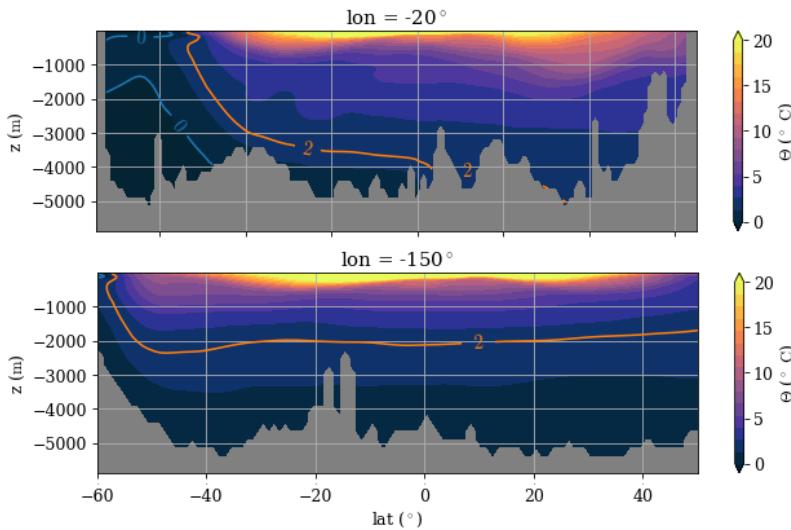


Figure 2.8: Meridional section of yearly-averaged conservative temperature in the Atlantic (top) and Pacific (bot), based on World Ocean Atlas 2013 data. Meridional range chosen to roughly correspond to Talley *et al.* (2011) Fig. 4.11 and 4.12. See `plot_WOA13_sample.ipynb`

- in the Atlantic, there is a hint that the warmer water seems to intrude deeper in the North
- in the Atlantic, the cold water particularly marked by the 2° C and particularly 0° C **isotherm** (lines of constant temperature) at the deep seems to intrude from the South into the basin
- in the Pacific, the aforementioned intrusion of deep cold water seems to be absent (no 0° C isotherm), and the 2° C is much higher in the water column

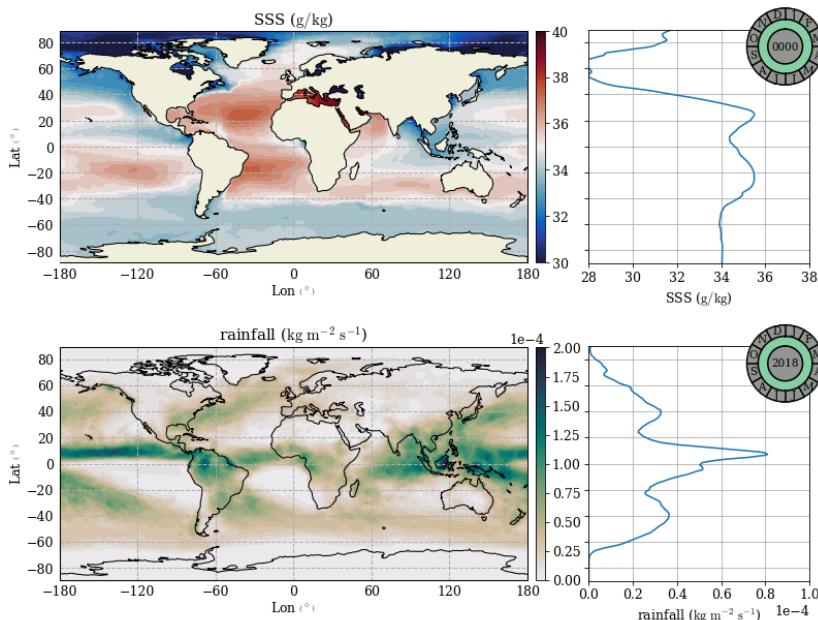
These are to do with the global MOC and are related to the NADW and AABW watermasses, as well as the pattern of the global MOC; see more in Ch. 5.2. This rather unsatisfying discussion is mostly to demonstrate that water formed from various locations could have a signature in observations (Ch. 7), providing a way to identify their origin and how they might change as time goes on.

2.2.2 Salinity

Salinity forcing is a bit simpler to talk about, although a caveat here is the total mass of salts in the ocean are effectively conserved, so *salinity forcing* really refers an increase or decrease of salt concentration via *changes in the amount of freshwater content*. Other than that subtlety, incoming shortwave radiation Q_{sr} heats up seawater and causes **evaporation**, but water vapour cannot carry salt with it²³, which leads to an *increase* in salinity. By contrast, **precipitation** such as rain, snow, hail etc. add freshwater into the ocean, thus diluting the solution, and leads to a *decrease* in salinity. The combination is

²³ Because a solution is needed to break the ionic bonds in salt. No liquid, no keeping ions apart, and salt crystals form again and are left behind. You could try this yourself with saltwater in a pot but be very careful not to overheat the pot!

sometimes reversed to as **EmP** (evaporation minus precipitation). Besides EmP, **river runoff** and **ice melt** leads to a *decrease* in salinity; corresponding, growth of *sea ice* actually leads to what's called *brine rejection*, for the same reasons as the note above. We won't go into this, but it perhaps of interest to note that ocean averaged salinity can change quite drastically on very long time-scales, to do with climate transitions as we go in and out of natural *ice ages*, precisely because ice melt leads to decreases in salinity. Changes in salinity affect the density (and really, density gradients) in the ocean, which has important consequences for the MOC²⁴.



²⁴ This is a topic in *paleoclimate*, which we won't touch on here.

Figure 2.9: Year-averaged (left) and year and zonally averaged (right) sea surface salinity (top) and rainfall (bottom), from the JRA55 dataset (Kobayashi et al. 2015, *J. Meteor. Soc. Japan*). See `plot_jra55_sample.ipynb` for code, and `sss_day_avg_2018.mp4` and `prra_day_avg_2018.mp4` for movies of the analogous daily averaged data through a particular year.

There are many fields we can show in relation to salinity but, for brevity, Fig. 2.9 only shows the **SSS** (sea surface salinity) and average rainfall (in units of $\text{kg m}^{-2} \text{s}^{-1}$), again averaged over the year, and showing zonal averages. The observation to note here is that SSS is typically large in the surrounding regions around the equator, though not as large generally as the Med Sea. Note however rainfall is also largest at the equatorial regions. This may seem contrary to what we have been talking about, but is actually consistent: there is most heating in the equator, leading to large evaporation, but because large evaporation is conducive to cloud formation, precipitation is also largest in the region. For the actual SSS signature, it is EmP that matters, and it turns out EmP is largest in the subtropical regions²⁵. One interesting feature to note is that the Atlantic is noticeably more salty than the Pacific; this is largely to do with the MOC; see more

²⁵ This is to do with the Hadley cell (mentioned in Ch. 1.3.2) suppressing precipitation but leaving evaporation sizeable. More in Ch. 3.3.

in Ch. 5.2 (we talked a bit about it in Ch. 1.3.2 to do with Med Sea water overflows, and Ch. 1.2.3 when we talked a bit about Aghulas leakage).

In the supplementary movie files `sss_day_avg_2018.mp4` and `prra_day_avg_2018.mp4`, the latter showing the daily-averaged data over the year. You can see the seasonal cycle in the rainfall, but not so much in the SSS. The rainfall not so surprisingly follows Q_{sr} (why?) but the SSS displays smaller variations in the equator but possibly higher in the Arctic, because SSS is influenced by more than just EmP²⁶ The Atlantic is still saltier than the Pacific in general.

In Fig. 2.10 we show the vertical profile of salinity at some specific locations (not the same ones as Fig. 2.7), with red and blue denote the (appropriate) summer and winter profiles. Note that we have similar features as in Fig. 2.7 for temperature, although the winter signal is not so drastically different as the summer signal. The equivalent of the thermocline for salinity is called the **halocline**. The deeper parts of the ocean again have weaker gradients, except in the Pacific (left column), where salinity is actually higher in the deep than in the intermediate layers. Unlike temperature this is ok: density increases with salinity, so the increase in salinity with depth denotes a stable stratification. The increase salinity as we go up the water column does not denote an unstable stratification however (why?)

²⁶ Also I cheated by showing monthly climatology instead of daily-averaged, which is what I had at hand...

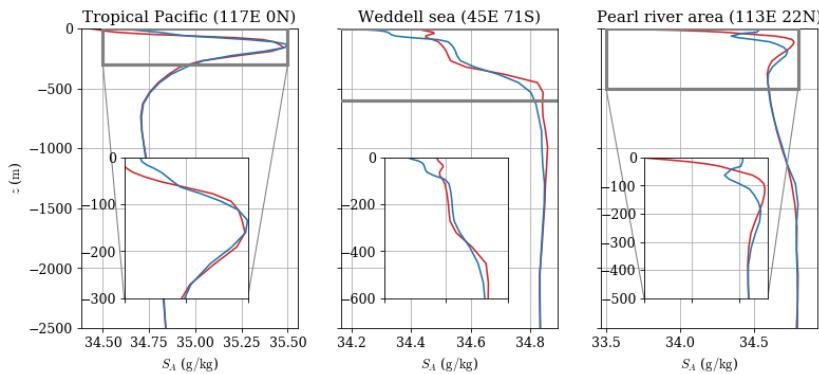


Figure 2.10: Vertical variation of absolute salinity at some designated locations, based on WOA13 data. Red and blue line denote summer and winter climatology. See `plot_WOA13_sample.ipynb`

Fig. 2.11 shows meridional sections of salinity, showing in particular the 35 and 36.4 **isohalines** (lines of constant salinity). As in the discussion relating to Fig. 2.8, we show this here in anticipation of the discussion on watermass properties when we talk about the MOC in Ch. 5.2. Previously we highlighted how there seems to be a warm intrusion at the North of the Atlantic. We see here that this is a warm *and* salty signal, and the North Atlantic water intrusion is much more obvious with the large blob of high-ish salinity at around 1000 m depth, as well as showing the intrusion in the deep into the Southern

Ocean between 2000 and 4000 m depth. By comparison, there is a fresh Southern Ocean intrusion into the Atlantic at intermediate depths (the blue tongue just above 1000 m) and also in the abyss. These signals correspond respectively to the NADW, AAIW and AABW watermasses respectively; see Ch. 5.2. In the Pacific there is also a freshwater tongue, again relating to the AAIW, and in this diagram we note that that salinity increases with depth in the Pacific from around a few hundred meters depth, which is consistent with the vertical profiles in Fig. 2.10(a).

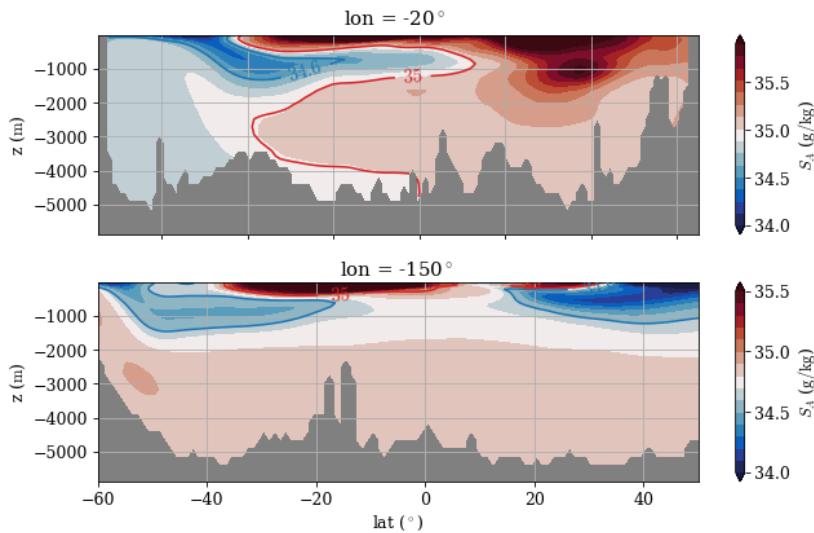


Figure 2.11: Meridional section of yearly-averaged absolute salinity in the Atlantic (top) and Pacific (bot), based on World Ocean Atlas 2013 data. Meridional range chosen to roughly correspond to Talley *et al.* (2011) Fig. 4.11 and 4.12. See `plot_WOA13_sample.ipynb`

2.3 Density and equation of state (EOS)

To recap, the density ρ of seawater depends on temperature T , salinity S , and technically on seawater pressure²⁷ P as well. The exact functional relation between ρ , T , S and p is called the **equation of state** (EOS). Before we go into details relating to the EOS, we motivate this a bit more by talking about some observational details.

Fig. 2.12 shows the yearly-averaged sea surface density (actually showing $\sigma = \rho - 1000 \text{ kg m}^{-3}$ so save on writing too many digits), as well as the yearly and zonally-averaged SST and SSS. A fact to observe is that, while it looks like there is substantial variation, numerically it turns out over most of the ocean, the density²⁸ varies by no more than around 2% from a reference value of $\rho_0 = 1026 \text{ kg m}^{-3}$. Of course numerically small doesn't mean it is dynamically small, and these minor differences have significant influences on the dynamics, thus one point we note is that you want an accurate EOS, otherwise your dynamics and its resulting consequences could be substantially

²⁷ But from a dynamical point of view we will want to get rid of the pressure dependence; more later in this section.

²⁸ I am deliberately being vague about the type of density being used (related to above note). The statement really refers to potential and *not* in-situ density.

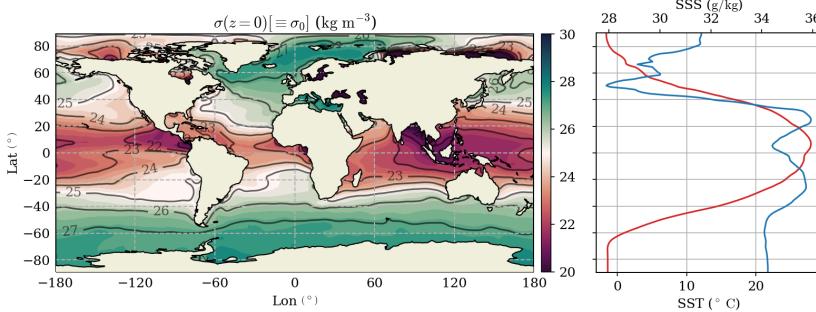


Figure 2.12: (left) Density at the surface (in-situ or referenced to sea surface) and (right) zonal averaged SST (red) and SSS (blue). Year-averaged data based on World Ocean Atlas 2013. See `plot_eos.ipynb`

different. The second is that there is competition between T and S contribution to density, as seen in the correlations between the density and the SST and SSS graphs. Broadly speaking increase in T decreases density, whilst increase in S increases density. The more subtle question to ask is the magnitude of control of T and S on density, and where in the globes are one contribution more important than the other.

Just some more pieces of important terminology that will be frequently used in this document (more so than the ones relating to temperature and salinity actually). **Isopycnals** refer to the lines of constant density (cf. isotherms, isohalines, isobars in Ch. 3.1.2). The **pycnocline** is the equivalent of thermocline and halocline for density, i.e. where the change in density is largest, and again roughly delineates the upper and lower parts of the ocean. Look ahead to Fig. 2.15 if you would like an example. Two terms that will be increasingly used from Ch. 3.4 onwards is **along-isopycnal** and **diapycnal** (across-isopycnal) motion and mixing. It is the along-isopycnal and diapycnal components that are relevant for dynamics, rather than horizontal and vertical. Roughly, this is because motion across isopycnals requires moving the isopycnals, and this is working against buoyancy, while you don't need to do that if you go along isopycnals²⁹ For example, while the ocean basin interior has relatively flat isopycnals so along-isopycnal and diapycnal happens to be horizontal and vertical, this is not true in the case of the Southern Ocean where the isopycnals are tilted (see Ch. 5.1).

2.3.1 Linear EOS

So for the EOS, we note that, since ρ is positively and negatively correlated with T and S respectively over a large part of the ocean, we could try

$$\rho \sim \beta S, \quad \rho \sim -\alpha T,$$

²⁹ Think walking up stairs compared to walking on flat land. It is very tiring working against gravity! Blame Newton for this...

where we take α and β to be something positive. The simplest things to do with would be $\rho \sim -\alpha T + \beta S$, but this can go negative, so we want to add a few things to this. For data fitting purposes etc., it turns out the standard way of doing it generally would be

$$\rho = \rho_0[1 - \alpha(T - T_0) + \beta(S - S_0)], \quad \alpha, \beta \geq 0, \quad (2.7)$$

where ρ_0 , T_0 and S_0 are references that you choose depending on what you care about (see next paragraph). This is known as a **linear EOS**, because ρ depends on the arguments T and S linearly. The coefficients α and β are respectively known as the **coefficient of thermal expansion** (in units of $^{\circ}\text{C}^{-1}$) and **coefficient of haline contraction** (in units of $\text{g}^{-1} \text{ kg}$); the name is because in material sciences the normal talk is thermal expansion (decrease in density), so for consistency we have haline contraction since salinity increases density. The way you use the linear EOS (2.7) is to choose the reference and parameters values, chose a T and S , put the numbers in, and hey presto you get a number back that tells you the density. It really is just that, nothing mysterious; you can do this in a calculator or Excel.

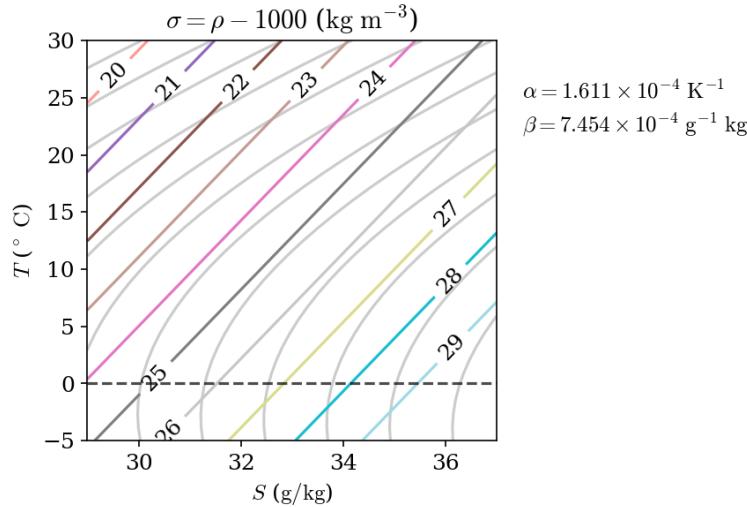


Figure 2.13: Linear EOS in **TS space** with TEOS10 as gray contours (same contour levels). The reference values used are $T_0 = 10$ and $S_0 = 35$ in the usual units, as used in the NEMO ocean model [Madec, 2008]. See `plot_eos.ipynb`

To fully explore how ρ depends on T and S , I decided I really don't want to use Excel or do calculations one by one on a calculator (people used to!), because ain't nobody got time for learning Excel syntax. A few incantations in your favourite programming language later (I used Python here), the linear EOS over **TS space** plotted in Fig. 2.13; this is plotted on top of the “real” EOS of the ocean³⁰. You can convince yourself that if you increase T or S the density is going the right way, so qualitatively speaking the right thing is happening. However, note that the agreement in terms of the sensitivities (the

³⁰ I hope you didn't think the world would be nice enough to give us a linear EOS. Another point to note is that the “real” EOS is actually the *TEOS-10* standard, which is a model fitted from data (more later); we actually don't have an analytical form for the real EOS of the ocean, and not for a lack of trying.

contour slopes) is only reasonable at isolated locations, for example around the reference values $T_0 = 10$ and $S_0 = 35$ in the usual units³¹, but is pretty bad in the upper left part of TS space. Part of the reason is that the linear EOS can be regarded as a leading order expansion of the “real” EOS about the reference, so it is maybe a reasonable approximation around reference, but there is no reason it is good away from the reference values (and indeed it isn’t).

Linear EOS is actually ok depending on the problem you are interested in. If you don’t think dynamical phenomena associated with nonlinear EOS is particularly important (e.g. away from regions where *deep convection* occurs, or near places where phase transitions happen, such as ice regions), then linear is probably an ok approximation. Another thing before we move on is that when we choose a reference (T_0, S_0) , we also need to choose appropriate values for α and β so the resulting slopes in TS space does not deviate too much from the “real” EOS; this highlights another complication that the “real” α and β themselves are dependent on T and S , and indeed they do! This is perhaps not unexpected: recall that water is densest at around 4°C from the discussion near the beginning of this chapter, and indeed this is seen in the bottom panel of Fig. 2.2.

³¹ I’ll probably start dropping units unless it is necessary for the prose or the discussion.

2.3.2 Beyond linear EOS

Although we know that we should not take the α and β parameters to be constant, a possible exercise to consider is whether we could get something reasonably simple but that is still a reasonable approximation to the “real” EOS. Roquet et al 2015 eq 15 suggests

$$\rho = \rho_0 \left[1 - \alpha \left(T_a + \frac{\lambda_1}{2} T_a^2 \right) + \beta \left(S_a - \frac{\lambda_2}{2} S_a^2 \right) - \nu T_a S_a \right], \quad (2.8)$$

where for cleanliness $T_a = T - T_0$ and $S_a = S - S_0$ are the temperature and salinity *anomalies*. The red terms in (2.8) now highlight the *quadratic nonlinearities*, but otherwise the coefficients α , β , $\lambda_{1,2}$ and ν are constant coefficients³². Fig. 2.14 shows how this nonlinear EOS (2.8) compares with the “real” EOS in TS space. With the appropriately chosen coefficients, the general agreement is actually pretty reasonable, except when the temperature is dipping below around 0°C , which is around when ice might start to form.

As mentioned in passing in a note above, we don’t actually have a form of the “real” EOS derived from first principles³³. What we do have are very good approximations constrained by many seawater samples, which allows a *regression* (fitting) of a model to the data³⁴. The “real” EOS is so important that it is part of UNESCO, because the density of fluids around us (air, water and seawater)

³² The new coefficients are known as the *cabbeling coefficients*. I am skipped the *thermobaric coefficients*, which has an extra z term denoting depth dependence. Skipping the units here because this is just a side digression.

³³ This is in the realm of *statistical mechanics* and *material sciences*.

³⁴ Not dissimilar to the *data driven methods* that is the trend these days.

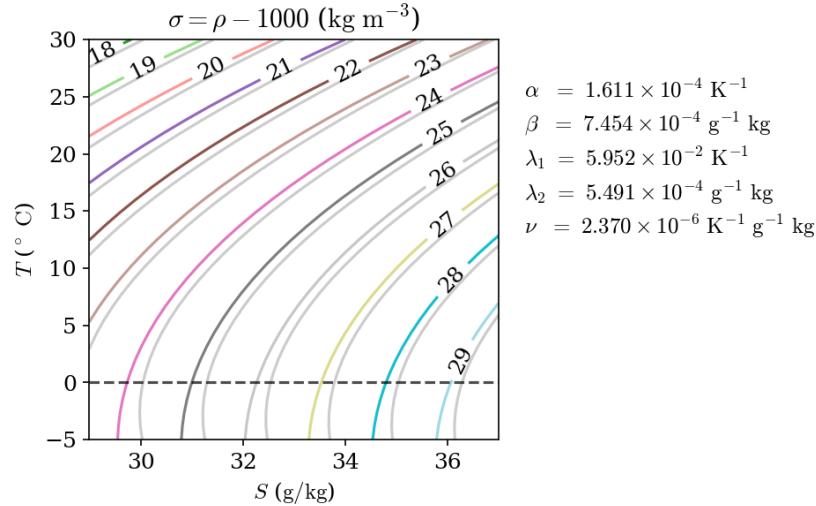


Figure 2.14: Toy nonlinear EOS (no thermobaric effect) in TS space with TEOS10 as gray contours (same contour levels). See `plot_eos.ipynb`

leads to so many phenomena that directly affects our livelihood. The “real” EOS has evolved over the years, from the EOS-80 standard [UNESCO 1983](#), [Bryden 73](#) which for seawater uses practical salinity and *potential temperature* inputs, to the current TEOS-10 (Thermodynamic Equation of SeaWater 2010) standard, which for seawater uses absolute salinity and *conservative temperature* as inputs. One important difference is that in the older EOS-80, the thermodynamic quantities are not entirely consistent with each other, while this is fixed in TEOS-10 through taking the Gibbs function³⁵ approach, such that thermodynamic quantities of interest may be calculated all from the Gibbs function. It is also more sensible to link up conservative temperature needed in TEOS-10 with heat content (cf. Eq. (2.4) and Fig. 1.3), related to subtleties that is beyond the scope here. More on potential and conservative temperature in the next section.

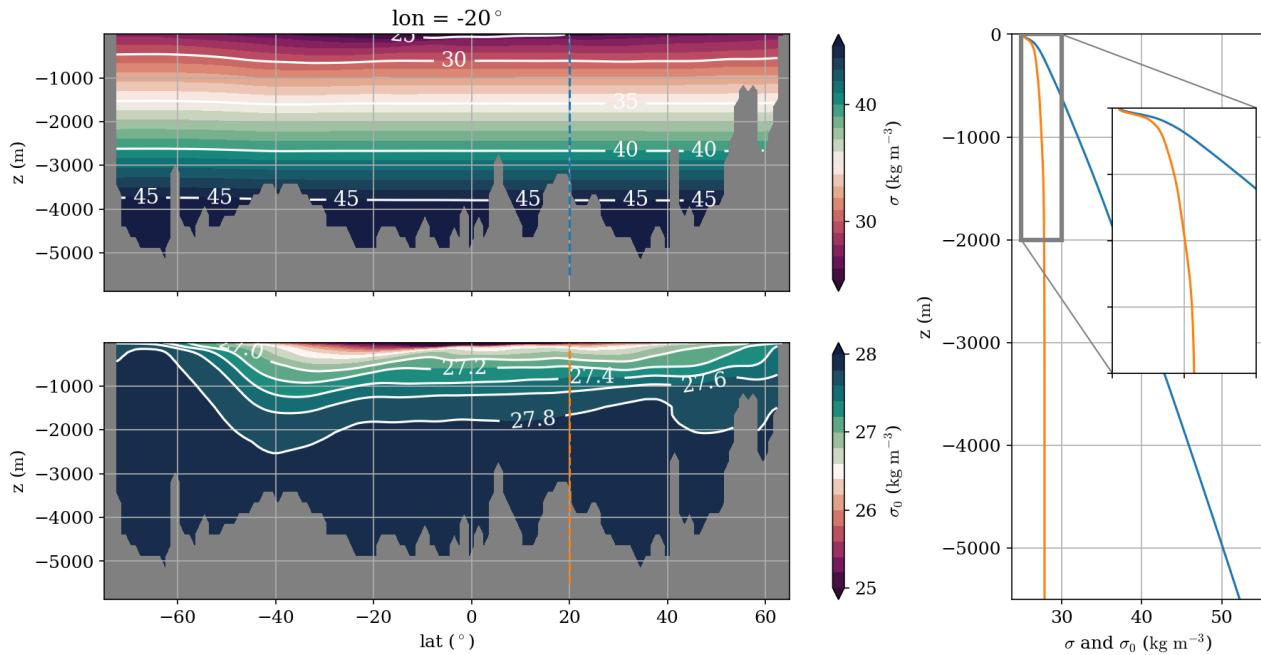
The main thing to note is that science and standards are ever evolving. While we still see practical / absolute salinity and potential / conservative temperature around, it should be noted that certainly practical salinity as a measure of salinity is being gradually phased out. This is not to say we stop measuring salinity via the conductivity, just that we use slightly different formulas to calculate the salinity from conductivity, which will be recorded in due course as absolute salinity. For completeness, the TEOS-10 EOS formula used to in Fig. 2.13 and 2.14 is the 75 term polynomial approximation given in [Rouquet et al 2015](#), which is computationally cheaper than evaluating directly from the TEOS-10 Gibbs’ free energy (which makes a difference when it is used in a high resolution numerical ocean model).

³⁵ Or, more formally, the *specific Gibbs free energy*, a fundamental quantity in statistical mechanics. After the American physical chemist Josiah Willard Gibbs (1839–1903), who made fundamental contributions to thermodynamics, statistical mechanics (he coined this term), and developed modern day vector calculus (independently of Oliver Heaviside). He was one of the holder of the first ever engineering PhD in the US.

2.3.3 The problem with in-situ density

Right, finally! Lets talk about why we mostly don't care about in-situ density if we are considering dynamics, as advertised at the beginning of this chapter, as alluded throughout this chapter where I keep mentioning *potential / conservative* temperature and *potential* density. This following discussion to me was never that intuitive to me (I don't have a very good affinity with *thermodynamics*), but lets give this a go....

Maybe lets start with *how* in-situ density fails in an example before we go onto *why* it fails. Fig. 2.15 shows a meridional section in the Atlantic for sake of choosing something, and the top panel and the blue line shows **in-situ density** $\sigma = \rho - 1000$, which is the density a water parcel would have if you measured its density *at* the depth where you collect the water sample, with $\rho = \rho(T, S, p)$ (and same with σ). The first thing we note that is density is increasing dramatically in depth in an almost linear fashion. Just from the in-situ density data, we have to conclude there is basically no net up and down transport of water, because the ocean is so stably stratified, so there is a negligible MOC. It would also imply there is no strong transport in the Southern Ocean (from *thermal wind shear relation*, see Ch. 5.1.2).



But this is wrong! We know there is up and down transport of water in the ocean, for example in Fig. 2.11 in the salinity signature

Figure 2.15: Meridional section in the Atlantic of (top left) in-situ density and (bot left) potential density referenced to sea level, with the corresponding vertical profiles plotted (right). See `plot_eos.ipynb`

where there is clear signal of water being dragged down from the surface into the interior in the North and South Atlantic. We know there is a strong ACC taking around 130 Sv of transport around the globe, which means we should see tilting isopycnals (from *thermal wind shear relation*, see Ch. 5.1.2). Another thing to observe is that below the thermocline and haloclines in Fig. 2.7 and 2.10, the temperature and salinity is relatively constant, but there is a fairly substantial increase in the in-situ density, indicating something else is at influencing the density (it's because of pressure p). We do have a MOC, and there are additional signatures in other chemical tracers that serve as a *proxy* for age of watermass last in contact with the atmosphere (e.g. radioactive Carbon), but I think this is enough evidence to point to in-situ density being an unsuitable measure for density from a circulation point of view, at least when the deep ocean is involved. By contrast, the bottom panel and orange line in Fig. 2.15 shows the *potential temperature* (referenced to the sea surface), and lo and behold! Everything seems to be consistent again, where we have a pycnocline, the deeper parts where the ocean stratification decreases to a constant, tilting of isopycnals in the Southern Ocean, and so forth. So what is this potential density, and what is going on?

You might have guessed, the culprit is pressure, and potential density is a measure that removes *some* (not all) contributions from pressure to the density. So the complication with seawater, while not as 'squishy' as air, is still *compressible*, so if the pressure is high enough the a parcel of water could be compressed. Seawater remember is very heavy ($\rho_0 = 1026 \text{ kg m}^{-3}$), so if you imagine a parcel of water below the sea surface, the pressure pressing down on the parcel would be approximately related the amount of water about the parcel³⁶. So naturally there is a squashing of the water parcel below the ocean surface.

One concept we need to introduce is that of **work done**. Suppose we have a water parcel at some depth, the inward and outward pointing forces balance (so there is no net motion), and the equilibrium position is given by the black dashed line in Fig. 2.16; the inward pointing forces would be external pressure, and outward pointing force would be some internal pressure of the fluid which is trying to resist being squashed. Then, to squash the parcel further, we need to increase the external forces (assuming here the outward force is just whatever the parcel needs to do to resist being squashed), but to do this, we need to put **energy** into the system, i.e. by doing work. If we did this, we *added* to the internal energy of the parcel, because we put work into the system, and we also decreased the volume. If we regard temperature and energy as related (e.g. Eq. (2.4)), then the parcel should also experience an increase in

³⁶This is the *hydrostatic approximation*; see Ch. 3.1.3.

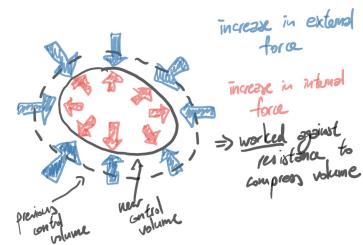


Figure 2.16: Working to compress a volume.

temperature.

Now contrast this parcel where we put work in, with one where it was hypothetically moved to the deeper part of the ocean without us putting work in or it exchanging mass or heat with the surrounding. Now, the internal energy content is exactly the same, by the assumption of us not having done any work on it. However, the natural external pressure is larger, so this water parcel volume decreases. Because the volume has decreased but internal energy is the same, the temperature as measured at this depth of this water parcel (the **in-situ temperature**) *increases!* Additionally, we have the same amount of ‘stuff’ but the volume decreases, so the *in-situ* density increases! **BUT THERE IS NO CHANGE IN INTERNAL ENERGY, AND NOTHING HAS BEEN DONE TO THE WATER PARCEL SO TO SPEAK!**

This effect is particularly noticeable when we go deep, with the signal in in-situ temperature. Fig. 2.17 shows the in-situ temperature T and potential temperature θ profile with depth in the Mariana Trench in the Pacific, which goes beyond 10,000 m depth. Note that the T profile after a certain point *increases* with depth, denoting unstable stratification, and we might expect to see overturns that erode these unstable gradients, so we shouldn’t even be seeing these things in the first place! This kind of configuration surely cannot exist, unless there is an accompanying increasing in salinity (there isn’t). By contrast, the use of θ gets rid of this effect, and indicated there is a weak stratification at depth at least in terms of temperature.

When we are talking about dynamics, we are interested in forces, and forces in particular do work. Thus we need a way to distinguish quantities that are dynamically relevant from the point of view of work done, and get rid of misleading and undynamical effects arising from natural pressure, such as those arising when we are considering in-situ temperature and density.

2.3.4 Potential density and neutral density

When we are talking about quantities that are potential we need to define a *reference depth* (and therefore a *reference pressure*). **Potential temperature** θ of a water parcel is the temperature this parcel would have if you went to the depth of that water parcel, put it in a plastic bag and seal it, move it to some other depth, and measure the temperature of that bagged up water parcel has at that depth after it has relaxed naturally³⁷; see schematic in Fig. 2.18. Usually sea surface is used as the reference depth, but in principle other depths maybe be used.

Potential density referenced to the sea surface ρ_θ would be the density computed from the appropriate EOS with the potential tem-

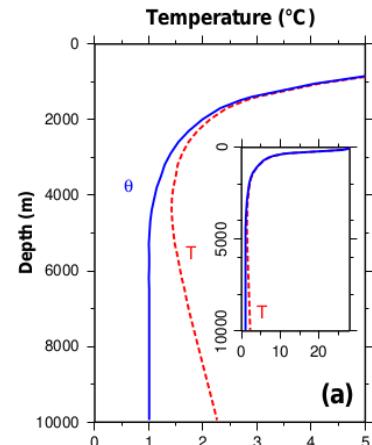


Figure 2.17: Vertical profile of in-situ (red) and potential temperature (blue) in the Mariana Trench to highlight the differences. From Talley *et al.* (2011) Fig 4.10(a).

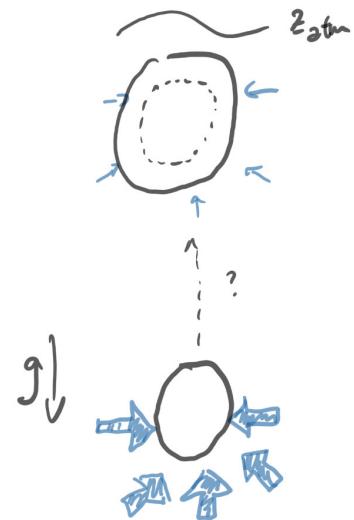


Figure 2.18: Natural relaxation, volume change, but no work done necessarily.

³⁷ More accurately we consider moving the parcel to some other depth *adiabatically*, i.e., without exchange of mass and heat with the surrounding.

perature θ , and the reference depth and pressure used to compute θ , i.e. if P_{atm} is used to compute θ , then $\rho_\theta = \rho(P_{\text{atm}}, \theta, S)$. Depending on the application, $\rho_{1,2,3,4}$ are also seen if the reference depths (and the related pressures) of $1/2/3/4000$ m are used. Examples are seen in Fig. 2.19. The choice of reference makes a difference depending on the ocean depth of focus, as potential density doesn't remove all pressure contributions. Compare this with the linear EOS as a leading order approximation near the reference: the method is good near the reference but is not as good elsewhere.

The **neutral density** denoted γ^n can be thought of as the continuous analogue of potential density, where the references are all local. Then the idea is that at every point in the ocean over a very small region there is a direction that the parcel can move without experiencing any buoyancy forces, so this is the along-isopyncal direction (or *epineutral* direction). So one would think we can construct these **neutral surfaces** and water parcels have to move along these surfaces. Unfortunately it turns out you can prove these surfaces generally don't exist! Saying that, you can get very good approximations to them, and in practice it is these approximations that are used. There are existing algorithms to work these out, and sometimes (approximate forms of) γ^n are used to identify watermasses (see Ch. 5.2.1).

Summary and further reading

We close this section by noting again that, **FROM A DYNAMICAL POINT OF VIEW, IT'S ALMOST NEVER IN-SITU DENSITY YOU CARE ABOUT!** Unless you are really close to the sea surface, otherwise the irrelevant compressibility effects arising from (hydrostatic) pressure needs to be removed for the resulting data to tell you things that are actually relevant.

Science and scientific standards are continually evolving, as more research is carried out, sometimes meaning what we might have treated as gospel truth is, in fact, not, and we can potentially do a bit better. For example, for a long time it was international standard to use practical salinity and it was a good idea to append units to something that was non-dimensional (GET RID OF THE PSU!) Now this is no longer true, as practical salinity is being recommended to be phased up and replaced with absolute salinity³⁸. Neutral density for a long time was touted as the best thing, and increasingly there are better ideas and/or approximations coming through (e.g. *topobaric surfaces* from Stanley (2019), *Ocean. Modell.*, in Fig. 2.20.

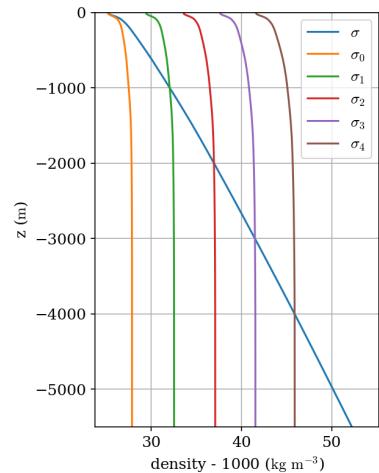


Figure 2.19: Vertical profiles of in-situ and potential density (referenced to various depths) at the same location as in the previous graph. See `plot_eos.ipynb`

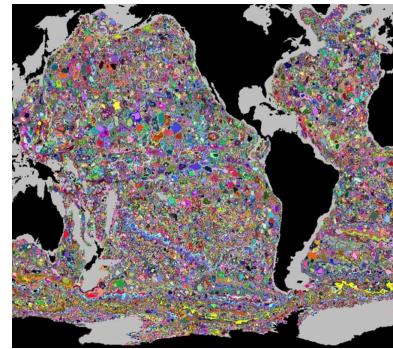


Figure 2.20: Topobaric surfaces, an almost neutral surface. From Stanley (2019), *Ocean. Modell.*, Figure 4.

³⁸ The better practice really is to record the raw data, from which processed data may be derived, and having a trail leading back to the primary data, which is what is being advocated..

Chapter exercises

1. What are the units of buoyancy $b = -(\rho/\rho_0)g$?
2. Why is the statement "*a pig weighs around 200 kilograms*" not technically correct?
3. Look up the specific heat capacity of air at around room temperature (300 K say) and compare this with the specific heat capacity of water. Is this what you expected? if you put the amount of energy that it takes to warm up 1 kg of seawater by 1 K, how much would 1 kg of air roughly warm up by?
4. For a further challenge, make an estimate of how much volume 1 kg of air occupies, estimate the volume of the atmosphere, work out the amount of energy it takes to raise that by 1 K, and the volume of sea water that could be raised 1 K by this amount of energy. Given this volume and that we know the area the ocean covers, what is the associated depth?
5. Chemistry one: how much you expect conductivity (and hence salinity measurements) to depends on temperature? Justify your answer.
6. Explain why we expect outgoing long-wave radiation Q_{lr} to correlate well with SST patterns.
7. In Fig. 2.10 we see that at certain locations salinity increases as we go up from the bottom towards sea surface. Why does this not necessarily imply an unstable density stratification?
8. In the linear EOS used in Eq. 2.7 as written, how should we interpret the density, as in-situ, potential, or some others? Does it matter? What about for the nonlinear EOS in Eq. 2.7 as written? What about in the same nonlinear EOS Eq. 2.7 but with the thermobaric terms added in (you'll need to look this up in [Roquet et al 2015 eq 15](#))?

3 Mechanical forcing

3.1 Gravity and pressure

3.1.1 Gravity

3.1.2 Pressure

3.1.3 Hydrostatic balance

3.2 Coriolis effect

3.2.1 Rossby number

3.2.2 Geostrophic balance

3.3 Wind forcing

3.3.1 Observed winds

Heating at equator leads to air moving up vertically at the equator, and through a combination of rotational effects and cooling with moving higher in latitude, the air is seen to descend around 30° N/S.
After English lawyer and meteorologist George Hadley (1685-1768).

3.3.2 Momentum transfer Ekman boundary layer

3.3.3 Ekman transport, spirals, and pumping/suction

3.4 Viscosity, friction and all that

3.4.1 Reynolds number and Ekman number

Further reading

Chapter exercises

1. If you are at sea level you experience a pressure of 1000 mb, or 1 atmospheric pressure (1 atm), i.e. there is one Earth atmosphere's pushing down on you. Work out via hydrostatic balance the

pressure you experience just from having 10 m of sea water above you (with no atmosphere above you), assuming for simplicity that $\rho_{\text{sea}} = 1000 \text{ kg m}^{-3}$ and $g = 10 \text{ m s}^{-2}$. What is the pressure in units of mb if you are 1000 m below the ocean (with no atmosphere above you)?

2. Using the above calculation and assumptions, calculate the largest hydrostatic pressure (in atm) due to just sea water experienced by Captain Nemo's *Nautilus* in Jules Verne's novel. (Wikipedia will help you here; the answer is not $20000 \times 4 \times 1000/10 = 8 \times 10^6$ atm!)
3. In the general form the Coriolis effect is given by the term $-\boldsymbol{\Omega} \times \boldsymbol{u}$. Using the properties of the cross product, without calculations (so draw pictures or reason it out), rationalise that for a horizontal flow parallel (tangent really) to the Earth's surface at the equator there is no horizontal Coriolis effect acting on this flow (hence why $f = 0$ at the equator).
4. Show the above mathematically (probably want to use cylindrical co-ordinates for this).

4 Wind-driven gyre theory

Here we give a first example on how to put a good portion of what we learnt so far to provide a dynamical explanation for *gyres* (note the use of a rather than the in this sentence though). While the focus will be on the classical wind-driven gyre theory, see the end of chapter for some complementary descriptions. The wind-driven gyre to me is a particularly good example of a good simple *model*: you learn stuff because the model works, but you *also* learn stuff because the model *doesn't* work 100%!

4.1 Recap: winds and subtropical/subpolar gyres

Recall from Ch. 1 that we have the anti-cyclonic subtropical gyres and cyclonic subpolar gyres in both hemispheres, and associate with these gyres are Western Boundary Currents that tend to flow polewards (at least from surface observations). Recall also from Ch. 3 that, starting from the equator and going towards the poles (again in both hemispheres), we have the trade winds, prevailing Westerlies, and polar winds that lead to an alternating wind pattern over the subtropics, mid-latitudes and polar regions respectively, with the gyre currents in the same direction as the wind forcing. This is not a coincidence, and from intuition (e.g. energetic point of view) it's kind of hard to see how else it could be.

However, the energetic kind of argument does not entirely explain why we should have *Western intensification* and Western Boundary Currents: we could just have a broad flow which might at first sight be more dynamically favourable (e.g. broader current has less shear and should be less *unstable*; see Ch. 6). Here we provide a largely pictorial argument as to why we should have western intensification¹. The main ingredients and broad logical deduction we will talk about are as follows:

1. dissipative/diffusive effects weak away from land boundaries
2. *Sverdrup balance*, relating the wind stress *curl* with the interior flow

¹ Important note: you get the *why* but not the quantitative aspect of how narrow the Western Boundary Current might want to be, although it does suggest where to look nice, which in my view is one of the strengths of the theory.

3. *mass conservation* implies configuration with essentially two orientations
4. *vorticity balance* sets the orientation and it needs to be on the West, intensification because transition has to occur over the (Stommel) boundary layer length.

4.2 *β -plane and toy model set up*

For the intended purposes we first start by introducing more formally a concept that we have used previously when talking about the Coriolis effect in Ch. 3 called the **β -plane**.

4.3 *Sverdrup balance*

4.4 *Vorticity balance*

4.5 *Exercises*

1.

5 *Meridional Overturning Circulation (MOC)*

Really gyres should be here but not...

5.1 *Southern Ocean*

5.1.1 *Overturning*

5.1.2 *Thermal wind*

5.1.3 *Form stress*

5.2 *Global MOC*

5.2.1 *MOC and watermass identification*

5.2.2 *Conveyor belt picture (but why we prefer to use MOC)*

5.2.3 *How does water go down...?*

1.3.2

5.2.4 *How does water come up...?*

6 *Dynamics*

Hopefully the last chapters on the gyres and the MOC has convinced you somewhat the importance of *small(er)-scale dynamics* in the multi-scale system that is the ocean. Motion at the large-scales can lead to small-scale motion via *instabilities*. Waves can be excited by these instabilities or other forms of forcing. To add to the mix, the small-scale motion can interact and lead to feedback onto the large-scale motions, modifying the things that generated/co-exists with the small-scales in the first place. This overall topic of *wave/eddy-mean interaction* is of theoretical interest as a fundamental problem in geophysical fluid dynamics, but also has important practical consequences (e.g. *parameterisation of sub-grid physics* in numerical models used in predicting ocean/atmosphere weather and/or climate). Here we are only going to talk about how the mean (large-scale motion) generates the waves/eddies (small-scale motion), but only marginally touch on the converse aspect (because it's kind of hard!)

6.1 *Waves*

6.1.1 *Concepts*

6.1.2 *Gravity waves*

6.1.3 *Inertial waves*

6.1.4 *Internal waves*

6.2 *Instabilities*

6.2.1 *Static instabilities (i.e. density related mostly)*

6.2.2 *Shear instabilities (i.e. flow related mostly)*

6.3 *Tides*

6.3.1 *Astronomical forcing*

The eagle eye among you will of course note that, for large-scale flow, flow and density are of course related through thermal wind shear relation.

6.3.2 Modes**6.4 Misc. random extras**

Westward control?

7 Observations techniques

7.1 *Recap: what do we actually want?*

7.1.1 *subsection*

7.2 *In-situ observations*

7.2.1 *Fixed stations*

7.2.2 *Ships*

7.2.3 *Various bits of equipment*

7.2.4 *Marine mammals*

7.3 *Remote observations*

7.3.1 *Satellites*

7.3.2 *Radar*

7.3.3 *Acoustic tomography*

8 *Dynamics in not-oceans*

8.1 *What is so different now?*

8.1.1 *subsection*

8.2 *Shelf dynamics*

8.2.1 *Ekman upwelling*

8.3 *Coastal dynamics*

8.3.1 *Coastal upwelling*

8.3.2 *Rip currents*

8.4 *Some biogeochemistry?*

9 *Bibliography*

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