

Total Surface Current Vector and Shear from a Sequence of Satellite images: Effect of Waves in Opposite Directions

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Abstract

The Total Surface Current Velocity (TSCV) - the horizontal vector quantity that advects seawater - is an Essential Climate Variable, with few observations available today. The TSCV can be derived from the phase speed of surface gravity waves, and the estimates of the phase speeds of different wavelengths could give a measure of the vertical shear. Here we combine 10-m resolution Level-1C of the Sentinel 2 Multispectral Instrument, acquired with time lags up to 1s, and numerical simulation of these images. Retrieving the near surface shear requires a specific attention to waves in opposing direction when estimating a single phase speed from the phase difference in an image pair. Opposing waves lead to errors in phase speeds that are most frequent for shorter wavelengths. We propose an alternative method using a least-square fit of the current speed and amplitudes of waves in opposing directions to the observed complex amplitudes of a sequence of 3 images. When applied to Sentinel 2, this method generally provides more moisy estimate of the current. A byproduct of this analysis is the “opposition spectrum” that is a key quantity in the sources of microseisms and microbaroms. For future possible sensors, the retrieval of TSCV and shear can benefit from increased time lags, resolution and exposure time of acquisition. These findings should allow new investigations of near-surface ocean processes including regions of freshwater influence or internal waves, using existing satellite missions such as Sentinel 2, and provide a basis for the design of future optical instruments.

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2 **Sequence of Satellite images: Effect of Waves in**
3 **Opposite Directions**

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10 **Key Points:**

- 11 • Phase shifts in lagged pairs of satellite images yield information on near surface
12 current and shear
- 13 • Waves in opposite directions can corrupt current estimates in particular for wave-
14 lengths under 25 m
- 15 • A sequence of 3 images gives a separation of waves in opposing direction and a
16 current estimate

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Plain Language Summary

Measuring ocean surface current and its vertical variation is important for a wide range of science questions and applications. A well known technique for measuring currents from ocean surface images is to follow the motion of wave crests from one image to another, measuring their celerity. The values obtained for different wavelengths gives access to an estimate of the current at different depths. When using only two images, the technique breaks down if there are waves travelling in opposing directions with comparable energy levels. Here we generalize the technique to a sequence of 3 images that allows to separate the waves in opposing directions. We show that this is an important improvement for measuring the celerity of the shorter wave components because there are generally waves in opposing directions with significant energy for wavelengths shorter than 25 m. Applications of the method to existing data from the Sentinel 2 satellite is difficult due to short time differences between image acquisitions. Several improvements on the Sentinel 2 sensor are proposed for a specific instrument that would measure surface current and shear.

1 Introduction

Surface current velocities play an important role in many ocean processes, including the flux of kinetic energy from the atmosphere to the ocean (Wunsch & Ferrari, 2009), air-sea fluxes (Cronin et al., 2019), and the transport of buoyant material (Maximenko et al., 2019). Different observation systems have been proposed to measure the surface current in a wide range of conditions. Barrick (1977) and many others have developed land-based HF radars that rely on the dispersion relation of surface gravity waves, while open ocean conditions are very sparsely monitored by a wide range of techniques that differ in their effective depth of measurement, as illustrated in Fig. 1. In situ moorings are typically limited to measurements at depths larger than 5 m, away from the layer where the Stokes drift of surface gravity waves is strong. In particular, Surface Velocity Program (SVP) drifters have been designed to have the least influence of wave motions in their measurements thanks to a drogue centered around 15 m depth (Niiler & Paduan, 1995; Lumpkin et al., 2017). In the absence of that drogue, the drifter measures a not so clear combination of wind and surface current speeds (Elipot et al., 2016). The

67 surface drifts of Argo floats have also been used (Lebedev et al., 2007), and, for the lack
 68 of a better alternative, satellite remote sensing can be used, combining scatterometer winds,
 69 sea level anomalies from altimeters, and a combination of drifters and satellite gravime-
 ters for the Mean Dynamic Topography (Rio et al., 2014).

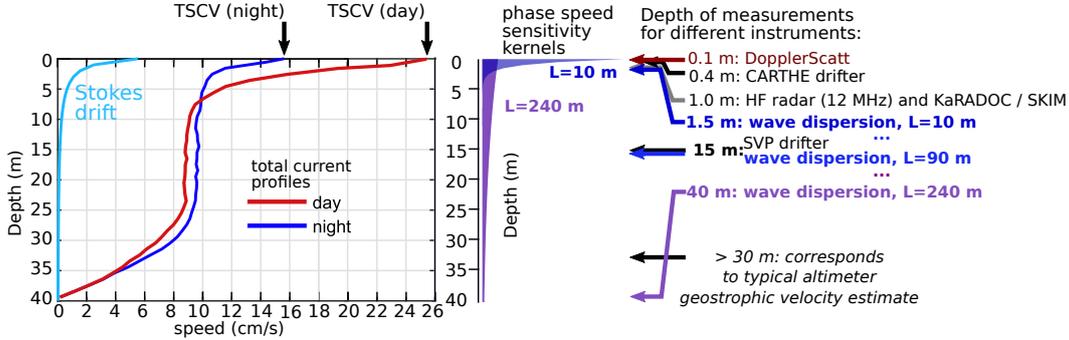


Figure 1. Left: typical day and night velocity profiles of the total current in the Atlantic at 26N , 36W (adapted from Sutherland et al. 2016). Center: sensitivity kernels for surface gravity wave phase speeds. Right: depth of measurement of different instruments. From top to bottom: DopplerScatt (Rodríguez et al., 2018), CARTHE drifters (Novelli et al., 2017), HF radars at 12 MHz (Stewart & Joy, 1974), near nadir Ka-band radars such as KaRADOC (Marié et al., 2020).

70

71 These estimates of the near-surface current can have significant differences, in part
 72 due to the sampling of different depths as illustrated in Fig. 1. Each measurement sys-
 73 tem provides a horizontal current velocity that is a convolution of the vertical profile of
 74 the velocity. For simplicity, it is convenient to define a "measurement depth" that can
 75 be taken at the depth at which a linearly varying current takes the given value. We note
 76 that DopplerScatt involves an empirical Geophysical Model Function and thus the physics
 77 of the measurement are not completely understood but the backscatter dominated by
 78 short gravity waves suggests a measurement depth under 0.1 m, whereas near-nadir radar
 79 measurements, such as performed by the KaRADOC instrument (Marié et al., 2020) give
 80 a velocity that is weighted by the surface slope spectrum and corresponds to a measure-
 81 ment depth does not vary much around 1 m depth. It is thus desirable to measure the
 82 vertical shear of the current in order to be able to compare or combine these estimates.
 83 The shear is also an important indication of mixing or lack thereof, giving information
 84 on possible upper ocean stratification.

Shear estimates have used the wave dispersion modification due to the current vec-
 tor, defined by the two components $U_x(z)$ and $U_y(z)$ of the horizontal current profile (Stewart
 & Joy, 1974). For completeness, a non-linear wave correction should also be included (Broche
 et al., 1983; Ardhuin et al., 2009), which is almost the same as replacing the Eulerian
 mean current by the Lagrangian mean current (Andrews & McIntyre, 1978). We thus
 expect, for $kD \gg 1$,

$$U(k, \varphi) \simeq U(k) \cos(\varphi - \varphi_U) = \int_{-D}^0 U_x(z) \exp(2kz) dz \cos \varphi + \int_{-D}^0 U_y(z) \exp(2kz) dz \sin \varphi. \quad (1)$$

85

86 Obtaining current shear from a sequence of images has been done from many sen-
 87 sors including stereo-video imagery (Fedele et al., 2013), X-band radar (Campana et al.,
 88 2016) or polarimetric imagery (Laxague et al., 2018). In all cases it requires reliable es-

89 timates of $U(k, \varphi)$, for different wavelengths, including the shortest components, and this
 90 is performed by identifying propagating waves in the three-dimensional (3D) Fourier trans-
 91 form of the measured signals (Young et al., 1985; Peureux et al., 2018). A great oppor-
 92 tunity is offered by satellite imagery with accurately co-registered views of the same ocean
 93 surface with short time lags. This is particularly the case of Sentinel 2 imagery has been
 94 used to estimate surface current (Kudryavtsev et al., 2017b). The Sentinel 2 Multispec-
 95 tral Instrument (Drusch et al., 2012) has very strict co-registration requirements that
 96 make it possible to observe the signature of current velocities of the order of 1 m/s (Yurovskaya
 97 et al., 2018). Compared to methods that use a series of many images processed with a
 98 3D Fourier transform, the analysis of only a few images is more difficult because of the
 99 very poor temporal resolution that does not give a full spectrum in the frequency do-
 100 main. In particular the linear wave signal is not so easily separated from other contri-
 101 butions to the measurement.

102 The objective of the present paper is to discuss the influence of this limited time
 103 sampling on the accuracy of surface current estimates, in the presence of waves prop-
 104 agating in opposing directions, starting with the 2-image method used by Kudryavtsev
 105 et al. (2017b), as discussed in Section 2. In order to demonstrate the different process-
 106 ing steps and the influence of the image properties, we rely on the comparison of true
 107 data and simulated images generated using the simulator described in Appendix A. Due
 108 to the possible corruption of phase speeds by waves in opposing directions, we propose
 109 a new method using sequences of 3 images, as described in Section 3 with details given
 110 in Appendix B. Discussions and conclusions follow in Sections 4 and 5. This paper does
 111 not address issues associated to systematic errors in the spatial registration on a global
 112 reference system with sub-pixel accuracy. These are partly discussed in Käab et al. (2016)
 113 and Yurovskaya et al. (2019) and will be the topic of future work.

114 **2 Effect of waves in opposite directions with 2-image sun glint method**

115 **2.1 Short waves in opposing directions**

116 Pictures of the sun glint reveal wave patterns that are caused by the tilting of the
 117 sea surface by waves with wavelength larger than the pixel, adding their long wave slope
 118 to the local slope probability density function, and thus changing the pixel brightness.
 119 This effect has been described in many papers including Kudryavtsev et al. (2017a), and
 120 the geometry of the measurement is defined in Fig. 2. A key concept is that the surface
 121 can be decomposed in facets with a size of the order of 1 mm by 1 mm, scale at which
 122 the sea surface is well approximated by a plane. There are thus a large number of such
 123 facets in a typical image pixel (10 m by 10 m for some of the bands of the MSI sensor
 124 on Sentinel 2) but the number of those that correspond to the specular direction can be
 125 relatively small, of the order of 100, while their brightness also varies, introducing ran-
 126 dom fluctuations in the image brightness.

As shown in Fig. 2.b for a spherical Earth, the satellite position S and observation
 point O correspond to a zenithal angle θ_v , related to the off-nadir angle γ by the law of
 sines,

$$\sin \gamma / R_E = \sin(\pi - \theta_v) / (R_E + H). \quad (2)$$

Because the time of acquisition of the different pixels is not available in the Level-
 1C Sentinel 2 product, it can be retrieved from the provided view geometry. For exam-
 ple color band B01 is acquired at time t_1 when B02 is acquired at time t_2 , the time dif-
 ference is given by the ratio of the angular distance $\alpha_{1,2}$ between the two nadir points
 N_1 and N_2 , as depicted in Fig. 2.c, and the angular speed along the orbit Ω (in rad/s).
 The angular distance $\alpha_{1,2}$ is obtained from the law of cosines on the sphere,

$$\cos \alpha_{1,2} = \cos \alpha_1 \cos \alpha_2 + \sin \alpha_1 \sin \alpha_2 \cos(\varphi_2 - \varphi_1). \quad (3)$$

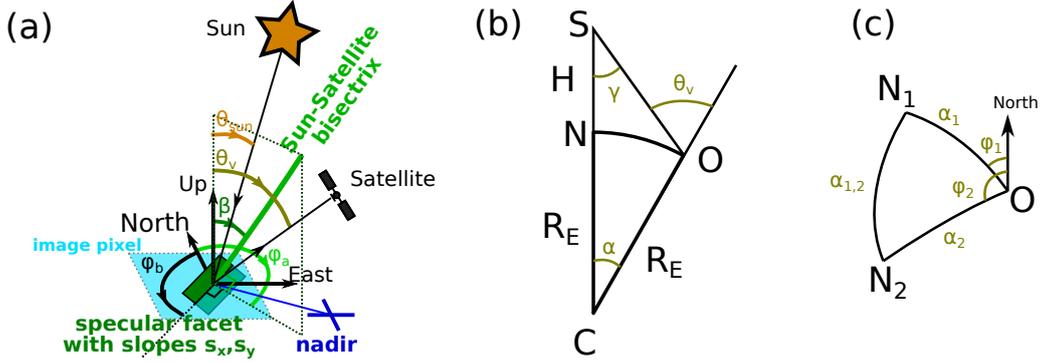


Figure 2. (a) Definition of viewing angles corresponding to a given sun and satellite sensor positions. The image brightness of a pixel is defined by the area of sub-pixel facets (in green) that gives a specular reflection and thus must have a given surface slope vector (s_x, s_y) . That area is proportional to the probability density function within that pixel for the slope (s_x, s_y) . This slope corresponds to the zenith angle β and azimuth φ_a . The perpendicular azimuths $\varphi_b = \varphi_a \pm \pi/2$ are "blind azimuths" in which the waves contribute a second order change to the pixel brightness and cannot be observed. (b) Position of satellite (S), observation point (O) and center of the Earth (C) in a vertical plane. (c) Triangle on the sphere joining the observation point O and the nadir positions N_1 and N_2 at observation times 1 and 2.

127 This typically gives distances and time lags within 1% of the expression given by eq. (1)
 128 in Yurovskaya et al. (2019).

129 In order to illustrate the limitations of the 2-image method, we start from the same
 130 image example that was used in Kudryavtsev et al. (2017a), acquired off the California
 131 coast in the region of San Diego. The image processing method is illustrated in Fig. 3.
 132 In order to understand the processing results, we also have generated simulated images
 133 and applied the exact same processing to the them.

134 The image simulator is described in more detail in Appendix A, and corresponds
 135 to the forward model of Kudryavtsev et al. (2017a), combined with a noise model. For
 136 our first example, the model input parameters are the Sentinel 2 viewing geometry, an
 137 estimate of the surface wind vector given by satellite scatterometer data, and a direc-
 138 tional wave spectrum that is estimated from an in situ buoy. The buoy is station num-
 139 ber 220 of the Coastal Data Information Program (CDIP) located at 32.752N 117.501W,
 140 also identified by the World Meteorological Organization with the number 46258.

141 In order to obtain a more robust estimation of the current speed, we used a phase
 142 estimated from the coherent sum of the complex amplitudes obtained from individual
 143 image tiles that are 500 m wide. We first sum the $16^2=256$ tiles, and then add 15^2 tiles
 144 that are shifted by 250 m in each direction in order to use the signal that is otherwise
 145 much reduced by the 2-dimensional Hann window. This gives 512 degrees of freedom for
 146 each spectral estimate.

147 The shortest waves that propagate along the x or the y axis in the image have a
 148 20 m wavelength. Their phase speed, for zero current, is expected to be 5.6 m/s and they
 149 should be displaced by 0.6 m between the red and the blue channels that are separated
 150 by 1.0 s, and only 0.3 m between the red and green. This distance is much smaller than
 151 the 10 m pixel size, and smaller than the requirement for co-registration of the MSI sen-
 152 sor set to 3 m for 3 standard deviations (Drusch et al., 2012). However, this is easily picked

Figure 3. Example of processing from Level-1C images to phase speeds, using 500 x 500 m tiles over a 8 by 8 km area, giving 512 degrees of freedom. Top: data from Copernicus Sentinel 2 on 29 April 2016 off California (See Figs. 3-9 in Kudryavtsev et al. 2017), with $\theta = 9^\circ$, $U_{10} = 6$ m/s. Bottom: simulated S2 data based on in situ wave spectrum determined from directional moments using the Maximum Entropy Method, and with random phases. The multiplicative noise amplitude is set to $N_t = 0:15$. The present paper was motivated by the phase speed anomalies, highlighted with the dashed magenta circle near the Nyquist wavelength $L = 20$ m.

153 up by Fourier analysis. In fact, Fig. 3 shows that the phase speeds down to 25 m wave-
 154 length are consistent with linear wave theory. However, between 25 m and 20 m waves
 155 large fluctuations of the order of 1 m/s are found, and these vary strongly with the choice
 156 of azimuth θ . Such fluctuations are not included in the surface current estimates made
 157 by Yurovskaya et al. (2019), because these authors exclude spectral components with a
 158 coherence under 0.8. This coherence, denoted "coh" in the following equations and fig-
 159 ures, is also called magnitude-squared coherence. We note that this threshold is equiv-
 160 alent to a standard deviation of the co-spectrum phase of $4Q$ because for small values
 161 of the phase ϕ in radians, $\text{std}(\phi) \approx \frac{1}{2} \sqrt{1 - \text{coh}}$.

162 However, if the vertical shear in the top few meters is to be measured, we have to
 163 use these shorter wave components. Presumably we could use spectral components with
 164 a lower coherence, hence a larger uncertainty, and use the averaging over a larger num-
 165 ber of spectral components to mitigate this larger uncertainty. For the shorter compo-
 166 nents, with $k \approx 40$ cpkm, the coherence is under 0.35 for all directions, and highest for
 167 $110^\circ < \theta < 120^\circ$, with a corresponding fluctuation of the phase $\text{std}(\phi) \approx 70^\circ$. Inter-
 168 estingly, the same low coherence and high level of phase fluctuation are also present in
 169 the simulated data, even when the noise level is reduced to zero. We found that this pat-
 170 tern was not associated to the amplitude or the additive or multiplicative nature of the
 171 noise in eq. (A1), as long as some energy remains for waves in opposing directions. These
 172 fluctuations in the phase speed for the shortest wave components disappear in the sim-
 173 ulation when the input spectrum is "chopped" to remove waves propagating from the
 174 east (with $k_x < 0$, see Fig. 4). Clearly, the spurious large values of phase speeds for wave-
 175 lengths $20\text{ m} < L < 25\text{ m}$ are associated to a significant level of energy in opposing
 176 directions.

177 Any spectral component $(k; \theta)$ contains information that propagate in both direc-
 178 tions θ and $\theta + 180^\circ$. By interpreting the phase difference $\phi_{\theta; \theta+180}$ as the phase of a single trav-
 179 elling wave, in direction θ if the phase speed is positive, we are assuming that we can
 180 neglect the waves in the opposite direction. In fact, the data is in general the sum of two

329 rent to the value estimated from the phase method and only fit Z_A and Z_B , in that case
 330 the values of H are more realistic, as shown in Fig. 9.e. For that estimate we have also
 331 modified the equations in Appendix B to allow for a different current at times t_2 and t_3
 332 in order to absorb the biases in the image position $(\delta X, \delta Y)_{i,j} = (U_{ij}, V_{ij})(t_j - t_i)$. In-
 333 deed the phase difference $\psi_{2,3}$ gives a velocity vector close to $(-1.8, 0)$ while $\psi_{2,4}$ gives
 334 $(-1, 0)$ corresponding to a 1 m eastward erroneous shift of the B02 image relative to B03
 335 and B04. This inconsistency in the data is not included in the fitted model proposed in
 336 Appendix B and thus contributes to higher errors in the estimate of U . One possibil-
 337 ity may be to recompute the least squares with different velocities over the different time
 338 lags, or to use the phase difference method on all image pairs to estimate deviations from
 339 a constant speed and shift the image before applying the least square method.

340 For our test image, it is thus dubious that the least-square method, as implemented
 341 here, has provided any additional reliable information for short waves compared to the
 342 phase method. Using a more conservative threshold $\varepsilon_r < 0.2$ it is possibly able to slightly
 343 extend the part of the spectral plane from which a velocity can be derived to directions
 344 that are further away from the mean wave direction.

345 Looking beyond the particular case of the bands B02, B03 and B04 of the Sentinel
 346 2 sensor, it is interesting to know how well this method may work, for example on the
 347 future Sentinel 2 Next Generation or on the optical instrument proposed for STREAM.
 348 We have thus simulated the image and its processing, and reduced the noise level from
 349 $N_t = 0.15$ (which looks similar to the true S2 image) to no noise at all with $N_t = 0$.
 350 Without any noise, the least square fit is very good with $\varepsilon_r < 0.1$ for the full spectral
 351 domain, except around the blind azimuth. As a result the input current vector $\mathbf{U} = (-1, 0)$ m/s
 352 is very well recovered. This would not be the case for the shortest components using the
 353 phase method except in the mean direction, giving only one component of the current
 354 vector.

355 The precision on the retrieval of the surface current is further illustrated in Fig-
 356 ure 10, focusing on a narrow range of azimuths, between 110 and 120° . The error bars
 357 give an estimate of the precision of the mean within each spectral bin that are all com-
 358 pletely independent. For the phase-difference method, the smooth variation of the es-
 359 timates across the spectra (within the error bar) confirm that the $O(15 \text{ cm/s})$ precision
 360 for each spectra estimate is realistic. This does not say anything about the accuracy of
 361 the estimate that is dominated by an $O(1 \text{ m/s})$ error due to relative pixel co-registration
 362 errors of the different bands.

363 For the least-square methods, the error bars are more difficult to define given the
 364 heavy tails of the U distribution and the sample size (256 independent spectra giving
 365 256 degrees of freedom for U). It might be possible to use the distribution of residuals
 366 ε_m obtained for the M spectra as given by eq. (5), because they are correlated with er-
 367 rors on U , but we have not found a satisfactory parameterization that would work for
 368 both the academic 1D case of Figure 8 and the true images. If needed, the only robust
 369 uncertainty we can propose is to compute the standard deviation across neighboring spec-
 370 tral components, for example in a 10 cpkm band of wavenumbers. Both the phase and
 371 least square methods agree in the range 25 cpkm to 35 cpkm but there are large biases
 372 of the least-square method for both short and long components as shown in Fig. 10.a.
 373 Although some of these errors could be caused by instrument errors (such as errors in
 374 the retrieved observation angles that could change the estimate time lags and distort the
 375 dispersion relation), it is striking that the simulated data shown in Fig. 10.b gives simi-
 376 lar errors, but slightly weaker, which leads us to think that the biases in the least square
 377 method may be dominated by artefacts of the processing method. We have not yet iden-
 378 tified the source of these errors. We also note that the phase method, in contrast, has
 379 no trend in the simulated data for which the standard deviation of the phase is under
 380 60° .

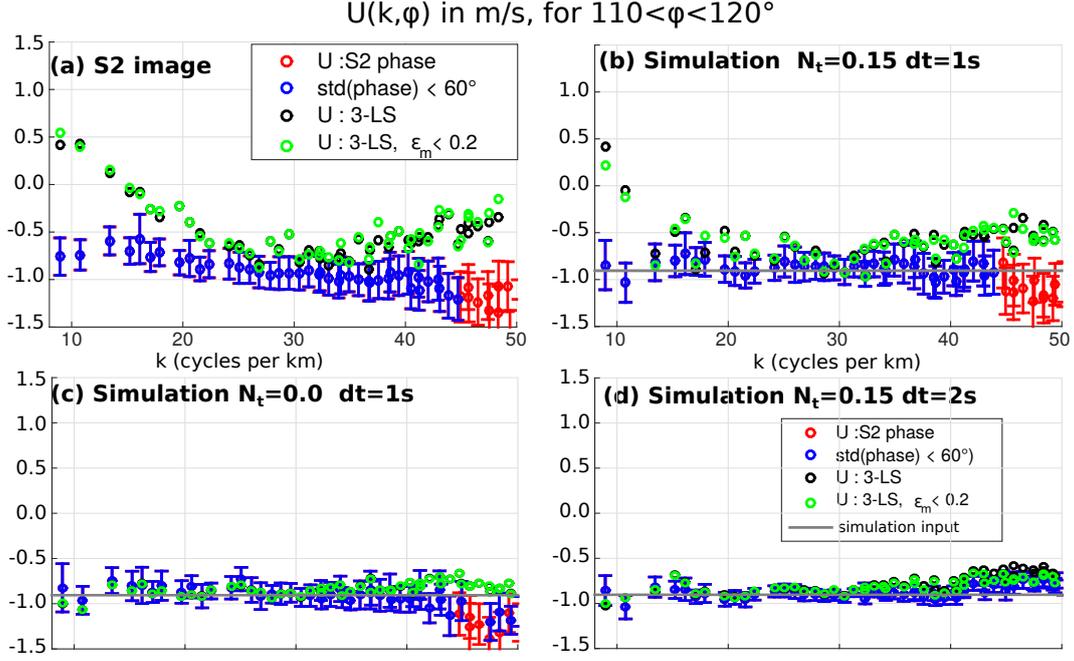


Figure 10. Comparison of different current estimates for waves in azimuths 110° to 120° for (a) Sentinel 2 data using bands B04, B03 and B02, and simulated data with the (b) same time lag and similar noise level, or (c) no noise, or (d) a doubled time lag. For the phase difference method (red and blue symbols) the error bars shows the mean value obtained for each spectral component plus or minus one standard deviation divided by the square root of the number of estimates. We have also tested (in green) using a sub-sample of the least-squares, keeping only those with small values of the residual ε_m .

381 We can think of at least two ways of reducing the phase noise and least square errors.
 382 A first possibility may be to reduce the noise of each acquired pixel image, possibly
 383 by increasing the integration time to a value larger than several times the life time
 384 of specular points, i.e. 10 milliseconds or more. This is clearly not feasible for a push-
 385 broom system like the MSI on Sentinel 2 in which the duration of acquisition of each pixel
 386 is less than the pixel size (10 m) divided by the ground velocity (7 km/s), i.e. 1.4 ms.
 387 However, it is feasible to use a push-frame technique that would repeatedly acquire a full
 388 frame at a high frame rate with a large overlap between consecutive frames. A second
 389 possibility, without changing spatial resolution, is to increase the time separation of the
 390 images so that the mean phase difference is much larger, making random phase differ-
 391 ences comparatively smaller. Here we limit the test to a doubling of the time lags in or-
 392 der to avoid the complication of phase ambiguities using both the phase difference method
 393 (for which the phase could be shifted by multiples of 2π) or the least squares method
 394 (for which several minima may be found). Fig. 10.c,d shows that realistically noisy im-
 395 ages with a doubled time lag are preferable to a noise-free image with the same time lag.
 396 This is easy to understand in the case of the phase difference method: the larger phase
 397 difference makes the random-phase noise a relatively smaller term in the phase differ-
 398 ence. The uncertainty on U is inversely proportional to the time difference. This tests
 399 also highlight the importance of coherence loss that is not associated to noise and, be-
 400 sides waves in opposing directions, can come from the combination of finite spectral res-
 401 olution and dispersion.

402 A first verification of this advantage of larger time lags is provided by using the B12
 403 and B11 band, that are acquired 1.1 s and 0.5 s before B04, which is here 1 s before B02
 404 (this ordering correspond to the even detectors on S2, it is reversed for the odd detec-
 405 tors). Hence combing B12 with B11 and B02, giving a maximum time lag of 2.1 s. How-
 406 ever, the spatial resolution of B12 is only 20 m, we have thus averaged B02 over 2 by 2
 407 pixel boxes to provide images at the same resolution, including a 1 m westward shift of
 B02 to corrected for the error noted above. These results are illustrated in Fig. 11. We

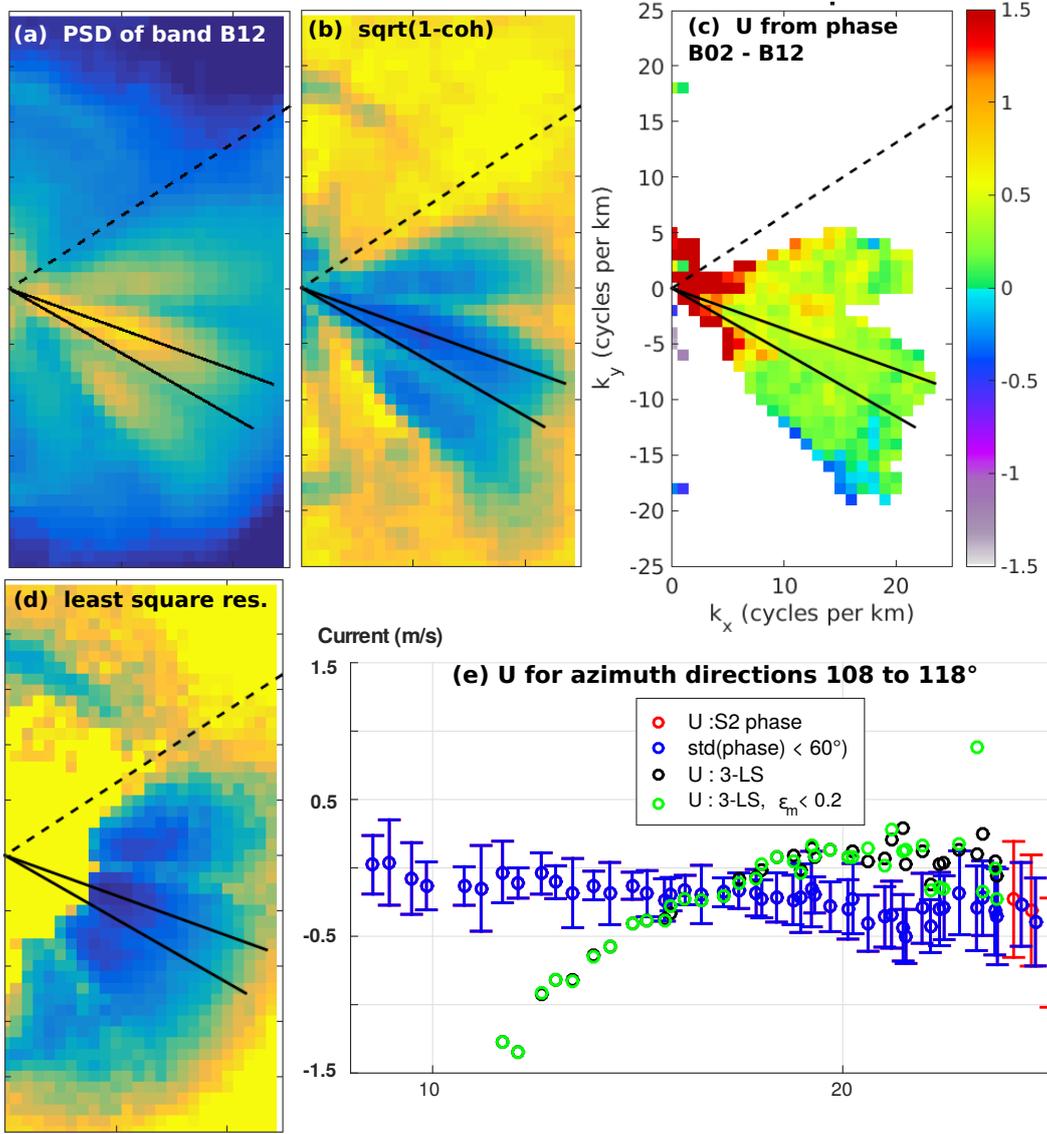


Figure 11. Example of results with a larger time lag of 2.1 s but coarser ($dx=20m$) using B12 and B02 bands. In order to better resolve the longer waves, the spectral analysis was done here with 1 km by 1 km tiles.

408 first note that the shape of the spectrum, here resolved at higher spectral resolution, shows
 409 a 3-lobe structure with minima of the image PSD and coherence for the azimuths 100°
 410 and 125° , these are probably due to artefacts of the Level 1-C processing. For the waves
 411 in the direction of highest coherence, $108^\circ < \varphi < 118^\circ$, the uncertainty on U obtained
 412

413 in the range of wavenumbers 10 to 20 cpkm is as low as 0.1 m/s in spite of the average
 414 of only 64 independent tiles (compared to 256 for Fig. 10.a). Combining all the 25 spec-
 415 tral components available from 10 to 20 cpkm gives an uncertainty of 3.4 cm/s, which
 416 we estimated from the mean of the uncertainties divided by the square root of the num-
 417 ber of spectral components. Performing the same analysis on 20 m box averages of B03
 418 and B02 gives a 5.8 cm/s uncertainty. It is therefore beneficial to use the largest time
 419 lags for estimating the current speed from wavelength between 50 and 100 m. However,
 420 we note that the least square method gives rather puzzling results that we do not un-
 421 derstand, with a variation of the estimated current as a function of wavenumber that is
 422 large and not random.

423 In the case of the waves shorter than 40 m wavelength, that are only resolved in
 424 the 10 m images such as given with bands B02 and B04 with 1 s time lag, the uncertainty
 425 of U from the phase difference method for wavenumbers from 30 to 40 cpkm is larger
 426 at 4.8 cm/s due to the opposing effects of a lower coherence and a larger number of spec-
 427 tral estimates.

428 4 Discussion: consequences for surface current velocity and shear re- 429 trieval

430 From the consistency of the velocity estimates for all spectral components, and in
 431 the particular case of the image analysed in Fig. 2 and 11, we find that Sentinel 2 im-
 432 agery is capable of providing a velocity precision of the order of 3 to 5 cm/s for spectral
 433 ranges of 10 cycles per kilometer. These uncertainties are of the order of the differences
 434 in the advection speed of the different spectral components due to a typical vertical cur-
 435 rent shear in the top 20 m. Mean shear can be very high in the ocean. For example along
 436 the equator with differences of the order of 50 cm/s between 1 m and 15 m depth (So-
 437 phie Cravatte and Peter Brandt, personal communication 2020) and these should be de-
 438 tectable by Sentinel-2. In contrast, the type of shear shown in Fig. 12 requires detect-
 439 ing 3 cm/s differences between $k = 20$ cpkm and $k = 40$ cpkm, only possible with a
 440 reduction of the uncertainty by at least a factor 3, possibly obtained by averaging over
 441 at least 24 by 24 km.

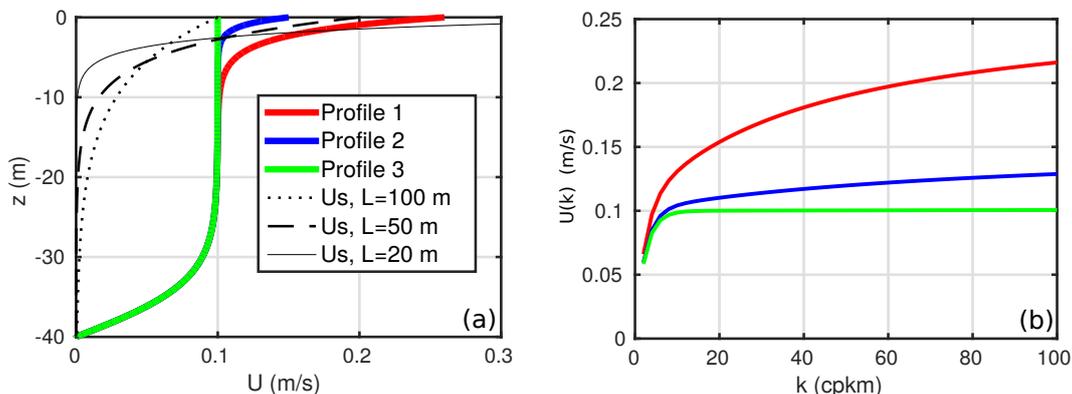


Figure 12. (a) Example of typical current profiles of summertime subtropical gyres. Pro-
 files 1 and 2 correspond to figure 1, while profile 3 would be a hypothetical total current profile
 without Stokes drift. (b) Resulting variation of the effective current $U(k)$ as a function of the
 wavenumber.

442 Also, waves are not homogeneous in space, with gradient driven by the horizon-
 443 tal shear of small scale currents (Ardhuin et al., 2017; Quilfen & Chapron, 2019; Villas Bôas

et al., 2020). If the shorter waves correlate with currents in a way different from the longer waves, which can be the case at the smallest scales (Suzuki, 2019), what appears like a vertical shear in the difference of phase speed could be the effect of the horizontal shear. Detailed simulations of these effects will be needed to find the order of magnitude of horizontal shear contributions to the mean phase speed difference.

In general, the vertical shear of the current is a priori not sensitive to image co-registration errors because all wavelengths are affected by these errors in the same way, and the shear is associated by a difference in phase speed of the different wave components. We find that a 10 cm/s difference in phase speed between 50 m and 25 m wavelengths ($k=20$ cpkm and $k=40$ cpkm) can be detected with Sentinel-2 using data from a 8 km by 8 km region of the ocean. However, such a difference correspond to a fairly large current shear in the top 10 m of the ocean. Resolving weaker and more typical shears would require more sensitive measurements such as provided with larger time lags and higher spatial resolution. Fig. 12.b shows that extending the spectrum to 100 cpkm (10 m wavelengths) would double the difference in velocity that can be detected. Using these shorter components will probably require methods that are less sensitive to the presence of waves in opposite directions, such as the least square method proposed here.

5 Conclusions

In order to retrieve a surface current vector and current shear from observed wave dispersion it is necessary to obtain separate and robust estimates of the phase speed of different components of the wave spectrum, with different directions to obtain a current vector, and with different wavelengths to have different sensitivities to different depths.

Although the present work did not define nor demonstrate a full solution method, we have highlighted difficulties associated to the retrieval of phase speed from a small number of ocean surface images using either a phase difference method or a least square fitting of the current velocity and the amplitude of waves in opposing directions. Both methods have complementary advantages and should probably be combined and modified for a successful method. We particularly highlighted how the presence of waves in opposite directions causes error in the phase difference method. In one specific case analyzed here, this is particularly a problem for retrieving phase speeds from waves with wavelengths shorter than 4 times the dominant wind sea. The least square method using 3 or more images is not sensitive to waves in opposing directions, but it provides relatively noisy estimates of the current velocity when applied to Sentinel 2, due to the short time lags (about 1 s). As a result, the least square method may not provide much more useful additional information on the current velocity than the phase difference method. We also note that anomalously low coherence in image pairs may be an indication of the presence of waves in opposite directions, which may have application to the identification of strong microseism or microbarom sources.

However, our simulations show that when applied to other sensors with lower image noise and/or larger time lags, the least square method may allow to use the shortest wave components that are more likely to be associated to high levels of energy propagating in opposing directions. We find that a 2 s time separation and the same pixel noise as Sentinel 2 it should be possible to retrieve reliable phase speeds of shorter waves, all the way to the Nyquist wavelength. In that case it should be viable to reliably estimate the magnitude of waves in opposing directions as quantified by the opposition spectrum introduced in Section 2. Future work will be needed to refine and verify the error model for the two methods and their possible combination.

Appendix A Image simulator

The first 5 directional moments are converted to a 5-degree resolution directional frequency spectrum using the Maximum Entropy Method (Lygre & Krogstad, 1986). This spectrum is then interpolated onto a regular grid in (k_x, k_y) space to obtain power spectral densities of wave-induced surface elevation with a spectral resolution of 1/16000 cycles per meter, i.e. with a largest wavelength of 16 km, twice as large as the region analyzed. Drawing random phases for each spectral component, the wave power spectral density is used to define complex amplitudes that are inverse-Fourier transformed to generate 8 km square grids of the surface elevation and long wave slopes, $(s_x(x, y, t_i), s_y(x, y, t_i))$, with x and y regularly discretized at 10 m resolution, and t_i the discrete time sampling corresponding to the time of image acquisition.

The input to our image simulator are thus

- the wave spectrum $F(k_x, k_y)$ resolved down to a cut of wavelength of the order of 5 m.
- the direction of the dominant slopes φ_{mss} (which is generally close to the wind direction)
- the mean square slope in that direction mss_u and the mean square slope in the perpendicular cross-direction mss_c .
- the images bistatic view angles β and φ' assumed constant for each image.

We note that ideally a full wave spectrum including short gravity waves, e.g. such as parameterized by (Elfouhaily et al., 1997) or modeled by WAVEWATCH III, would also contain the required slope parameters (items 2 and 3 of the above list), but such spectra are not yet realistic enough.

The forward model described in Kudryavtsev et al. (2017a) is used to compute a mean luminance B_0 for a locally rough but flat surface, and the local luminance $B(x, y)$ from the same rough surface tilted by the long wave slopes. Detected luminance fluctuations are caused by the true luminance fluctuations caused by the finite number of specular points that contribute to the signal in each pixel (Longuet-Higgins, 1960).

The image pixel value is then taken as the nearest integer of a mean intensity $\langle I \rangle$ times $(1 + n_t)B/B_0$ where n_t is a random white noise of a amplitude N_t that parameterizes the "twinkle" of the sea surface.

The noise of the detector is treated as an additive noise n_d , represented as a Gaussian noise of standard deviation N_d . For each channel j which corresponds to a time t_j we have the pixel value

$$I_j(x, y) = \text{E}(\langle I \rangle_j B(x, y, t_j)/B_0(1 + n_t)), \quad (\text{A1})$$

where the value $\text{E}(x)$ is the largest integer value that is less or equal to x . The quantization effect of rounding to an integer pixel value is not very relevant in the present paper with examples that have a relatively bright sea surface. In contrast, the twinkle noise has a very important influence on the estimation of the surface current, as discussed in Sections 2 and 3.

Appendix B Adaptation of 3-probe least squares method to an unknown current

Let us have A and B the complex amplitudes of the waves propagating in the φ direction and the opposite direction $\varphi + \pi$. The system of equations for the 3 measured complex amplitudes F_1, F_2, F_3 at times $t_1 = 0, t_2, t_3$ is, for each spectral component

532 (k, φ) , with U the current component in direction φ , $\sigma = \sqrt{gk}$,

$$F_1 = A + B + N_1 \quad (\text{B1})$$

$$F_2 = Ae^{-i(\sigma t_2 + kUt_2)} + Be^{+i(\sigma t_2 - kUt_2)} + N_2 \quad (\text{B2})$$

$$F_3 = Ae^{-i(\sigma t_3 + kUt_3)} + Be^{+i(\sigma t_2 - kUt_2)} + N_3 \quad (\text{B3})$$

$$(\text{B4})$$

533 or

$$A + B - F_1 = \varepsilon_1 \quad (\text{B5})$$

$$Ae^{-i(\sigma t_2 - kUt_2)} + Be^{+i(\sigma t_2 + kUt_2)} - F_2 = \varepsilon_2 \quad (\text{B6})$$

$$Ae^{-i(\sigma t_3 - kUt_3)} + Be^{+i(\sigma t_2 + kUt_2)} - F_3 = \varepsilon_3 \quad (\text{B7})$$

$$(\text{B8})$$

and we look for the solution that minimizes the sum of the modulus of ε_n squared,

$$\sum_n |\varepsilon_n|^2 = \sum_n \left(Ae^{-i(\sigma t_n - kUt_n)} + Be^{+i(\sigma t_n + kUt_n)} - F_n \right) \left(\overline{Ae^{i(\sigma t_n - kUt_n)}} + \overline{Be^{-i(\sigma t_n + kUt_n)}} - \overline{F_n} \right) \quad (\text{B9})$$

534 where the overbar corresponds to the complex conjugate. Taking derivatives with respect
535 to the real and imaginary parts of A and B and taking derivative with respect to U gives,
536 respectively,

$$\sum_n e^{-i(\sigma t_n - kUt_n)} \left(Ae^{-i(\sigma t_n - kUt_n)} + Be^{+i(\sigma t_n + kUt_n)} - F_n \right) = 0 \quad (\text{B10})$$

$$\sum_n e^{i(\sigma t_n + kUt_n)} \left(Ae^{-i(\sigma t_n - kUt_n)} + Be^{+i(\sigma t_n + kUt_n)} - F_n \right) = 0 \quad (\text{B11})$$

$$\sum_n t_n \text{Im} \left[\left(Ae^{-i(\sigma t_n - kUt_n)} + Be^{i(\sigma t_n + kUt_n)} \right) \left(Ae^{-i(\sigma t_n - kUt_n)} + Be^{+i(\sigma t_n + kUt_n)} - F_n \right) \right] = 0, \quad (\text{B12})$$

537 where $\text{Im}(X)$ is the imaginary part of X .

538 Using $t_1 = 0$, this can be re-arranged as

$$\alpha A + \beta B = \gamma \quad (\text{B13})$$

$$\beta A + \delta B = \gamma' \quad (\text{B14})$$

$$\begin{aligned} & \text{Im}[t_2 (\alpha_2 A + \beta_2 B) \cdot (\alpha_2 A + \beta_2 B - F_2) \\ & + t_3 (\alpha_3 A + \beta_3 B) \cdot (\alpha_3 A + \beta_3 B - F_3)] = 0 \end{aligned} \quad (\text{B15})$$

539 where we have defined

$$\alpha = \left[1 + e^{-i(2\sigma - 2kU)t_2} + e^{-i(2\sigma - 2kU)t_3} \right] \quad (\text{B16})$$

$$\beta = \left[1 + e^{i2kUt_2} + e^{i2kUt_3} \right] \quad (\text{B17})$$

$$\gamma = F_1 + F_2 e^{-i(\sigma - kU)t_2} + F_3 e^{-i(\sigma - kU)t_3} \quad (\text{B18})$$

$$\delta = \left[1 + e^{2i(\sigma + kU)t_2} + e^{2i(\sigma + kU)t_3} \right] \quad (\text{B19})$$

$$\gamma' = F_1 + F_2 e^{i(\sigma + kU)t_2} + F_3 e^{i(\sigma + kU)t_3} \quad (\text{B20})$$

$$\alpha_2 = e^{-i(\sigma - kU)t_2} \quad (\text{B21})$$

$$\beta_2 = e^{i(\sigma + kU)t_2} \quad (\text{B22})$$

$$\alpha_3 = e^{-i(\sigma - kU)t_3} \quad (\text{B23})$$

$$\beta_3 = e^{i(\sigma + kU)t_3} \quad (\text{B24})$$

We may eliminate A and B from the first 2 equations giving

$$A = (\gamma - \beta B) / \alpha, \quad (\text{B25})$$

and

$$B = (\gamma' - \gamma\beta/\alpha) / (\delta - \beta^2/\alpha). \quad (\text{B26})$$

540 replacing these expressions for A and B in eq. (B15) gives one equation for U ,

$$f(U, k, \sigma, F_1, F_2, F_3, t_2, t_3) = \text{Im} [t_2 (\alpha_2 A + \beta_2 B) \times (\alpha_2 A + \beta_2 B - F_2) \\ + t_3 (\alpha_3 A + \beta_3 B) \times (\alpha_3 A + \beta_3 B - F_3)] = 0. \quad (\text{B27})$$

541 Finding the solution for $f = 0$ gives an estimate of the value of U . This operation can
542 be repeated for each Fourier transform (each tile) and each spectral component. Different
543 averaging procedures are discussed in Section 3. In particular we find that the square
544 root of the sum of $|\varepsilon_n|^2$ is linearly correlated to the error on U , in particular when the
545 phase differences are large. Finally, this approach is easily extended to more than 3 im-
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