Swell Generation under Extra-Tropical Storms

Momme Hell¹, Alex Ayet², and Bertrand Chapron³

¹Scripps Institution of Oceanography ²Ifremer/ Lmd ³IFREMER

November 22, 2022

Abstract

Storms propagate over the ocean and create moving patches of strong winds that generate swell systems. Here, we describe the dynamics of wave generation under a moving storm by using a simple parametric model of wave development, forced by a temporally- and spatially-varying moving wind field. This framework reveals how surface winds under moving storms determine the origin and amplitude of swell events. Swell systems are expected to originate from locations different than the moving high-wind forcing regions. This is confirmed by a physically-informed optimization method that back-triangulates the common source locations of swell using their dispersion slopes, simultaneously measured at five wave-buoy locations. Hence, the parametric moving fetch model forced with reanalysis winds can predict the displacement between the highest winds and the observed swell source area when forced with reanalysis winds. The model further shows that the storm's peak wind speed is the key factor determining swell energy since it determines surface wind gradients that lead to the spatial convergence of wave energy into a much smaller area than the wind fetch. This spatial wave energy convergence implies enhanced wave energy dissipation in this focusing area, slightly displaced from the maximum wind locations.

This analysis provides an improved understanding of fetches for extra-tropical swell systems and may help to identify biases in swell forecast models, air-sea fluxes, and upper-ocean mixing estimations.

Swell Generation under Extra-Tropical Storms

M. C. Hell¹, Alex $Ayet^{2,3}$, Bertrand Chapron⁴

3	¹ University of California San Diego, Scripps Institution of Oceanography, La Jolla, CA, USA
4	$^2\mathrm{Climat},$ Environnement, Couplages, Incertitudes, CECI, Université de Toulouse, CNRS, CERFACS,
5	Toulouse, France
6	$^3\mathrm{CNRM},$ Université de Toulouse, Météo-France, CNRS, Toulouse, France
7	4 Ifremer, CNRS, IRD, Univ. Brest/ Laboratoire d'Océanographie Physique et Spatiale (LOPS), IUEM,
8	Brest, France

9 Key Points:

1

2

10	• Wave generation by a moving extra-tropical storm is described using a Gaussian
11	wind field and a parametric model of wave development
12	• A new developed machine-learning algorithm triangulates the space-time evolv-
13	ing source point of swell systems from buoy measurements
14	• This model describes the distance between swell source and the storm's maximum
15	wind speed and reveals sensitivities to storm's parameters

Corresponding author: Momme Hell, mhell@ucsd.edu

16 Abstract

Storms propagate over the ocean and create moving patches of strong winds that gen-17 erate swell systems. Here, we describe the dynamics of wave generation under a mov-18 ing storm by using a simple parametric model of wave development, forced by a temporally-19 and spatially-varying moving wind field. This framework reveals how surface winds un-20 der moving storms determine the origin and amplitude of swell events. Swell systems are 21 expected to originate from locations different than the moving high-wind forcing regions. 22 This is confirmed by a physically-informed optimization method that back-triangulates 23 the common source locations of swell using their dispersion slopes, simultaneously mea-24 sured at five wave-buoy locations. Hence, the parametric moving fetch model forced with 25 reanalysis winds can predict the displacement between the highest winds and the observed 26 swell source area when forced with reanalysis winds. The model further shows that the 27 storm's peak wind speed is the key factor determining swell energy since it determines 28 surface wind gradients that lead to the spatial convergence of wave energy into a much 29 smaller area than the wind fetch. This spatial wave energy convergence implies enhanced 30 wave energy dissipation in this focusing area, slightly displaced from the maximum wind 31 locations. This analysis provides an improved understanding of fetches for extra-tropical 32 swell systems and may help to identify biases in swell forecast models, air-sea fluxes, and 33 upper-ocean mixing estimations. 34

35

Plain Language Summary

Storms generate waves on the ocean surface that can travel across entire ocean basins, 36 the so-called swell waves. However, it is unclear how the amplitude and period of these 37 surface waves depend on the strength and shape of the storm. One has to consider the 38 movement of the storm in addition to its size, lifetime, and wind speeds. This study shows 39 how all these parameters control the amplitude and period of swell events reaching the 40 coastlines. We find that the storm's movement and its peak wind speed compress the 41 wave energy to a small area, which then appears as a swell source location in the open 42 ocean. This study can help improve swell forecasts and understand how long-term changes 43 in mid-latitude storms would modify the exchange of momentum and heat between the 44 atmosphere and the ocean. 45

-2-

46 **1** Introduction

Swell events are long-crested linear wave systems that propagate across the ocean 47 basins (Munk & Snodgrass, 1957; Snodgrass et al., 1966; Ardhuin et al., 2009). Swells 48 impact harbor safety, coastal floating, and beach erosion (Wilson, 1957; Morison & Im-49 berger, 1992; Russell, 1993; Hunt, 1961; Ferreira, SPR 2005; Enríquez et al., 2017), but 50 also modulate sea surface height and affect altimeter and other remote sensing obser-51 vations (like future SWOT or ICESat-2, Morrow et al., 2019; Klotz et al., 2020). Impor-52 tantly, swells play a role in air-sea interactions, possibly altering the sea surface rough-53 ness and subsequent turbulent air-sea fluxes (Makin, 2008). In addition, swell systems 54 trace intense air-sea exchanges, and hence can potentially help to better understand air-55 sea fluxes and mixed-layer variability under storms, as well as impacts on global climate. 56 The motivation of this study is to provide rapid and robust means of swell generation 57 and how swell events are driven by mid-latitude storm variability. 58

Swell waves are routinely observed, e.g. along coastlines using the Coastal Data 59 Information Program/National Data Buoy Center (CDIP/NDBC, O'Reilly et al., 2016, 60 Figure 1b to e), or from space by Synthetic Aperture Radar images (SAR, Chapron et 61 al., 2001) and Real Aperture Radar measurements (Hauser et al., 2020). These obser-62 vations can be used to back-track swell to focal points or swell source locations, either 63 by utilizing the deep water dispersion relation in spectrograms observed at a point (Munk, 64 1947; Barber & Ursell, 1948; Snodgrass et al., 1966; Hell et al., 2019) or by estimating 65 the local convergence of the wave ray's backward trajectories derived from SAR-images 66 (Collard et al., 2009; Husson et al., 2012). Both methods assume swell systems to orig-67 inate from an idealized source point. Clearly, the definition of such a source point may 68 appear ambiguous, given typical spatial scales O(1000km) and lifetime O(5 days) of a 69 extra-tropical storm that moves at about 10 m s^{-1} (Figure 1a, Eady, 1949; Hodges et 70 al., 2011; Neu et al., 2012). 71

A path to understand the appearance of such source points and the properties of the resulting swell systems, is to analyse the relationship between surface winds and the resulting surface wave spectra. This relation can generally be well approximated by a set of semi-empirical functions that assume homogeneous wind speeds within an area or for a certain duration: the fetch ("fetch laws", K. Hasselmann et al., 1973, 1976; Elfouhaily et al., 1997, and there in). However, these self-similar relations, first established by Kitaigorodskii

-3-

(1962), do not account for the spatial and temporal variability of the wind forcing. It
is thus unclear how a continuously varying wind field leads to the generation of one dominant single wave event that seems to stem from a very small source region, at least an
order of magnitude smaller than the storm (Munk, 1947; Barber & Ursell, 1948; Collard
et al., 2009; Husson et al., 2012; Hell et al., 2020).

Spectral wave models, like Wave Watch III (Tolman, 2009), have also known weak-83 nesses due to their strong dependencies on the wind forcing field (Cavaleri, 1994; Ponce 84 & Ocampo-Torres, 1998; Feng et al., 2006; Durrant et al., 2013; Stopa & Cheung, 2014; 85 P. A. Janssen & Bidlot, 2018). While parameterizations of the source terms in those nu-86 merical models essentially reproduce the fetch laws, modelled wave arrival times and heights 87 are commonly biased compared to in-situ wave-buoy observations. These biases are likely 88 related to some lack of precise information to describe storm dynamics. Extreme winds 89 may not always be properly described over time and space, and generated swell systems 90 cannot always be correctly predicted. This strong dependence of the modelled wave field 91 on the wind forcing is also important when wave models are coupled to Earth system 92 models to better represent surface fluxes and air-sea exchange (Li et al., 2016; Bourassa 93 et al., 2019). In this case, wave model parameters cannot be tuned to compensate for 94 biases in the wind forcing, and hence a better dynamical understanding of wave gener-95 ation is still needed to include waves in coupled Earth system models. 96

An alternative to the fetch's scaling laws or spectral wave models is to consider sim-97 ple wave evolution models, directly compared to wind and wave observations. Numer-98 ous studies have used this strategy for moving tropical cyclones (Young, 1988, 2003; Bowyer 99 & MacAfee, 2005; Chen et al., 2007; Young & Vinoth, 2013; Kudryavtsev et al., 2015, 100 2021), but the relationship between faster moving extra-tropical storms and resulting 101 swell events remains largely unexplored (Figure 1, Young et al., 1987; Doyle, 1995, 2002). 102 Extra-tropical storms are an integral part of synoptic meteorology with ample theories 103 about their dynamics and life cycles (Bjerknes, 1919; Shapiro & Keyser, 1990; Neiman 104 & Shapiro, 1993; Neiman et al., 1993; Schultz et al., 1998; Schemm & Wernli, 2014, re-105 view in; Schultz et al., (2018)) and here we aim to connect these theories with dynam-106 ics of wave generation. 107

In this study, we explicitly show how synoptic-scale dynamics can be related to properties of the generated sea states and the residual swell systems. We build on develop-

-4-

ments presented in Kudryavtsev et al. (2015) to derive a simplified model for swell events 110 from extra-tropical storm (section 2.1). The goal is to complement full sophisticated spec-111 tral wave models, since a simplified model can rapidly provide large ensembles of solu-112 tions to help retrieve the storm properties. More explicitly, we approximate the mov-113 ing fetch with varying winds under an extra-tropical cyclones as a two-dimensional Gaus-114 sian shape and analyse the dynamics resulting from gradients in the wind forcing field 115 (section 2.2). We then use a back-triangulating method to retrieve the swell source lo-116 cation from wave buoy observations (sections 3.1 and 3.2). This allows us to test the ide-117 alized moving wind fetch model for several case studies in the North Pacific (sections 3.3 118 and 3.4). Combining an idealized model for swell generation and the optimized model 119 of swell propagation finally suggests a three stage life-cycle of swell waves that is sum-120 marized and discussed in section 4. 121

¹²² 2 Wave generation in a moving frame of reference

In this section, we extend the framework introduced by Kudryavtsev et al. (2015) to extra-tropical storms. Wave spectra of growing seas are assumed to follow self-similarity, and dynamical changes of the spectra are described by a single variable, the peak angular frequency ω_p (K. Hasselmann et al., 1976; Kudryavtsev et al., 2015). The evolution of ω_p in an Eulerian frame is then described by

$$\frac{\partial \omega_p}{\partial t} + c_g \frac{\partial \omega_p}{\partial x} = \left(\frac{g}{u}\right)^2 \phi(\alpha),\tag{1}$$

where $c_g = \partial_k \omega_p = g/2 \omega_p$ is the peak group velocity, $\alpha = u/c_p = u \omega_p/g$ is the wave age, the ratio of the 10-m wind speed u and phase velocity of the spectral peak $c_p = g/\omega_p$ (Equation A8 in Kudryavtsev et al., 2015). The wind-input source term ϕ is defined as

$$\phi(\alpha) = \frac{q}{2} \left(\frac{c_{\alpha}}{\alpha}\right)^{1/q} \tag{2}$$

with $c_{\alpha} = 15.4$, and q = -3/10. Here, and in the following analysis, we use a set of parameters for a so-called young sea development (K. Hasselmann et al., 1976; Badulin et al., 2007; Kudryavtsev et al., 2015, details in Appendix A3). In the following, outlined dynamics remain the same for all possible choices of these parameters. Note that under constant winds Equation (1) is reduced to the familiar "fetch relations" (K. Hasselmann et al., 1973, 1976; Elfouhaily et al., 1997, and references therein). The above equations solely describe the spectral peak variables $(c_g, c_p \text{ and } \omega_p)$, but this is sufficient to derive the whole wave energy spectrum following semi-empirical relations (K. Hasselmann et al., 1973; Elfouhaily et al., 1997; Pierson & Moskowitz, 1964). The total wave energy E and significant wave height H_s of the growing wave field are then related to the peak frequency ω_p with

$$\frac{E g^2}{u^4} = \frac{Hs^2 g^2}{16 u^4} = c_e \left(\frac{d g}{u^2}\right)^p \sim \frac{u g^2}{2 \omega_p^3},\tag{3}$$

where $c_e = 4.41 \times 10^{-7}$ and p = 1, again following K. Hasselmann et al. (1976), Badulin et al. (2007), and Kudryavtsev et al. (2015). For this simple case of stationary wave generation, the energy of the generated wave field E travels with the group velocity c_g and hence can eventually leave the generation area. Over the open ocean, wave generation is related to patches of strong winds under storms, called the fetch, that are neither stationary nor infinite (Munk, 1947). The standard fetch relations are thus theoretical limits, and the fetch's characteristic scales and its propagation must be taken into account.

For a storm and its fetch that both moving with the translational speed V, the wavegrowth equation Equation (1) must be written in a Lagrangian frame of reference, moving with the storm as

$$\partial_t \omega_p + (c_g - V) \ \partial_X \omega_p = \left(\frac{g}{u}\right)^2 \phi(\alpha),$$
(4)

where X = x - Vt is the along-wind coordinate in the moving reference frame (Kudryavtsev 136 et al., 2015). This equation describes the evolution of a growing sea in the moving frame 137 with coordinates (X, t), and the forcing $\phi(u, \omega_p)$ that is a function of the local wind speed 138 u(X,t). This non-linear 1st-order partial differential equation is used in the following 139 two subsections to outline the effects of a moving fetch on growing waves for typical scales 140 of extra-tropical storms. First for storms with constant winds for which the equation can 141 be solved analytically (section 2.1), and then with temporally and spatially varying winds 142 following a Gaussian form (section 2.2). 143

144

2.1 Constant, finite moving wind models

First, we consider constant steady winds u under a storm of length L and duration T, steadily moving with a constant translation velocity V. Constant winds imply a constant forcing function $\phi(\omega_p)$, such that Equation 4 can be solved analytically for ω_p using the method of characteristics (Appendix A). Figure 2 shows these characteristic curves of wave energy for typical scales of tropical and extra-tropical storms. The characteristic curves $X(t, X_0, t_0, c_0)$ describe the position of a growing non-linear wave packet which has a group speed c_0 at position X_0 and time t_0 , as it passes through the forcing field. Their 1st derivatives $\partial_t X \propto (c_g - V)$ describe wave energy's speed c_g relative to the speed of the moving frame V, and their curvature is proportional to the acceleration of this wave field and similarly the intensity of wave energy growth $(\partial_{tt} X \propto \dot{c}_g \propto \dot{E})$.

The initial sea is assumed to be at rest $(c_0 = 0)$ such that the wave energy at the beginning of the storm $(X(t, X_0, 0, 0))$, Figure 2 bottom axis) is slow and propagates backward in the moving frame of the storm (for example in Figure 2a day 0 to 0.3). Even though these young seas propagate slower than the storm, their energy continues to grow because they are continuously exposed to the steady wind forcing. With time, the peak frequency decreases, and the group velocity of the peak wave energy increases (Equation 3). After a critical time τ_{crit} (dashed black line in Figure 2), the peak wave energy starts travelling at the same speed as the storm, i.e. $c_g = V$. This timescale from the wind's onset until $c_g = V$ is

$$\tau_{crit} = \frac{c_{\tau}}{g} \ u^{-q} \ V^{1+\frac{1}{q}},\tag{5}$$

and the distance the storm has traveled during this time is

$$X_{crit} = \frac{c_{\tau}}{g} q u^2 \left(\frac{u}{V}\right)^{\frac{1}{q}},\tag{6}$$

where $c_{\tau}(c_{\alpha}, q) = 1.23 \times 10^5$ and q = -3/10 measuring the efficiency of wave growth depending on the sea state (Appendix A).

While tropical and extra-tropical cyclones may have comparable translation veloc-157 ities, tropical cyclones are smaller in scale, but can create very strong surface wind speeds 158 for several days. This leads to a trapping or quasi-resonance of wave energy under trop-159 ical storms (Kudryavtsev et al., 2015). Trapping also appears under extra-tropical storms 160 that are large enough $(X > X_{crit})$, Figure 2 red dots), and, more importantly, last long 161 enough $(t > \tau_{crit})$, Figure 2 dashed black line). Trapping can create more energetic (i.e. 162 faster and longer) swell waves, because the growing sea-state remains longer under the 163 forcing wind field than it would under a stationary wind field. Hence, only wave energy 164 whose characteristic curves originate at a time larger than τ_{crit} or at a position larger 165 than X_{crit} can end up propagating to the forefront of the moving fetch and being ex-166 posed to the maximum possible wind forcing (dark blue lines in Figure 2). 167

The trapping conditions are determined by the wind speed and translation velocity (Equation 5 and 6). Figure 2 illustrates how these critical scales differ between fetches of tropical cyclones (Figure 2a, $\tau_{crit} \approx 6$ to 10 hours and $X_{crit} \approx 50$ to 100 km Kudryavtsev et al., 2015) and extra-tropical cyclones (Figure 2b and c, $\tau_{crit} \approx 12$ to 36 hours and $X_{crit} \approx 100$ to 400km).

The characteristic curves of wave energy under constant moving winds can then be separated into curves that leave the storm from the rear $(X_0 < X_{crit})$, curves that start further in the front $(X_0 > X_{crit})$ and reach the trapping condition, and finally curves that start at later time in the storm $(t_0 > \tau_{crit})$ and at the rear $(X_0 = 0)$. For this last situation, the initial group velocity of the waves must be larger or equal to V, otherwise those will not be able to propagate forward in the moving reference system and will leave the storm from the rear (Figure 2 light-blue curves, defined as $X(t, 0, t_0, V)$).

Characteristic curves for the three cases are separated by a special case correspond-180 ing to the longest, most energetic characteristic curve (Figure 2, dark blue line). It de-181 fines the largest generated wave energy for a given moving fetch and indicates if mov-182 ing fetches are either "length-limited" or "time-limited". For length-limited conditions, 183 the most energetic waves leave the storm before it terminates, and the swell properties 184 are limited by the length scale of the storm (Figure 2a,b, green dot). For time-limited 185 conditions, the maximum swell energy is limited by the duration of the storm (Figure 2c). 186 For both cases, more than one characteristic curve is associated with the largest possi-187 ble wave energy. Length-limited storms may last long enough such that more than one 188 curve reaches the front of the storm. This implies a constant radiation of energetic waves 189 from the front of the fetch, starting after a certain time from the onset of the storm (Fig-190 ure 2a,b, green vertical lines). Time-limited cases may not last long enough for the curve 191 starting at X_{crti} to reach the front of the storm. These cases result in most energetic waves 192 leaving the storm in a spatial spread when it ends (Figure 2c, green horizontal line). 193

Extra-tropical storms can thus be either length- or time-limited (Figure 2b,c), while tropical storms mostly correspond to length-limited wave growth regimes (Figure 2a, Kudryavtsev et al., 2015). To illustrate this expected variability of extra-tropical storms, the effect of changes in the length, speed, and wind forcing on the largest generated group velocity along the longest characteristic curve is shown in Figure 3. For typical scales of extra-tropical storms (Figure 3a, green line), the fetches can be either time- or length-

-8-

limited (Figure 3a, black line). It is also possible that small extra-tropical storms do not
even reach the trapping condition, as indicated to the left of the the dashed black line
in Figure 3b.

This constant-wind model outlines the general dynamics of swell generation under a moving storm and how its bulk spatio-temporal parameters affect the resulting swell systems. However, this conceptual model fails to explain why observed swell events have a clear temporal maximum (Figure 1b to e) that seems to originate from a very small source location (Munk, 1947). In addition, this model implies that the forcing is constant within the fetch area and discontinuous at its boundaries.

209

2.2 A Gaussian moving wind model

Hereafter, we relax the assumption of constant wind forcing to better represent the 210 storm's life cycle and to account for the fact that observed winds vary smoothly over space 211 and time. We now describe the wind forcing u(X,t) in Equation (4) as a two-dimensional 212 Gaussian function in space and time. This two-dimensional Gaussian moving fetch can 213 be interpreted as representative of the wind patch typically established behind the cold 214 front of a low-pressure system (Figure 4, gray shading) that travels with about the same 215 translation velocity V as the storm (Figure 4 orange arrows). This fetch typically estab-216 lishes on the equator-ward side of the storm and is tightly linked to the storm life-cycle 217 (Neiman & Shapiro, 1993; Schemm & Wernli, 2014; Schultz et al., 2018). Anticipating 218 on the results of the observational analysis in section 3, we assume that the propagation 219 direction of the fetch (Figure 4 orange arrows) is aligned with its dominant wind direc-220 tion (Figure 4 blue arrows) and hence also aligned with the direction of the generated 221 waves. 222

The space-time Gaussian wind forcing is defined by a wind speed maximum, u_{max} , 223 a 95%-width, and a 95%-duration, while the 95% corresponds to ± 2 standard deviations 224 of the Gaussian curve. Solutions of (Equation 4) for two typical extra-tropical storms 225 are shown in figure 5 a and d. A storm with a 95%-fetch-width of 1000 km, a 95%-duration 226 of 3.6 days and $u_{max} = 10 \text{ m s}^{-1}$ shows characteristic curves similar to the length-limited 227 case of constant winds (Figure 5a, Figure 2b). The major difference is that character-228 istic curves converge and cross near the storm's leading edge, at the end of the storm's 229 lifecycle (Figure 5a, day 2.5 to 3). The convergence of characteristic curves in a focus 230

-9-

area results from the spatial gradients in the Gaussian wind forcing and does not appear
with a constant, Heaviside-function wind forcing (section 2.1). Hence, any realistic storm,
with local wind maximum and smooth wind distribution, will have spatial gradients and
focus characteristic curves from different parts of the moving storm.

The convergence of the characteristic curves show a focusing of wave energy by the 235 superposition of wave trains and the formation of a convergence region (Figure 5a,d). 236 The convergence and crossing of curves indicate that sea states with different genera-237 tion histories (different paths of integration) propagate to the focal area and locally en-238 hance the total wave energy spectrum. Enhanced wave energy will lead to increased dis-239 sipation and more non-linear wave-wave interactions (S. Hasselmann & Hasselmann, 1985; 240 Kudryavtsev et al., 2021), i.e. the convergence of wave energy can add another forcing 241 term in Equation (4). The largest estimated wave energies on the characteristic curves 242 (Figure 5b, light blue to green curves) are thus likely lower-bound estimates, because in-243 dependent solutions along the characteristics do not capture the expected enhanced dis-244 sipation and non-linear wave-wave interactions due to wave energy convergence. Still, 245 the proposed model is useful to explain the governing relations between the fetch scales 246 and the moving storm, although it might lead to systematic biases for the total wave en-247 ergies and peak wave frequencies. 248

The described wave-ray convergence leads to an area with significantly enhanced 249 wave energy that can last for about half a day (Figure 5a between day 2-2.5 and Fig-250 ure 5d between day 2.5 and 3). This area encloses the steepest waves of the wave gen-251 eration process and is substantially smaller than the wind fetch that caused it (Figure 5a,d, 252 gray shading). In the following, we argue that this small and distinct area acts as the 253 source location for linearly propagating swell waves. From a distant location, it can be 254 interpreted as a point source of swell waves (section 3.2, Munk, 1947). This source lo-255 cation corresponds to the transition region from a non-linear and very steep sea, mainly 256 driven by wave-wave interactions, to a dominantly linear sea. In this transition region, 257 the wind forcing decreases and subsequent wave-energy fluxes across frequencies vanish 258 as well. The transition results in a linear sea that is dispersive and its wave energy starts 259 to travel as the superposition of linear waves. This interpretation of the characteristic 260 curves focusing in a transition region predicts that an observable source location of swell 261 systems should be displaced ahead of the strongest moving winds, rather than at the the 262

-10-

center of the high wind speed region. Observational evidence for this phenomenon is shownin section 3.

265

2.3 Wave age of mature and old seas under moving fetches

The Gaussian wind model emphasizes the non-linear behavior of the wave energy 266 growth and the importance of the wave field's generation history under the moving wind 267 field. The wind forcing of sea states without a generation history can be solely described 268 by the local wave age $\alpha = 2 c_g/u$ (right hand side of Equations 4), because the non-269 linear advection term is small and c_g is proportional to u (Figure 5c and f day 0 to 2, 270 Edson et al., 2013). However, once non-linear advection increases, the wave energy growth 271 cannot simply be described by the local wave age parameter (Figure 5c and f day 2 to 272 3). These *mature* or *old seas* describe a situation where the simple relation between wave 273 age, group velocity, and wind speed breaks down. While the group velocity only slowly 274 grows, the wave age rapidly increases mainly due to constant or even decreasing local 275 wind speeds. 276

A comparable wind forcing u on the right-hand side of Equation (4) can thus cor-277 respond to different degrees of wave development, i.e. different c_g . When waves start to 278 reach a mature state of development, the wind forcing starts to decrease and limit the 279 peak frequency downshift. We expect this non-linear behavior to be more important for 280 old seas, i.e. when the wave's peak phase velocity and the local wind velocity approach 281 fully developed conditions of $\alpha \simeq 0.85$ (P. Janssen, 2004). In addition, wave energy con-282 vergence can counteract the local decay of the wind forcing and maintain a high wave 283 steepness (see previous section). These focusing effects, associated with converging wave 284 rays, should lead to enhancement and stabilization of the wave energy level. Thus, parametriza-285 tions of the wave's energy based on the local winds alone (e.g. Bourassa et al., 2013) may 286 fall short under moving fetches of synoptic storms. A proper description of the wave en-287 ergy needs to account for the non-local wave dynamics. 288

289

2.4 Scales of extra-tropical storms shape wave events

The spatio-temporal scales of extra-tropical storms thus govern the focal point of wave energy convergence and control resulting peak group velocities and wave energies. Using the Gaussian wind model, the spatial gradients are proportional to the ratio of

-11-

 u_{max} and the 95%-width. Since the average storms width is related to the Rossby ra-293 dius and thus hard to change (Eady, 1949), the main control parameters become u_{max} 294 and V. To illustrate this resulting sensitivity on u_{max} , Figure 5d shows a moving fetch 295 with the same parameters as in Figure 5a, but for a weaker peak wind speed and hence 296 a weaker spatial gradient. Compared to strong wind conditions, weaker winds tempo-297 rally delay trapping condition $c_q = V$ and the location where the characteristic curves 298 cross (Figure 5a day 2-2.5 and b day 2.5 to 3) resulting in an over all lower group ve-299 locity. 300

A more systematic assessment is shown in Figure 6. Characteristic curves are cal-301 culated using Equation (4), but now for various combinations of storm sizes, duration, 302 speeds, and wind forcing. For each set of storm conditions, we take the largest result-303 ing group velocities to test the sensitivity of c_q on the storm scales. Because character-304 istic curves converge and cross, wave energies merge, and the largest c_g derived from the 305 method of characteristics is likely to be underestimated (section 2.2). However, this is 306 still a useful metric to understand how the storm's scales control regimes of wave gen-307 eration. 308

Comparisons between the peak velocity u_{max} and translation velocity V for typ-309 ical scales of extra-tropical cyclones are shown in Figure 6a (95%-width and -duration 310 are 1000 km and 3.5 days). The two cases from Figure 5 are indicated by black trian-311 gles and illustrate how solely changes in the peak wind speed lead to different peak wave 312 energies. Higher peak velocities u_{max} or faster-moving storms V lead to higher group 313 velocities (Figure 6a green shading). However, if a storm moves too fast, wave growth 314 is limited because trapping effects are weaker or do not appear at all (Kudryavtsev et 315 al., 2015, Figure 6a, to right of the black dashed line). No trapping occurs for fast storms 316 with relatively weak winds; a situation that is likely uncommon for extra-tropical storms. 317

The fetch length and duration also affect the wave energy generation (Figure 6b). For typical but constant translation velocities and peak wind speeds, the wave energy increases when the storm is larger or lasts longer. However, more persistent storms are more effective in creating large wave energies than larger storms. For example, changing the storm size by 20% from 1000 km to about 1200 km has a weaker effect than changing the storm's duration by one day (Figure 6b, starting from the green dot). The im-

-12-

- ³²⁴ portance of the storm's duration is again due to the trapping condition because trap-
- ping will always occur if the storm lasts long enough (section 2.1).
- ³²⁶ 3 A Case Study of a North Pacific Storm

In this section, we combine observed surface wave spectra with reanalysis surface 327 winds to assess the consistency of the Gaussian moving fetch model for swell generation. 328 We analyse the case of a single storm over the North Pacific and explain how dispersed 329 swell arrivals in wave buoy observations provide strong evidence for a small swell source 330 location. We employ a physically constrained machine learning methodology that heav-331 ily borrows from ideas in Munk (1947); Barber and Ursell (1948); Snodgrass et al. (1966), 332 as detailed in (Hell et al., 2019, 2020). This method triangulates the spatio-temporal co-333 ordinates of a single swell source which is simultaneously observed at five wave buoy sta-334 tions. This helps to check wherever or not the hypothesis from Kudryavtsev et al. (2015) 335 can be extended to extra-tropical storms with smooth Gaussian winds (section 2, Fig-336 ure 4), and if the swell source location is indeed displaced compared to the strongest ob-337 served wind forcing. We first give a brief overview of the algorithm used to establish the 338 source location. A more detailed description of the algorithm and two additional case 339 studies can be found in the supplementary material T1 and figures F4 to F6). 340

341 342

3.1 Physically Constrained Optimization of a Parametric Swell Model - In Brief

We designed a parametric swell propagation model that is optimized on five preidentified wave events. The spectral shape of the parametric model is described by a commonly used shape function (K. Hasselmann et al., 1973; Elfouhaily et al., 1997), it's time component as an Erlang distribution (Hell et al., 2019), and its decay as a function of the travel distance (Jiang et al., 2016, suppl. material T1.3).

The optimization is performed in five steps. First, swell wave events observed by the Coastal Data Information Program wave buoy network (CDIP, Behrens et al., 2019) are identified in the very long swell band. Second, the parametric model is fitted to each swell event at each wave buoy observation, and the uncertainty of its parameters are estimated to evaluate the spectral dispersion slope and the quality of the observation (Hell et al., 2019). Third, the swell events are matched by their estimated initial time that can

-13-

³⁵⁴ be inferred from the events dispersion slope (Munk, 1947; Barber & Ursell, 1948; Snod-³⁵⁵ grass et al., 1966; Collard et al., 2009). In the fourth step, these sets of matched swell ³⁵⁶ events are used to compare with parametric model outputs, but now assuming a com-³⁵⁷ mon isentropic point source origin. Given a resulting hypothetical source point, the para-³⁵⁸ metric model provides dispersion slopes, arrival times, and the wave's amplitude atten-³⁵⁹ uation for each member in the set of swell observations. A combined cost function is then ³⁶⁰ optimized for the common source point as described in the following (section 3.2).

The algorithm's robustness largely builds from the fact that swell observations carry 361 information about their source location. The radial distance to a source location is in-362 directly measured by the dispersion slopes of the wave events spectrograms (Munk, 1947; 363 Barber & Ursell, 1948; Snodgrass et al., 1966; Collard et al., 2009). The combination of 364 three or more buoy observations generally provides sufficient means to retrieve a com-365 mon source location of the swell. Here we use observations at five locations to reduce 366 errors due to the spherical geometry and potential distorted observations at one or more 367 location (see next section). Details about this algorithm, the parametric swell model and 368 the cost-function design are given in the suppl. material T1. 369

370

3.2 Triangulation of Swell Origins

The cost function between the parametric model and the data helps to quantify the performance of the model fit. A map in longitude, latitude and time of most likely wave origins is derived to define a measure on the model fit. A likelihood $L_{e_f} = 1$ indicates a perfect model fit and implies that all data variance is explained by the model, while $L_{e_f} = 0$ indicates total model failure (Equation 11 in Supporting Information T1.5).

The result of the optimization is shown Figure 7 for a storm between the January 376 4th and 8th, 2016 (suppl. material F4 and F6 for other examples). The green hexagon 377 in Figure 7a indicates the most likely common source location for the swell events de-378 tected at five buoys (Figs. 7b to f). The identified source location on January 4th, 2016 379 at 6:30 is identical for either a brute-force search in the parameter space, or a global cost 380 minimization (within a 25-km radius and 1 hour, suppl. material F1). Even though both 381 methods return a source location close to ocean station PAPA (CDIP 166), they some-382 how lead to different interpretations of the process of swell generation. While the global 383 optimization returns a single optimum that would indicate a common point source for 384

the wave's energy (Munk, 1947), the brute force method is in principle less precise but can hint at multiple areas of similar likelihood. It samples a broader parameter space and hence can provide a likelihood map of swell origins (Figure 7a green shading).

Note that the assumption of a single optimum essentially follows the idea of a lin-388 ear inversion of the observed dispersion slopes in observations (Figure 1b to e, Figure 7b 389 to f, Munk, 1947), which in turn directly implies the existence of a point source (Fig-390 ure 7a, green hexagon). However, the brute force method optimizes a cost function de-391 signed under the assumption of this point source, but it returns a multitude of location 392 with similar likelihood (Figure 7a green shading). The assumption of an idealized point 393 source is still a reasonable interpretation for a single distant observer of swell, but some 394 refinement is needed in the context of the transient wave generation and decay (section 3.4). 395

The brute force sampling shows how the maximum of L_{e_f} shifts in space for a se-396 quence of time steps (Figure 7a green dots). It means that observed waves either orig-397 inate earlier from a position west of the most likely source location, or later from a po-398 sition east of the most likely source location (Figure 7a green dots). This trace of local 399 maxima in L_{e_f} can be interpreted as a progression of wave origins rather than a single 400 point, as suggested by the constant or Gaussian wind models (Figure 2b,c, Figure 5). 401 This trace of local maxima in L_{e_f} is used in the next section to combine the observed 402 wave events with observed wind patterns that are related to propagating storms. 403

Note that a successful optimization of the multi-station cost function may not al-404 ways be straightforward. Indeed, local wind swell and wave-current interactions on the 405 swell travel paths are able to distort the wave buoys observations (Gallet & Young, 2014; 406 Villas Bôas et al., 2017), and possibly alter the optimization procedure (Hell et al., 2020). 407 Figure 7 b to f compares instances of the parametric wave model (colored contours) for 408 the most likely source location (green hexagon in panel a) to the respective observations 409 (colored shading). The parametric model captures the observed dispersion slopes in four 410 out of five cases. Comparison between the model and data from CDIP 106, close to Hawaii 411 (Figure 7e and red dot in Figure 7a), indicates a modeled wave arrival about one day 412 later and further away than the observation. Hence, the observed wave event close to 413 Hawaii could result from a closer source than suggested by the best model fit, and still 414 be related to the same storm system. In such a case, a different growth history, i.e. a 415 different effective fetch, would be necessary. This case study shows that a more holis-416

-15-

tic understanding of the optimization hints at the complexity of wave generation in the
real world, but also shows that even imperfect and distorted data can support the hypothesis in section 2.2.

420

3.3 Comparing observed swell origins to reanalysis winds

To interpret the relation between possible wave origins and the wind pattern that 421 creates them, we show three snapshots of surface winds and sea level pressure from hourly 422 ERA5 reanalysis on a 0.25° -grid in the North East Pacific (Figure 8, European Centre 423 for Medium-Range Weather Forecasts fifth-generation reanalysis for the global climate 424 and weather (CDS), 2017). The storm propagates eastward, and its associated strong 425 surface winds, the fetch, move eastward as well (red area at about 160° W and 40° N in 426 Figure 8a moves to about 150°W and 50°N in Figure 8c). The same propagation can 427 be seen for the local maxima of L_{e_f} and hence for the source location of swell (Figure 7a 428 green dots). Interestingly, the swell origins appear systematically ahead of the highest 429 wind speeds (Figure 8a,b,c). This displacement between the swell origins, estimated from 430 wave buoys, and the highest wind forcing, estimated from reanalysis, is the same as pre-431 dicted for swell generation by a moving fetch (section 2.2). Hence the physically informed 432 brute-force optimization shows how the trace of most likely swell origins, i.e. a trace in 433 the local maximum of L_{e_f} , co-travels with the patch of highest wind speeds under a mov-434 ing storm. 435

436

3.4 Computing waves growth from realistic moving winds

We can now compare the propagating, co-located winds patches and swell origins to the moving Gaussian wind model. To do so, we transform the surface winds in a Lagrangian frame using its average propagation speed.

We first define a transect line for the wind data using a least-square fit to the trace of L_{e_f} (Figure 8 a to c, straight black lines between A and B). Next, we take data along this transect over a width of 440km from the wind reanalysis between the points A and B. The wind is rotated to along- and across- transect velocities and then averaged orthogonal to the transect (suppl. material F2). The resulting time evolution of the alongand across-track averaged winds as well as contours of L_{e_f} are shown in Figure 8 d and e. Finally, we estimate the average propagation speed V of the along-transect wind patch ⁴⁴⁷ using again a least square fit (Figure 8d and e, black sloped line, suppl. material F3).

The estimated propagation speed V of 14.1 m s⁻¹s then used to shift the data in the frame of reference of the moving wind patch.

The resulting along-transect velocities and the contours of L_{e_f} are shown in the 450 moving frame of reference in figure 9a. The area of most likely swell origin is clearly dis-451 placed in space and time compared to the highest wind speeds (Figure 9a green contours 452 and red shading). The most likely swell origin is about one day delayed compared to the 453 strongest winds. It is thus unlikely that the observed swell waves originate from the area 454 of highest wind speeds. Instead, swell waves are delayed in the moving frame of refer-455 ence. A temporal delay in the moving frame implies also a spatial displacement in the 456 Eulerian frame, as already observed in Figure 8. This space-time displacement cannot 457 be explained by the stationary fetch laws, which only describe swell properties away from 458 a constant-wind "fetch" area (section 2 Kitaigorodskii, 1962; K. Hasselmann et al., 1973; 459 Elfouhaily et al., 1997). This space-time displacement is in line with the predicted de-460 lay in the moving frame of reference between strongest wave growth and linear swell prop-461 agation dispersion (section 2.2). 462

The spatial-temporal delay of the estimated wave origins can be explained by analysing 463 the characteristic curves of wave growth forced with the transformed wind data. As in 464 section 2.2, we use the method of characteristics to solve Equation (4) but now using the 465 along-transect reanalysis winds in the moving frame of reference (Figure 9a and b shad-466 ing). The characteristic curves are initialized from a sea at rest ($\omega_p \approx 20 \,\pi \,\mathrm{s}^{-1}$, Appendix 467 A) where the winds are zero (u = 0) and represent paths of wave energy growth that 468 propagate in the moving reference frame (Figure 9b black and blue contours). As in the 469 idealized model (section 2.2), the line thickness shows that wave energy and group ve-470 locity increase along the path while ω_p decreases. Several characteristic curves reach the 471 trapping condition $(V = c_q)$ and some paths converge and cross due to large-scale gra-472 dients in the wind forcing (Figure 9b, day 2.5-3.5, see also supp. Figure F5 for another 473 case study). 474

The path with the largest final wave energy is shown in blue in figure 9b. This characteristic curve is terminated, where the wind forcing reaches zero (Figure 9b, green hexagon), indicating the last space-time location of possible active wave growth. While this is a practical definition of where wave growth decays, because Equation 4 only captures wave

-17-

growth, it is remarkable that the longest characteristic curve overlaps with the area of 479 most likely swell origin and crosses its peak (Figure 9b, green dot and contours). Even 480 though this area of most likely origins is transformed in the moving frame of reference, 481 it is derived independently from the solutions of the characteristic curves. And, while 482 the wind forcing of the characteristic curves is taken along the trace of the triangulated 483 swell origins (section 3.2), there is no need for the longest characteristic curve to match 484 the independent buoy observation. This match between the forward calculation of the 485 wave growth model forced by reanalysis winds (Equation 4) and the back triangulation 486 of linear swell propagation (Figure 7) provides evidence that the conceptual idea of a Gaus-487 sian wind model (section 2.2) is sufficient to capture the necessary dynamics of wave growth 488 and swell generation by a moving storm. This is, to some extent, surprising given the 489 non-linear nature of Equation 4 and potential biases in the surface winds (Gille, 2005; 490 Wentz et al., 2015; Ribal & Young, 2019; Trindade et al., 2020; Allen et al., 2020; Hell 491 et al., 2020). 492

To further explain why wave growth from transformed reanalysis winds is able to 493 match the triangulated swell origins, we use the Gaussian wind model from section 2.2, 494 for parameters that match the scales of the observed wind forcing ($V = 14.1 \text{ m s}^{-1}$, 495 $u_{max} = 22 \text{ m s}^{-1}$, a 95%-duration of 4 days and 95%-width of 2800 km, Figure 9c). The 496 Gaussian wind model is able to reproduce and predict a trajectory of the largest wave 497 energy align with the observed source locations (compare Figure 9b, c blue line and green 498 dot). It captures the observed larger-scale spatial and temporal wind gradients that are 499 needed to create the convergence of the characteristic curves (Figure 9 b and c). This 500 provides evidence that a Gaussian moving fetch is a sufficient model to understand swell 501 generation by extra-tropical cyclones (see supplementary material F4 to F6 for additional 502 examples). 503

504

4 Discussion and Conclusion

Swell wave generation from extra-tropical storms is a long-standing problem (Munk, 1947). Here, we presented a comprehensive explanation of why swell systems likely originate from small locations that do not necessarily match the high wind forcing regions. This explanation points to aspects in the process of swell generation that need to be better captured to improve wave forecast models but are also relevant for estimating airsea fluxes and ocean mixed-layer variability.

-18-

A two-dimensional Gaussian wind model is found to be sufficient to represent the 511 wave generation under a moving storm and to improve upon constant wind forcing con-512 ditions (sections 2.1 and 2.2). The storm and its cold sector are assumed to travel with 513 a constant translation velocity (Figure 4), even though in reality, the storm's fetch prop-514 agation might likely vary in speed and direction. The proposed model is highly ideal-515 ized but is still detailed enough to capture the main wave-generation mechanism dur-516 ing the life-cycle of an extra-tropical storm as for example described in Neiman and Shapiro 517 (1993), Neiman et al. (1993), Schemm and Wernli (2014), and Schultz et al. (2018). It 518 is also found to be a sufficient minimal model to explain observed displacements of es-519 timated swell source location compared to the highest wind forcing locations (section 3.3, 520 Figure 9b and c, Hell et al., 2020). The combination of a Lagrangian wave-growth model 521 with an optimized swell propagation model suggests three stages in the life cycle of swell 522 wave energy: 523

• Stage 1: Wave growth under a moving fetch in a young and growing sea 524 Starting from a sea at rest, wind forcing creates short waves as a result of wave-525 wave interactions, wave growth and dissipation. Wave-wave interactions lead to 526 a continuous decrease of the peak frequency ω_p , while the total wave's energy and 527 significant wave height increase (Equation 3). For an actively growing wave field, 528 the wave energies in different frequency bands are strongly coupled through wave-529 wave interactions. This coupling likely inhibits frequency dispersion and let us uniquely 530 describe the wave spectra by its peak parameters. The energy of the non-linear 531 sea state thus mainly travels with the group velocity of its dominant frequency 532 $c_q(\omega_p)$ shown by characteristic curves in Figure 10. 533 At first, waves are slower than the storm and propagate backwards in the mov-534 ing frame of reference. With time this young sea continues to grow, its peak fre-535 quency decreases, and the associated group velocity accelerates (Figure 10). Even-536 tually, the wave's energy starts to propagate with a speed comparable to the storm, 537 such that the wave energy is trapped under the storm $(c_g = V, \text{ section } 2.1)$. The 538 wave's energy is now strongly growing because the previously established non-linear 539

ter of Figure 10). This process ends when the wave energy leaves the storm or when the wind forcing vanishes.

540

-19-

sea is exposed to the strongest winds of the moving fetch (growing sea in the cen-

This strong wave energy growth depends on if the wave's energy is trapped ($c_g = V$) or not. This trapping, or quasi resonance (Dysthe & Harbitz, 1987; Young, 1988; Bowyer & MacAfee, 2005; Young & Vinoth, 2013; Kudryavtsev et al., 2015), mainly depends on the ratio of the wind speed to the translation velocity (Equation 5 and 6). Wave energy is more easily trapped if the translation velocity of the storm is small or the wind speed is high (Figure 3b and 6a).

• Stage 2: Decay of non-linear terms in an old sea

549

563

When the wind forcing decays, the wave energy does not immediately turn into 550 linearly propagating swell. Instead, dissipation may remain active, with the wave-551 wave interactions counteracting the wind forcing decay. The peak frequency down-552 shift ceases and the waves's steepness starts to decrease. Hence, the still steep non-553 linear sea decays (Kudryavtsev et al., 2021). This results in a transformation to 554 progressively more linear sea (old sea, Figure 10). Timescales on which the non-555 linear terms in the wave-action equation decay are inversely proportional to the 556 fourth power of the wave steepness and are typically about three hours (Zakharov 557 & Badulin, 2011; Zakharov et al., 2019). During this time, the wave field trans-558 forms from a non-linear (steep wave spectrum) to a dominantly linear sea state 559 (broader wave spectrum). Because the wave field still propagates during this re-560 laxation time, the location where the wave spectrum is dominantly linear differs 561 from the last location where the wind was still substantially growing waves. 562

• Stage 3: Linear propagation of swell

Once the wave field becomes linear, the wave energy in each frequency band prop-564 agates following the deep water wave dispersion relation as a *linear sea* (Figure 10 565 and radial propagation in Figure 4). At this stage, almost no interaction occurs 566 between the different frequency bands. From this point on, the travel distance and 567 energy attenuation are proportional to the amount of dispersion, which in turn 568 is the difference in the arrival time between waves of different frequencies (suppl. 569 material T1.4, Munk, 1947; Barber & Ursell, 1948; Ardhuin et al., 2009). A back-570 ward triangulation based on linear propagation as in section 3 can then be applied 571 successfully, as long as the swell's interactions with currents, eddies, and other wind 572 forcing remain weak along its great circle path. 573

-20-

The Gaussian wind model is a smooth forcing field that can also be related to the 574 scales of extra-tropical storms (Figure 6 and 11). Four parameters characterize the mov-575 ing fetch; its translation velocity V, its length-scale along the peak wind direction (95%-576 width), its lifetime (95%-duration), and its peak wind speed u_{max} . All of them are de-577 termined by synoptic-scale dynamics. It follows that processes that influence the storm's 578 intensity may also influence the shape, amplitude, and peak period of the observed swell 579 events (Figure 11). This analysis provides a practical means to connect observed swell 580 events to storm characteristics and confirms that non-local swell measurements can be 581 used to quantify storms over the open ocean (Hell et al., 2020). This can further link the 582 current and future swell wave climate to common diagnostics of extra-tropical storms 583 (Figure 11, Schultz et al., 2018; Hoskins et al., 1985; Schemm & Wernli, 2014) and their 584 statistics (Charney, 1947; Eady, 1949; Andrews & McIntyre, 1976; Bengtsson et al., 2006; 585 Mbengue & Schneider, 2016; Shaw et al., 2016, and others) 586

The idealized model of a moving fetch suggests that wave event intensities are most 587 sensitive to spatial gradients in the wind forcing fields (Figure 6a). Since the average size 588 of storms, and their fetch (1000 km), are constrained by basic properties of Earth's mid-589 latitudes flow (Eady, 1949; Bengtsson et al., 2009; Hodges et al., 2011; Catto, 2018; Sin-590 clair et al., 2020), the spatial wind gradient is mainly determined by the peak wind speed 591 u_{max} . A larger peak wind speed and a stronger spatial wind gradient lead to more ef-592 ficient trapping of the wave energy, with the consequence of larger swell waves. Note that 593 at the leading edge of the moving fetch, the spatial wind gradient is related to the com-594 plex dynamics at the storm's cold front. The Gaussian wind model (section 2.2) may not 595 fully capture these smaller-scale wind gradients but can be easily extended by introduc-596 ing non-Gaussian corrections to the spatial wind distribution. 597

Intensities of wave events are also sensitive to the ratio of the peak wind speed u_{max} 598 and storm propagation speed V because they are key to determine the trapping condi-599 tions (Equation 6). If their ratio, u_{max}/V , is relatively large, the trapped wave energy 600 leaves the wind forcing at its leading edge, co-located with the storm's cold front (Fig-601 ure 4 and Figure 7e). This can be interpreted as a "length-limited" fetch (Figure 2b and 602 Figure 5a). In contrast, if u_{max}/V is small the trapping is less intense and the wind forc-603 ing may decay before the wave energy reaches the leading edge of the fetch. This is bet-604 ter interpreted as a "time-limited" fetch (Figure 2c, Figure 5d). Length- or time-limited 605 fetches may frequently occur under extra-tropical storms (Figure 3, 6, and 11), while trop-606

ical storms usually reach a length-limited situation that constantly radiates waves (Fig-607 ure 2a). Under such a condition, the generated wave field would depend only on the storm's 608 propagation velocity (Kudryavtsev et al., 2015). 609

Reanalysis products have biases in their representation of wind extremes (Gille, 2005; 610 Hell et al., 2021). These wind extremes are represented in the Gaussian model as the peak 611 wind speed. The sensitivity of the resulting swell peak period to the peak wind speed 612 (section 2.4) indicates that biases in wind extremes can cause biases in wave models by 613 altering the processes of wave growth (Aouf et al., 2021). Errors in the peak wind speed 614 of a few meters per second change the spatial wind gradients, alter the location of the 615 highest energy convergence, and consequently the location where the swell energy starts 616 to travel as linear waves. This might result in biases in arrival times of swell events. The 617 present analysis suggests that swell analysis will lead to a better representation of ex-618 treme surface wind speeds and hence also improve surface wave models (Cavaleri, 2009; 619 Cardone et al., 1996; Ponce & Ocampo-Torres, 1998; Feng et al., 2006; Durrant et al., 620 2013; Stopa & Cheung, 2014; P. A. Janssen & Bidlot, 2018; Osinski & Radtke, 2020). 621

Any moving fetch with non-constant winds will have spatial wind gradients lead-622 ing to convergence of wave energy (section 2.2). A convergence of the characteristic curves 623 from different regions of the moving fetch can create wave-energy hot spots, indicated 624 by crossing characteristic curves (Figure 5). This convergence of wave energy may lead 625 to additional dissipation and/or additional wave-wave interactions, which intensify swell 626 wave growth and the down-shifting of the peak frequency. Hence, it could be modelled 627 as another forcing term in Equation 4, to which the wave spectrum can adjust rather 628 quickly. It also implies that these local wave energy convergences correspond to enhanced 629 breaking, which dissipates part of the wave energy in the upper ocean. Accordingly, we 630 speculate that the location of the strongest winds may not necessarily be the location 631 of the largest momentum transfers to the ocean, nor the location of the observable ori-632 gin of swell (Figure 4). Instead, swell source locations can be interpreted as markers for 633 intense momentum flux from the wave field to the ocean. 634

635

Finally, air-sea fluxes of heat, momentum, and CO_2 are currently parameterized by the standard bulk flux formulae (Fairall et al., 2003; Edson et al., 2013). The wave 636 field's contribution to these fluxes is often described by wave age $\alpha = 2 u c_q^{-1}$. We sug-637 gest that the sea state at many locations under a moving storm cannot be explained solely 638

-22-

by local parameters, like wave age (Figure 5 c and f). Because the local sea state results 639 from the moving wind fetch, its group velocity is constrained by wind forcing to which 640 the wave energy was previously exposed. This introduces a non-local condition on the 641 momentum transfer between the atmosphere and ocean. This means that feedbacks be-642 tween the wave spectrum and the turbulent spectrum of the atmosphere (Ayet et al., 2020; 643 Zou et al., 2020), or feedbacks of surface waves and the upper ocean (Li et al., 2016, 2019), 644 can only capture these wave-induced non-local conditions when the wave spectra are com-645 puted, i.e. advected, rather than assumed by local conditions. Alternatively, the wave 646 spectra could be characterised by metrics that account for non-local wave history that 647 goes beyond wave age. 648

Here we have used standard wave buoy observations of ocean swell in the eastern 649 Pacific to identify storm systems that generate wave events. We defined a parametric 650 swell model that combines standard swell spectra, a prescribed time decay, and the deep 651 water wave dispersion (suppl. Material T1). The novelty in this approach is that swell 652 events from storms are treated as objects whose shapes and origins are learned from the 653 data. This allows us to a) reevaluate common models of wave spectra, b) classify and 654 match swell observations in a diverse set of existing data sets, and c) use deviation from 655 this parametric model to learn about other phenomena, for example wave-current inter-656 action (Gallet & Young, 2014; Villas Bôas & Young, 2020; Quilfen & Chapron, 2019). 657

We have outlined how choices in the design of a supervised learning algorithm are 658 linked to the understanding of the physics we wish to investigate. Wave generation is 659 a stochastic process that involves non-linear physics, such that a single point source of 660 swell is not realistic, even though it is assumed in the parametric model (section 3.2, suppl. 661 Material T1). We account for this paradox by letting the optimization be imprecise (brute-662 force method), rather then precise (global optimization). The latter would likely over-663 fit the model, which could be corrected by an extensive posterior uncertainty exploration 664 around a prior defined optimum. In either case, imprecise optimization and uncertainty 665 estimates of the most likely swell origins play an important part in this analysis (Fig-666 ure 7). This approach suggests that observed swell arrivals could be modeled by a su-667 perposition of swell source points using ordinary fetch laws and Green's functions along 668 the trace (Fig. 7a, green dots). However, that kind of model would still fall short in de-669 scribing the non-linear dynamics prior the linear swell propagation (section 2). 670

-23-

⁶⁷¹ Appendix A Solution of the Lagrangian advection equation in the (X, t)⁶⁷² plane

673

A1 Method of characteristics for constant wind forcing

⁶⁷⁴ We follow Kudryavtsev et al. (2015) and solve the advection equation Equation (4)

in the moving frame of reference for constant winds u, a constant advection speed V along

a characteristic line $(t(s), X(s), c_g(s))$, and with initial conditions $t_0, X(t_0)$ and $c_g(t_0)$

at s = 0. The set of equations to be solved is

$$\frac{dt}{ds} = 1 \tag{A1}$$

$$\frac{d\omega_p}{ds} = \left(\frac{g}{u}\right)^2 \phi(\alpha) \tag{A2}$$

$$\frac{dX}{ds} = c_g - V, \tag{A3}$$

where the peak period ω_p is related to the peak group velocity via the deep water dispersion relation $c_g = \frac{1}{2} \frac{g}{\omega_p}$. The equations A1 to A3 are solved numerically in section 2.2 and there after. The characteristics curves are initialized for numerical reason the from $\omega_p \approx 20 \ \pi \ s^{-1}$. This corresponds to c_g of about $7.8 \times 10^{-2} \ m \ s^{-1}$ and its difference from zero has no effects on the overall results.

Equation (A1) reduces to $s = t - t_0$ and hence gives the characteristic coordinate as a function of time. Equation (A2) is the temporal fetch relation which reads in dimensional coordinates

$$\omega_p(t) = c_{\alpha t} \frac{g}{u} \left(\frac{g}{u}\right)^{q_t} (t - t_0)^{q_t} + C_\omega, \tag{A4}$$

with C_{ω} is the integration constant, and q_t and c_{α} are defined in appendix A3 or Kudryavtsev et al. (2015). Equation (A2) can also be solved for the group velocity c_g , and yields

$$c_g(t) = c_{\tau}^{q_t} u \left(\frac{g}{u}\right)^{-q_t} (t - t_0)^{-q_t} + c_g(t_0).$$
(A5)

with c_{τ} again defined in appendix A3. Finally, the position X along the characteristic reads, from equation (A3)

$$X(t) = \frac{1}{-q_t + 1} c_{\tau}^{q_t} u \left(\frac{g}{u}\right)^{-q_t} (t - t_0)^{-q_t + 1} + (t - t_0)[c_g(t_0) - V] + X(t_0).$$
(A6)

683 684

A2 Derivation of the critical time and length scale for constant moving wind forcing

Waves generated at the beginning of the storm $(t_0 = 0)$ follow characteristic curves with initial conditions $X(0) = X_0$ and $c_g(0) = 0$, assuming the sea initially at rest. The time scale t_{crit} at which the trapping of wave every appears is when Equation (A5) equals the speed of the storm V, such that

$$V = c_{\tau}^{q_t} u \left(\frac{g}{u}\right)^{-q_t} t_{crit}^{-q_t},\tag{A7}$$

which yields

$$t_{crit} = \frac{c_{\tau}}{g} \ u^{-q} \ V^{1+\frac{1}{q}}.$$
 (A8)

At t_{crit} , waves that have started at X_{crit} should be exactly at the rear boundary of the storm, i.e. at X = 0. From equation (A6), this yields

$$X_{crit} = \frac{-1}{-q_t + 1} c_{\tau}^{q_t} \ u\left(\frac{g}{u}\right)^{-q_t} t_{crit}^{-q_t + 1} + t_{crit} \ V, \tag{A9}$$

$$X_{crit} = \frac{c_{\tau}}{g} \ u^{1+\frac{1}{q_t}} \ V^{1-\frac{1}{q_t}} \left[\frac{q_t}{1-q_t}\right],\tag{A10}$$

$$X_{crit} = \frac{c_{\tau}}{g} q u^2 \left(\frac{u}{V}\right)^{\frac{1}{q}},\tag{A11}$$

with using Equation (A8) and q_t defined in Equation (A13). Waves with an initial condition $X_0 > X_{crit}$ will eventually move faster than the storm and will all have the same group velocity at a given time, following the temporal fetch law Equation (A5).

690

A3 Choice of constants

Wave growth estimated by the Lagrangian advection equation (Equation 4) and subsequent quantities depend on a set of semi-empirical parameters (Badulin et al., 2007). Here we choose parameters based on K. Hasselmann et al. (1976), for the case of a "young sea". With the choice of q = -3/10 and a wave growth parameter $c_{\alpha} = 15.4$, the other parameters follow as

$$p = -5q - \frac{1}{2} = 1, (A12)$$

$$q_t = \frac{q}{1+q} = -0.43,\tag{A13}$$

$$c_{\alpha t} = \left[c_{\alpha}^{\frac{1}{q}} \frac{1+q}{2}\right]^{q_t} \approx 76.08,\tag{A14}$$

$$c_e \approx 4.41 \times 10^{-7},\tag{A15}$$

and

$$c_{\tau} = 2^{\left(1 - \frac{1}{q_t}\right)} c_{\alpha}^{-\frac{1}{q}} (1+q)^{-1} \approx 1.23 \times 10^5.$$
 (A16)

Note that, Kudryavtsev et al. (2015) used a slightly different q (see their appendix A1), but the results are comparable.



Figure 1. a) Example synoptic situation on February 2nd, 2016 with the surface wind speed (shading) and negative anomalies of Sea level Pressure (SLP) in dark blue with 5 hPa increments. The arrows indicate the surface wind direction and intensity. The position of the CDIP wave buoy stations in panel b to e are shown as colored dots. The 10-meter winds and SLP fields are taken from the hourly ERA5 analysis on a 0.25 °-grid (European Centre for Medium-Range Weather Forecasts fifth-generation reanalysis for the global climate and weather (CDS), 2017). (b to e) Observed spectrograms between mid-January and mid-February 2016 for CDIP029, CDIP067, CDIP106 and CDIP166 (Behrens et al., 2019). The black dots indicate individual swell events identified by their long-period forerunner (suppl. material T1).

693 Acknowledgments

- The CDIP data is available on the wave buoy observations were furnished by the Coastal
- ⁶⁹⁵ Data Information Program (CDIP, https://doi.org/10.18437/C7WC72), Integrative Oceanog-
- raphy Division, operated by the Scripps Institution of Oceanography, under the spon-
- ⁶⁹⁷ sorship of the U.S. Army Corps of Engineers and the California Department of Parks
- and Recreation. The ERA5 reanalysis was provided through the through the Coperni-
- cus Climate Change Service Climate Data Store (CDS, https://doi.org/10.24381/cds.adbb2d47)
- ⁷⁰⁰ in 2017. Neither the European Commission nor ECMWF is responsible for any use that
- ⁷⁰¹ may be made of the Copernicus information or data it contains.



Figure 2. Characteristic wave energy curves for an idealized fetch model with constant and translating wind. a) Characteristic curves for typical scales of a tropical cyclone ($V=10 \text{ m s}^{-1}$, $u=30 \text{ m s}^{-1}$, duration T=4 days, length scale is 200 km, same parameters as in Kudryavtsev et al., 2015). The characteristic curves with lowest ω_p and the highest wave energy, i.e. the longest characteristic curve (dark blue) start at the red dot (X_{crit}) and goes to its exit location (green dot). The green line indicates exit locations that have the same value of ω_p as the green dot, but in this case the wave energy was generated along the light blue lines starting after τ_{crit} (dashed black line). Orange lines indicate characteristic curves that start at t_0 but don't grow as long as the longest characteristic curve and result in smaller wave energy. The thickness of the characteristic curves is proportional to the wave's energy, or ω_p^{-1} . b) Same as a) but for a length-limited extra-tropical storm with strong winds ($V=10 \text{ m s}^{-1}$, $u=20 \text{ m s}^{-1}$, duration T=5 days, length scale is 1000 km). c) Same as b) but for a time-limited extra-tropical storm with weak winds $u=10 \text{ m s}^{-1}$.



Figure 3. a) Travel time of the longest characteristic divided by the fetch duration (5 days) for constant moving wind model with a propagation speed $V = 10 \text{ m s}^{-1}$ (as in Figure 2b,c). Blue shading indicates length-limited fetches, red shading indicates time-limited fetches and the black line shows cases with a travel time along the longest characteristic curve equal to the duration of the fetch. The green line indicates the parameter space in b). b) Group velocity of the longest characteristic curves of fetches with L=1000 km, translational speed of $V=10 \text{ m s}^{-1}$, but varying wind speed and duration. The trapping condition ($c_g = V$) is shown as black dashed line, while the fetch- and time-limited cases are shown as red and blue lines.



Figure 4. A moving fetch embedded in an Northern Hemisphere extra-tropical storm. The storms center L is adjacent by a warm and cold front (thick gray lines with half circles or triangles). The moving fetch is located behind the cold front (gray shading with blue arrows) and moves with the same translational velocity V as the cyclone center L (orange arrows) to the bottom right. The green area indicated the source region as suggested by a Gaussian moving wind model (section 2.2) and observations (section 3). Swell waves radiate away from this source region (small gray arrows).



Figure 5. Characteristic curves from two-dimensional Gaussian winds in the moving frame of reference. a) two-dimensional Gaussian wind forcing (gray shading) with characteristic curves (colored lines) within the 95%-extension of the winds (black dashed lines). The wind forcing is defined by a 95%-width of 1000 km, a 95%-duration of 3.6 days, a translational velocity V of 10 m s⁻¹ and peak wind speed u_{max} of 20 m s⁻¹. b) Group velocity along the characteristic curves as a function of time with colors same as in a). The translational velocity V = 10 m s⁻¹ is shown as black dashed line. c) Same as in b) but for wave age $\alpha = 2 c_g / u_{10}$. The dashed-dotted and dashed line indicate α =1 or 10 respectively. d) to f) as as a) to c) but for peak wind speed $u_{max}=10$ m s⁻¹ rather then $u_{max}=20$ m s⁻¹.



Figure 6. The dependences of the largest generated group velocity from the two-dimensional Gaussian wind model on the storm's scales. a) Largest generated group velocities for varying translational velocity V and peak wind speed u_{max} . The dashed black line separates fetch- and time-limited cases. Case 1 and 2 from Figure 5 are shown as the black upward- and downward pointing triangles. b) Same as a) but for changes in the 95%-width and 95%-duration. The parameter space of a) and b) are represented as green or blue dot in the respective other panel. The observational case from section 3 (Figure 9c) is shown as red dot in a) and b).



Figure 7. Results for the source point optimization for the case study in January 2016. a) The colored circles show the best fit great-circle distanced for the respective stations (colored dots). The great-circle radii correspond to the sloped lines in panel b to f and the green hexagon is the position of the most likely common origin on January 4th 2016 at 06:00 UTC. The green shading shows the the likelihood measure $L_{e_f} > 0.5$ for this time step and the black contour the corresponding likelihood of $L_{e_f} = 0.6$. (b) to (f) The fitted parametric models (contours) compared to the station data (colored shading). The gray shadings in panel (b) to (f) is the weighting on the data during the optimization, and the weight in the sub-titles is the data's weight in the multi-station cost function (Suppl. Material T1).



Figure 8. Optimized source locations compared to reanalysis winds (shading and vectors as in Figure 1) and negative SLP anomaly (dark blue contours as in Figure 1) for a date early in the event (a, 2016-01-03 10:00), the most likely origin time (b, 2016-01-04 04:00), and late in the event (c, 2016-01-04 14:00). The light green dots or the hexagon represent the most likely swell wave origin for the respective time step and the dark green dots are most likely swell wave origins for all time steps. The black line between the point A and B is a least-square fit to these dots of most likely origin and defines the transect through the wind data in panel d) and e). The transect through the wind data between point A and B is shown for along-transect (d) and across transect (e) winds. The wind data is indicated in red and blue shading, the area observed of most likely wave origin as green contours ($L_{e_f} \geq 0.6$), and its maximum as green hexagon. The estimated translational velocity along the transect is shown as black line (see suppl. Material F2).



Figure 9. Observed winds in the moving frame of reference. a) Same as figure 8d but in the moving frame of reference. The black line figure 8d would be here a vertical line. b) Same as a) but with characteristic curves of ω_p solving Equation 4 with the method of characteristics. c) Same as Figure 5a but for scale estimated from (b): 95%-width = 2800 km, 95%-duration = 4 days, $u_{max} = 22 \text{ m s}^{-1}$, and $V = 14.1 \text{ m s}^{-1}$. The characteristic curves with the highest wave energy are marked as blue line in panel b and c and the green hexagon indicates the position where wave growth can terminate the latest. The dashed black line in (c) is the 95%-boundary of the forcing field.



Figure 10. Schematic of wave growth under a moving storm with Gaussian wind. The gray shading shows the wind forcing and the dashed gray line marks the 95%-boundary of the Gaussian wind forcing. The colored lines are characteristic curves of wave generation in the reference system of moving extra-tropical storm. Wave growth starts with a *young sea* from rest and a small peak group speed. It develops into a *growing sea* that travels at the speed of the storm, until the wind forcing retires such that the sea state eventually stops growing and the non-linear wave-growth terms decay. Once the wave energy in each frequency band is dominantly linear the wave energy disperses and travel as *linear sea*, i.e. swell.



Figure 11. Peak group velocity c_g of wave events from a Gaussian wind forcing of different velocity V and duration. The given peak wind speed and 95%-width are predefined as $u_{max} = 10$ m s⁻¹ and 1000 km. The joint distributions of storm track speeds and lifetime are shown for the Northern Hemisphere (red) and Southern Hemisphere (black) as contours and their maxima as colored dots. The results for scales of a Gaussian wind forcing as in Figure 5d to f are shown as blue triangle. The storm track statistics are derived from reanalysis sea level pressure fields using Murray and Simmonds (1991a) and Murray and Simmonds (1991b). Note that this algorithm does not provide a peak wind speed u_{max} such that we assume 10 m s⁻¹, even though we point out that u_{max} is an important parameter for the resulting peak group velocity.

- MH and AA thank Bruce Cornuelle and Sarah Gille for discussing topics related
- to this paper. This is part of MH Phd thesis and was supported by the NASA grant 80NSSC19K0059.
- AA was funded by a CNES post-doctoral grant. We thank Laure Baratgin for her help
- during her summer internship at Scripps Institution of Oceanography and Leonidas Tsopouridis
- ⁷⁰⁶ for providing the storm track data.

707 **References**

702

- Allen, S., Ferro, C. A. T., & Kwasniok, F. (2020). Recalibrating wind-speed fore casts using regime-dependent ensemble model output statistics. Q. J. R. Mete orol. Soc., 146, 2576–2596. doi: 10.1002/qj.3806
- Andrews, D. G., & McIntyre, M. E. (1976, November). Planetary waves
 in horizontal and vertical shear: The generalized Eliassen-Palm relation
 and the mean zonal acceleration. J. Atmos. Sci., 33, 2031–2048. doi:
 10.1175/1520-0469(1976)033(2031:PWIHAV)2.0.CO;2
- Aouf, L., Hauser, D., Chapron, B., Toffoli, A., Tourain, C., & Peureux, C. (2021).
 New Directional Wave Satellite Observations: Towards Improved Wave Forecasts and Climate Description in Southern Ocean. *Geophys. Res. Lett.*, 48,
 e2020GL091187. doi: 10.1029/2020GL091187
- 719
 Ardhuin, F., Chapron, B., & Collard, F.
 (2009, March).
 Observation of

 720
 swell dissipation across oceans.
 Geophys. Res. Lett., 36, L06607.
 doi:

 721
 10.1029/2008GL037030
 Geophys. Res. Lett., 36, L06607.
 doi:
- Ayet, A., Chapron, B., Redelsperger, J. L., Lapeyre, G., & Marié, L. (2020,
 March). On the Impact of Long Wind-Waves on Near-Surface Turbulence and Momentum Fluxes. *Bound.-Layer Meteorol.*, 174, 465–491. doi: 10.1007/s10546-019-00492-x
- Badulin, S. I., Babanin, A. V., Zakharov, V. E., & Resio, D. (2007, November).
 Weakly turbulent laws of wind-wave growth. J. Fluid Mech., 591, 339–378.
 doi: 10.1017/S0022112007008282
- Barber, N. F., & Ursell, F. (1948, February). The generation and propagation of
 ocean waves and swell. I. Wave periods and velocities. *Phil. Trans. R. Soc.* Lond. A, 240, 527–560. doi: 10.1098/rsta.1948.0005
- Behrens, J., Thomas, J., Terrill, E., & Jensen, R. (2019, March). CDIP: Maintaining
 a Robust and Reliable Ocean Observing Buoy Network. In 2019 IEEE/OES

734	Twelfth Current, Waves and Turbulence Measurement (CWTM) (pp. 1–5). San
735	Diego, CA, USA: IEEE. doi: 10.1109/CWTM43797.2019.8955166
736	Bengtsson, L., Hodges, K. I., & Keenlyside, N. (2009, May). Will Extratropical
737	Storms Intensify in a Warmer Climate? J. Climate, 22, 2276–2301. doi: 10
738	.1175/2008JCLI2678.1
739	Bengtsson, L., Hodges, K. I., & Roeckner, E. (2006, August). Storm Tracks and Cli-
740	mate Change. J. Climate, 19, 3518–3543. doi: 10.1175/JCLI3815.1
741	Bjerknes, J. (1919, February). On the structure of moving cyclones. Mon. Wea.
742	Rev.,~47,~95-99.doi: 10.1175/1520-0493(1919)47 (95:OTSOMC>2.0.CO;2
743	Bourassa, M. A., Gille, S. T., Bitz, C., Carlson, D., Cerovecki, I., Clayson, C. A.,
744	Wick, G. A. (2013, March). High-Latitude Ocean and Sea Ice Surface Fluxes:
745	Challenges for Climate Research. Bull. Amer. Meteor. Soc., 94, 403–423. doi:
746	10.1175/BAMS-D-11-00244.1
747	Bourassa, M. A., Meissner, T., Cerovecki, I., Chang, P. S., Dong, X., De Chiara,
748	G., Wentz, F. (2019). Remotely Sensed Winds and Wind Stresses
749	for Marine Forecasting and Ocean Modeling. Front. Mar. Sci., 6. doi:
750	10.3389/fmars.2019.00443
751	Bowyer, P. J., & MacAfee, A. W. (2005, June). The Theory of Trapped-Fetch
752	Waves with Tropical Cyclones—An Operational Perspective. Weather Fore-
753	<i>cast.</i> , 20, 229–244. doi: 10.1175/WAF849.1
754	Cardone, V. J., Jensen, R. E., Resio, D. T., Swail, V. R., & Cox, A. T. (1996,
755	February). Evaluation of Contemporary Ocean Wave Models in Rare Ex-
756	treme Events: The "Halloween Storm" of October 1991 and the "Storm of
757	the Century" of March 1993. J. Atmos. Oceanic Technol., 13, 198–230. doi:
758	$10.1175/1520\text{-}0426(1996)013\langle 0198\text{:}\text{EOCOWM}\rangle 2.0.\text{CO}\text{;}2$
759	Catto, J. L. (2018, June). A New Method to Objectively Classify Extratropical Cy-
760	clones for Climate Studies: Testing in the Southwest Pacific Region. J. Clim.,
761	31, 4683–4704. doi: 10.1175/JCLI-D-17-0746.1
762	Cavaleri, L. (1994). Applications to wave hindcasting and forecasting; Chapter
763	IV. In Dynamics and Modeling of Ocean Waves (p. 532). Cambridge Univer-
764	sity Press, USA.
765	Cavaleri, L. (2009, November). Wave Modeling-Missing the Peaks. J. Phys.
766	Oceanogr., 39, 2757–2778. doi: 10.1175/2009JPO4067.1

767	(CDS), C. C. C. S. C. D. S. (2017, June). Copernicus Climate Change Service (C3S)
768	(2017): ERA5: Fifth generation of ECMWF atmospheric reanalyses of the
769	$global\ climate.$
770	Chapron, B., Johnsen, H., & Garello, R. (2001, November). Wave and wind retrieval
771	from sar images of the ocean. Ann. Télécommun., 56, 682–699. doi: 10.1007/
772	BF02995562
773	Charney, J. (1947). The Dynamics of Long Waves in a Baroclinic Westerly Current.
774	J. Meteorol., 4, 135–162.
775	Chen, S. S., Price, J. F., Zhao, W., Donelan, M. A., & Walsh, E. J. (2007). The
776	CBLAST-Hurricane Program and the Next-Generation Fully Coupled Atmo-
777	sphere–Wave–Ocean Models for Hurricane Research and Prediction. Bull. Am.
778	Meteorol. Soc., 88, 311–317.
779	Collard, F., Ardhuin, F., & Chapron, B. (2009). Monitoring and analysis of ocean
780	swell fields from space: New methods for routine observations. J. Geophys.
781	Res. Oceans, 114. doi: 10.1029/2008JC005215
782	Doyle, J. D. (1995, October). Coupled ocean wave/atmosphere mesoscale model sim-
783	ulations of cyclogenesis. Tellus A, 47, 766–778. doi: 10.1034/j.1600-0870.1995
784	.00119.x
785	Doyle, J. D. (2002, December). Coupled Atmosphere–Ocean Wave Simulations un-
786	der High Wind Conditions. Mon. Wea. Rev., 130, 3087–3099. doi: 10.1175/
787	$1520\text{-}0493(2002)130\langle 3087\text{:} CAOWSU\rangle 2.0.CO; 2$
788	Durrant, T. H., Greenslade, D. J. M., & Simmonds, I. (2013, October). The effect
789	of statistical wind corrections on global wave forecasts. Ocean Modelling, 70,
790	116–131. doi: $10.1016/j.ocemod.2012.10.006$
791	Dysthe, K. B., & Harbitz, A. (1987). Big waves from polar lows? Tellus A, 39A,
792	500–508. doi: 10.1111/j.1600-0870.1987.tb00324.x
793	Eady, E. T. (1949, January). Long Waves and Cyclone Waves. Tellus, 1, 33–52. doi:
794	10.3402/tellusa.v1i3.8507
795	Edson, J. B., Jampana, V., Weller, R. A., Bigorre, S. P., Plueddemann, A. J.,
796	Fairall, C. W., Hersbach, H. (2013, May). On the Exchange of Mo-
797	mentum over the Open Ocean. J. Phys. Oceanogr., 43, 1589–1610. doi:
798	10.1175/JPO-D-12-0173.1
799	Elfouhaily, T., Chapron, B., Katsaros, K., & Vandemark, D. (1997, July). A unified

800	directional spectrum for long and short wind-driven waves. J. Geophys. Res.,
801	102, 15781 - 15796. doi: $10.1029/97$ JC00467
802	Enríquez, A. R., Marcos, M., Álvarez-Ellacuría, A., Orfila, A., & Gomis, D.
803	(2017, July). Changes in beach shoreline due to sea level rise and waves
804	under climate change scenarios: Application to the Balearic Islands (west-
805	ern Mediterranean). Nat. Hazards Earth Syst. Sci., 17, 1075–1089. doi:
806	10.5194/nhess-17-1075-2017
807	Fairall, C. W., Bradley, E. F., Hare, J. E., Grachev, A. A., & Edson, J. B. (2003,
808	February). Bulk Parameterization of Air–Sea Fluxes: Updates and Ver-
809	ification for the COARE Algorithm. J. Climate, 16, 571–591. doi:
810	$10.1175/1520\text{-}0442(2003)016\langle 0571\text{:}\text{BPOASF}\rangle 2.0.\text{CO}\text{;}2$
811	Feng, H., Vandemark, D., Quilfen, Y., Chapron, B., & Beckley, B. (2006, Au-
812	gust). Assessment of wind-forcing impact on a global wind-wave model
813	using the TOPEX altimeter. Ocean Engineering, 33, 1431–1461. doi:
814	10.1016/j.oceaneng.2005.10.015
815	Ferreira, O. (SPR 2005). Storm groups versus extreme single storms: Predicted ero-
816	sion and management consequences. J. Coast. Res., 221–227.
817	Gallet, B., & Young, W. R. (2014). Refraction of swell by surface currents. J. Mar.
818	Res., 72, 105–126. doi: info:doi/10.1357/002224014813758959
819	Gille, S. T. (2005, September). Statistical Characterization of Zonal and Meridional
820	Ocean Wind Stress. J. Atmospheric Ocean. Technol., 22, 1353–1372. doi: 10
821	.1175/JTECH1789.1
822	Hasselmann, K., Barnett, T. P., Bouws, E., Carlson, H., Cartwright, D. E., Enke,
823	K., Walden, H. (1973). Measurements of wind-wave growth and swell
824	decay during the Joint North Sea Wave Project (JONSWAP). Ergänzungsheft
825	8-12.
826	Hasselmann, K., Sell, W., Ross, D. B., & Müller, P. (1976, March). A Parametric
827	Wave Prediction Model. J. Phys. Oceanogr., 6, 200–228. doi: 10.1175/1520
828	$-0485(1976)006\langle 0200; \mathrm{APWPM}\rangle 2.0.\mathrm{CO}; 2$
829	Hasselmann, S., & Hasselmann, K. (1985, November). Computations and
830	Parameterizations of the Nonlinear Energy Transfer in a Gravity-Wave
831	Spectrum. Part I: A New Method for Efficient Computations of the Ex-
832	act Nonlinear Transfer Integral. J. Phys. Oceanogr., 15, 1369–1377. doi:

-40-

manuscript submitted to JGR: Oceans

833	$10.1175/1520\text{-}0485(1985)015\langle 1369\text{:} \text{CAPOTN}\rangle 2.0.\text{CO}\text{;}2$
834	Hauser, D., Tourain, C., Hermozo, L., Alraddawi, D., Aouf, L., Chapron, B.,
835	Tran, N. (2020). New Observations From the SWIM Radar On-Board
836	CFOSAT: Instrument Validation and Ocean Wave Measurement Assessment.
837	IEEE Trans. Geosci. Remote Sens., 1–22. doi: 10.1109/TGRS.2020.2994372
838	Hell, M. C., Cornuelle, B. D., Gille, S. T., & Lutsko, N. J. (2021, April). Time-
839	Varying Empirical Probability Densities of Southern Ocean Surface Winds:
840	Linking the Leading Mode to SAM and QuantifyingWind Product Differences.
841	J. Clim., -1, 1–80. doi: 10.1175/JCLI-D-20-0629.1
842	Hell, M. C., Cornuelle, B. D., Gille, S. T., Miller, A. J., & Bromirski, P. D. (2019,
843	October). Identifying Ocean Swell Generation Events from Ross Ice Shelf Seis-
844	mic Data. J. Atmos. Oceanic Technol., 36, 2171–2189. doi: 10.1175/JTECH-D
845	-19-0093.1
846	Hell, M. C., Gille, S. T., Cornuelle, B. D., Miller, A. J., Bromirski, P. D., & Craw-
847	ford, A. D. (2020). Estimating Southern Ocean Storm Positions With
848	Seismic Observations. J. Geophys. Res. Oceans, 125, e2019JC015898. doi:
849	10.1029/2019JC015898
850	Hodges, K. I., Lee, R. W., & Bengtsson, L. (2011, April). A Comparison
851	of Extratropical Cyclones in Recent Reanalyses ERA-Interim, NASA
852	MERRA, NCEP CFSR, and JRA-25. J. Climate, 24, 4888–4906. doi:
853	10.1175/2011JCLI4097.1
854	Hoskins, B. J., McIntyre, M. E., & Robertson, A. W. (1985). On the use and signif-
855	icance of isentropic potential vorticity maps. Q.J.R. Meteorol. Soc., 111, 877–
856	946. doi: 10.1002/qj.49711147002
857	Hunt, I. A. (1961). Design of Sea-Walls and Breakwaters. Trans. Am. Soc. Civ.
858	$Eng.,\ 126,\ 542-570.$
859	Husson, R., Ardhuin, F., Collard, F., Chapron, B., & Balanche, A. (2012, August).
860	Revealing forerunners on Envisat's wave mode ASAR using the Global Seismic
861	Network. Geophys. Res. Lett., 39. doi: 10.1029/2012GL052334
862	Janssen, P. (2004). The Interaction of Ocean Waves and Wind. Cambridge: Cam-
863	bridge University Press. doi: 10.1017/CBO9780511525018
864	Janssen, P. A., & Bidlot, JR. (2018). Progress in Operational Wave Forecasting.

866	Jiang, H., Stopa, J. E., Wang, H., Husson, R., Mouche, A., Chapron, B., & Chen,
867	G. (2016). Tracking the attenuation and nonbreaking dissipation of
868	swells using altimeters. J. Geophys. Res. Oceans, 121, 1446–1458. doi:
869	10.1002/2015 JC011536
870	Kitaigorodskii, S. A. (1962). Applications of the theory of similarity to the analysis
871	of wind-generated wave motion as a stochastic process. Izv Geophys Ser Acad
872	$Sci \ USSR, \ 1, \ 105-117.$
873	Klotz, B. W., Neuenschwander, A., & Magruder, L. A. (2020). High-Resolution
874	Ocean Wave and Wind Characteristics Determined by the ICESat-2
875	Land Surface Algorithm. Geophys. Res. Lett., 47, e2019GL085907. doi:
876	10.1029/2019GL085907
877	Kudryavtsev, V., Golubkin, P., & Chapron, B. (2015). A simplified wave enhance-
878	ment criterion for moving extreme events. J. Geophys. Res. Oceans, 120,
879	7538–7558. doi: $10.1002/2015$ JC011284
880	Kudryavtsev, V., Yurovskaya, M., & Chapron, B. (2021). 2D Parametric Model for
881	Surface Wave Development Under Varying Wind Field in Space and Time. J .
882	Geophys. Res. Oceans, 126, e2020JC016915. doi: 10.1029/2020JC016915
883	Li, Q., Reichl, B. G., Fox-Kemper, B., Adcroft, A. J., Belcher, S. E., Danabasoglu,
884	G., Zheng, Z. (2019). Comparing Ocean Surface Boundary Vertical Mix-
885	ing Schemes Including Langmuir Turbulence. J. Adv. Model. Earth Syst., 11,
886	3545–3592. doi: $10.1029/2019MS001810$
887	Li, Q., Webb, A., Fox-Kemper, B., Craig, A., Danabasoglu, G., Large, W. G.,
888	& Vertenstein, M. (2016, July). Langmuir mixing effects on global cli-
889	mate: WAVEWATCH III in CESM. Ocean Model., 103, 145–160. doi:
890	10.1016/j.ocemod.2015.07.020
891	Makin, V. K. (2008, December). On the Possible Impact of a Following-Swell on the
892	Atmospheric Boundary Layer. Boundary-Layer Meteorol, 129, 469–478. doi:
893	10.1007/s10546-008-9320-z
894	Mbengue, C., & Schneider, T. (2016, October). Storm-Track Shifts under
895	Climate Change: Toward a Mechanistic Understanding Using Baroclinic
896	Mean Available Potential Energy. J. Atmos. Sci., 74, 93–110. doi:
897	10.1175/JAS-D-15-0267.1

-42-

899	Harbour. J. Waterw. Port Coast. Ocean Eng., 118, 352–367. doi: 10.1061/
900	(ASCE)0733-950X(1992)118:4(352)
901	Morrow, R., Fu, LL., Ardhuin, F., Benkiran, M., Chapron, B., Cosme, E.,
902	Zaron, E. D. (2019). Global Observations of Fine-Scale Ocean Surface To-
903	pography With the Surface Water and Ocean Topography (SWOT) Mission.
904	Front. Mar. Sci., 6. doi: 10.3389/fmars.2019.00232
905	Munk, W. H. (1947, April). Tracking storms by forerunners of swell. J. Meteor., 4,
906	45–57. doi: 10.1175/1520-0469(1947)004 (0045:TSBFOS)2.0.CO;2
907	Munk, W. H., & Snodgrass, F. E. (1957, January). Measurements of southern swell
908	at Guadalupe Island. Deep Sea Research (1953), 4, 272–286. doi: 10.1016/
909	0146-6313(56)90061-2
910	Murray, R. J., & Simmonds, I. (1991a). A numerical scheme for tracking cyclone
911	centres from digital data. Part I: Development and operation of the scheme.
912	Aust Meteor Mag, 39, 155–166.
913	Murray, R. J., & Simmonds, I. (1991b). A numerical scheme for tracking cyclone
914	centres from digital data. Part II: Application to January and July general
915	circulation model simulations. Aust Meteor Mag, 39, 167–180.
916	Neiman, P. J., & Shapiro, M. A. (1993, August). The Life Cycle of an Ex-
917	tratropical Marine Cyclone. Part I: Frontal-Cyclone Evolution and Ther-
918	modynamic Air-Sea Interaction. Mon. Wea. Rev., 121, 2153–2176. doi:
919	$10.1175/1520\text{-}0493(1993)121\langle 2153\text{:}\text{TLCOAE}\rangle 2.0.\text{CO}\text{;}2$
920	Neiman, P. J., Shapiro, M. A., & Fedor, L. S. (1993, August). The Life Cycle of an
921	Extratropical Marine Cyclone. Part II: Mesoscale Structure and Diagnostics.
922	$Mon. \ Wea. \ Rev., \ 121, \ 2177-2199. \qquad \ \ {\rm doi:} \ \ 10.1175/1520-0493(1993)121\langle 2177:$
923	$TLCOAE \rangle 2.0.CO;2$
924	Neu, U., Akperov, M. G., Bellenbaum, N., Benestad, R., Blender, R., Caballero,
925	R., Wernli, H. (2012, September). IMILAST: A Community Effort to
926	Intercompare Extratropical Cyclone Detection and Tracking Algorithms. Bull.
927	Amer. Meteor. Soc., 94, 529–547. doi: 10.1175/BAMS-D-11-00154.1
928	O'Reilly, W. C., Olfe, C. B., Thomas, J., Seymour, R. J., & Guza, R. T. (2016, Oc-
929	tober). The California coastal wave monitoring and prediction system. $Coastal$
930	Engineering, 116, 118–132. doi: 10.1016/j.coastaleng.2016.06.005
931	Osinski, R. D., & Radtke, H. (2020, March). Ensemble hindcasting of wind and

-43-

932	wave conditions with WRF and WAVEWATCH III driven by ERA5. Ocean
933	Sci., 16, 355–371. doi: 10.5194/os-16-355-2020
934	Pierson, W. J., & Moskowitz, L. (1964, December). A proposed spectral form for
935	fully developed wind seas based on the similarity theory of S. A. Kitaigorod-
936	skii. J. Geophys. Res., 69, 5181–5190. doi: 10.1029/JZ069i024p05181
937	Ponce, S., & Ocampo-Torres, F. J. (1998). Sensitivity of a wave model to wind vari-
938	ability. J. Geophys. Res. Oceans, 103, 3179–3201. doi: 10.1029/97JC02328
939	Quilfen, Y., & Chapron, B. (2019). Ocean Surface Wave-Current Signatures From
940	Satellite Altimeter Measurements. Geophys. Res. Lett., 46, 253–261. doi: 10
941	.1029/2018GL081029
942	Ribal, A., & Young, I. R. (2019, December). Calibration and Cross Validation of
943	Global Ocean Wind Speed Based on Scatterometer Observations. J. Atmos.
944	Oceanic Technol., 37, 279–297. doi: 10.1175/JTECH-D-19-0119.1
945	Russell, P. E. (1993, November). Mechanisms for beach erosion during storms. Con-
946	tinental Shelf Research, 13, 1243–1265. doi: 10.1016/0278-4343(93)90051-X
947	Schemm, S., & Wernli, H. (2014). The linkage between the warm and the cold
948	conveyor belts in an idealized extratropical cyclone. J. Atmospheric Sci., 71,
949	1443–1459.
950	Schultz, D. M., Bosart, L. F., Colle, B. A., Davies, H. C., Dearden, C., Keyser, D.,
951	Winters, A. C. (2018, January). Extratropical Cyclones: A Century of
952	Research on Meteorology's Centerpiece. Meteorol. Monogr., 59, 16.1-16.56.
953	doi: 10.1175/AMSMONOGRAPHS-D-18-0015.1
954	Schultz, D. M., Keyser, D., & Bosart, L. F. (1998, July). The Effect of Large-Scale
955	Flow on Low-Level Frontal Structure and Evolution in Midlatitude Cyclones.
956	Mon. Wea. Rev., 126, 1767–1791. doi: 10.1175/1520-0493(1998)126(1767:
957	$TEOLSF \rangle 2.0.CO;2$
958	Shapiro, M. A., & Keyser, D. (1990). Fronts, jet streams, and the tropopause. Ex-
959	tratropical Cyclones, The Erik Palmen Memorial Volume, CW Newton and E.
960	Holopainen, Eds. Amer Meteor Soc, 167.
961	Shaw, T. A., Baldwin, M., Barnes, E. A., Caballero, R., Garfinkel, C. I., Hwang,
962	YT., Voigt, A. (2016, September). Storm track processes and the
963	opposing influences of climate change. Nature Geosci, 9, 656–664. doi:
964	10.1038/ngeo2783

-44-

964

965	Sinclair, V. A., Rantanen, M., Haapanala, P., Räisänen, J., & Järvinen, H. (2020,
966	January). The characteristics and structure of extra-tropical cyclones in a
967	warmer climate. Weather Clim. Dynam., 1, 1–25. doi: 10.5194/wcd-1-1-2020
968	Snodgrass, F. E., Groves, G. W., Hasselmann, K. F., Miller, G. R., Munk, W. H.,
969	& Powers, W. H. (1966, May). Propagation of Ocean Swell across the Pa-
970	cific. Philos. Trans. R. Soc. Lond. Math. Phys. Eng. Sci., 259, 431-497. doi:
971	10.1098/rsta.1966.0022
972	Stopa, J. E., & Cheung, K. F. (2014, March). Intercomparison of wind and
973	wave data from the ECMWF Reanalysis Interim and the NCEP Cli-
974	mate Forecast System Reanalysis. Ocean Modelling, 75, 65–83. doi:
975	10.1016/j.ocemod.2013.12.006
976	Tolman, H. L. (2009). User manual and system documentation of WAVEWATCH III
977	TM version 3.14. Tech. Note MMAB Contrib., 276, 220.
978	Trindade, A., Portabella, M., Stoffelen, A., Lin, W., & Verhoef, A. (2020, February).
979	ERAstar: A High-Resolution Ocean Forcing Product. IEEE Trans. Geosci. Re-
980	mote Sensing, 58, 1337–1347. doi: 10.1109/TGRS.2019.2946019
981	Villas Bôas, A. B., Gille, S. T., Mazloff, M. R., & Cornuelle, B. D. (2017, Novem-
982	ber). Characterization of the Deep Water Surface Wave Variability in the Cal-
983	ifornia Current Region. J. Geophys. Res. Oceans, 122, 8753–8769. doi: 10
984	.1002/2017 JC013280
985	Villas Bôas, A. B., & Young, W. R. (2020, May). Directional diffusion of surface
986	gravity wave action by ocean macroturbulence. J. Fluid Mech., 890. doi: 10
987	.1017/j fm. 2020.116
988	Wentz, F. J., Scott, R., Hoffman, R., Leidner, S. M., Atlas, R., & Ardizzone,
989	J. (2015). Remote Sensing Systems Cross-Calibrated Multi-Platform
990	(CCMP) 6-hourly ocean vector wind analysis product on 0.25 deg grid, Ver-
991	sion 2.0. Remote Sensing Systems, Santa Rosa, CA. Available online at
992	www.remss.com/measurements/ccmp.
993	Wilson, B. (1957). Origin and effects of long period wave in ports. Proc 19th Int
994	Navig Cong Sect II Commun I, 13–61.
995	Young, I. R. (1988, September). Parametric Hurricane Wave Prediction Model.
996	J. Waterw. Port Coast. Ocean Eng., 114, 637–652. doi: 10.1061/(ASCE)0733
997	-950X(1988)114:5(637)

998	Young, I. R. (2003, May). A review of the sea state generated by hurricanes. Marine
999	Structures, 16, 201–218. doi: 10.1016/S0951-8339(02)00054-0
1000	Young, I. R., Hasselmann, S., & Hasselmann, K. (1987, September). Computations
1001	of the Response of a Wave Spectrum to a Sudden Change in Wind Direction.
1002	$J. \ Phys. \ Oceanogr., \ 17, \ 1317-1338. \qquad \ {\rm doi:} \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ 10.1175/1520-0485(1987)017\langle 1317-1338. \rangle \ \ 10.1175/1520-0485(1987)017\langle 1317-1338\rangle \ \ 10.1175/1520-0485(1987)012\langle 1317-1320\rangle \ \ 10.1175/1520-0485(1987)012\langle 1317-1320\rangle \ \ 10.1175/1520-0485(1987)012\langle 1317-1320\rangle \ \ 10.1175/1520 01100-0100\rangle \ \ 10.1175/1520 01100-0100\rangle \ \ 10.1175/1520 01100-0100\rangle \ \ 10.1175/1520 01100-0100\rangle \ \ 10.1175/1520 0100-01000\rangle \ \ \ 10.1175/$
1003	$COTROA \rangle 2.0.CO;2$
1004	Young, I. R., & Vinoth, J. (2013, September). An "extended fetch" model for the
1005	spatial distribution of tropical cyclone wind–waves as observed by altimeter.
1006	Ocean Engineering, 70, 14–24. doi: 10.1016/j.oceaneng.2013.05.015
1007	Zakharov, V. E., & Badulin, S. I. (2011, October). On energy balance in wind-driven
1008	seas. Dokl. Earth Sc., 440, 1440–1444. doi: 10.1134/S1028334X11100175
1009	Zakharov, V. E., Badulin, S. I., Geogjaev, V. V., & Pushkarev, A. N. (2019). Weak-
1010	Turbulent Theory of Wind-Driven Sea. Earth Space Sci., 6, 540–556. doi: 10
1011	.1029/2018 EA000471
1012	Zou, Z., Li, S., Huang, J., Li, P., Song, J., Zhang, J. A., & Wan, Z. (2020, May).
1013	Atmospheric Boundary Layer Turbulence in the Presence of Swell: Tur-
1014	bulent Kinetic Energy Budget, Monin–Obukhov Similarity Theory, and
1015	Inertial Dissipation Method. J. Phys. Oceanogr., 50, 1213–1225. doi:
1016	10.1175/JPO-D-19-0136.1

Supporting Information for Swell generation under extra-tropical storms

Momme. C. Hell 1 ,

¹University of California, San Diego, Scripps Institution of Oceanography; 9500 Gilman Drive, La Jolla, California 92093

Contents of this file

- 1. Text T1: Physically informed Optimization of a common Focal Point
- 2. Figure F1: Comparison of the brute force and Global Optimization
- 3. Figure F2: Illustration of the Along track averaging.
- 4. Figure F3: Least square fit to estimate translation velocity
- 5. Figure F4: Case Study 2 triangulation
- 6. Figure F5: Case Study 2 characteristic curves
- 7. Figure F6: Case Study 3 triangulation
- 8. Figure F7: Simplified time series for one year of fitted initial times uncertainty estimates

Introduction

Corresponding author: M. C. Hell, University of California, San Diego, Scripps Institution of Oceanography; 9500 Gilman Drive, La Jolla, California 92093 (mhell@ucsd.edu) This supplementary document contains additional material for a simple model of swell generation under extra-tropical storms.

Text T1: Physically informed Optimization of a common Focal Point

T1.1. Wave buoy observations and initial event identification

Each of the chosen wave buoys (CDIP 166, CDIP 179, CDIP 029, CDIP 067, CDIP 106) samples the directional wave spectrum in 30-minute averages. The wave buoy spectrograms and their directional information are retrieved from the CDIP datawell (Behrens et al., 2019).

Local swell maxima are identified in the spectrograms by averaging over the first three frequency bins whose spectral amplitude exceeds a noise threshold of e^{-1} m² Hz⁻¹. This results in a time series of the amplitude of the longest swell waves that is sensitive to the amplitude and frequency slope of the swell and. This time series is band-pass filtered for timescales between 18 hours and 7.5 days using a Lanczos filter to retain variability that is mainly related to atmospheric synoptic scales. Examples of the identified swell maxima are shown in main-text figure 1b to e (black dots).

T1.2. Data pre-handling

First, we apply an adaptive directional filter on the wave buoy observations to filter out local wind waves and focus on dispered swell. The incident directions of the swell forerunners are used to weight the observed spectrograms. The directional component of the wave spectrum $D_{\theta}(\theta, f, t)$ is used to create a weight for the omni-directional spectral amplitude $D_{amp}(f,t)$ (here, f is the wave frequency and t is time). Frequency bands with wave energy in the same direction as the swell forerunners have a weight of one,

while frequency bands that contain energy from a different direction have a weight close to zero. This selects wave energy in a $\pm 15^{\circ}$ -angle around the peak direction of the swell forerunners and filters out secondary swell systems or locally generated higher frequency waves if they come from a different direction.

In a second step, the pre-identifies wave events are isolated for the optimization procedure. The initial dispersion slope of each swell event is estimated by the difference between the prior identified local maxima (main-text figure 1b to e, black dots) and a local maxima on a frequency band that is 0.01Hz higher compared to the prior identified local maximum. This slope between the two local maxima on different frequency bands is used to select and initialize each wave event following (Hell et al., 2019).

T1.3. Initial model fit

The pre-identified single wave events are then used to fit a model of swell arrival to each case individual. Based on the algorithm in Hell et al. (2019), the two-dimensional model function for the individual events M^k is defined as

$$\boldsymbol{M}^{k}(\tilde{t},f) = A(m_{t},\mu) K(\tilde{t},\tilde{t}_{0},m_{t},\sigma_{K}) S(f,U,f_{m},\gamma_{par}),$$
(T1.1)

where A describes the amplitude attenuation, $\tilde{K}(\tilde{t}) = K(\tilde{t})/\max(K)$ describes the peaknormalized and time-normalized time component, and S(f) the frequency dependent power spectra. The amplitude of M^k is defined by the initial spectral power of S and the attenuation A.

X - 4 HELL ET AL. 2021: SWELL GENERATION UNDER EXTRA-TROPICAL STORMS

The power spectra S(f) is modelled by the standard JONSWAP spectrum

$$S(f) = \frac{\alpha_S g^2}{(2\pi f)^5} \exp\left[-\frac{5}{4} \left(\frac{f}{f_m}\right)^{-4}\right] \gamma^{\delta},$$

$$\alpha_S = 0.076 \left(\frac{f_m U}{3.5g}\right)^{2/3},$$

$$\delta = \exp\left[-\frac{1}{2} \left(\frac{f - f_m}{\sigma_S f_m}\right)^2\right],$$
(T1.2)

with f_m as the peak frequency of the spectra, $\sigma_S = 0.07$ for $f \leq f_m$ and $\sigma_S = 0.09$ for $f > f_m$, and γ_{par} as the amplitude of the peak-enhancement factor (Hasselmann et al., 1973).

In time, the model is defined as a form of a χ^2 - or Erlang distribution such that

$$K(\tilde{t}, \tilde{t}_m) = \frac{\tilde{t}_m}{\sigma_K} e^{-\tilde{t}_m},$$

$$\tilde{t}_m = \frac{\tilde{t} - \tilde{t}_0 + fm_t}{\sigma_K}$$
(T1.3)

where \tilde{t} is the non-dimensional time, the relative time of the selected data divided by its time span Δt , \tilde{t}_0 is the non-dimensional initial time, m_t is the slope of the peak frequency in the spectrogram in units of Hz⁻¹, and σ_K a parameter that controls the width of the distribution (Hell et al., 2019).

The swell's attenuation A along the travel path is modeled with a simple exponential decay that does not depend on direction or frequency (Ardhuin et al., 2009). That means the decay only depends on the distance traveled along a great circle path r_0 such that it can be directly related to the spectral slope m_t (Munk, 1947). The attenuation model is defined as

$$A(m_t, \mu) = \exp\left(-\mu \frac{gm_t \Delta t}{4\pi}\right),\tag{T1.4}$$

June 3, 2021, 6:00pm

where $\mu \approx 3.7 \pm 0.210^{-7} \text{ m}^{-1}$ (Jiang et al., 2016). This simple attenuation model allows the spectral power at the origin to be estimated from the observed swell spectrogram alone, assuming that distortions by other processes are small.

The to-be-optimized parameters for each event k are summarized as

$$\boldsymbol{p}^{k} = \{m_{t}, \mu, \tilde{t}_{0}, U, f_{m}, \gamma_{par}, \sigma_{t}\}^{T}.$$
(T1.5)

They are optimized to find the best fit of the model $M^k(p^k, \tilde{t}, f)$ to the data D^k by minimizing the the cost function

$$J^{k} = \left\| (\boldsymbol{D}^{k} - \boldsymbol{M}^{k}) \boldsymbol{w}^{k} \right\|^{2} + \left\| \frac{\boldsymbol{p}_{0} - \boldsymbol{p}}{\boldsymbol{p}_{\sigma}} \right\|^{2}, \qquad (T1.6)$$

for a wave event k individually (adapted from (Hell et al., 2019)). The initial guess of the parameters p_0 was derived from the data, and the priors of the model parameters p_{σ} are taken from (Hell et al., 2019). The data weighting function \boldsymbol{w}^k describes 2D-Gaussian weight around the center of the event such that noise at the corner of the data is excluded (dark shading in main-text figure 7 b to f, also F4 and F6, Hell et al., 2019, sec. 6.d).

The cost function J^k is optimized with three-stage optimization procedure. An initial semi-random 'basinhopping' search finds the minimal cost varying only m_f and \tilde{t}_0 to determine the best model slope that goes through the pre-identified forerunner point (Wales & Doye, 1997). In a second step, the cost function is minimized by varying all parameters using the Levenberg-Marquardt Algorithm (LM, damped least-squares, Newville et al., 2014) and finally, a *posteriori* error distribution is derived with a Parallel Tempering Markov-Chain-Monte-Carlo (PTMCMC, Goodman & Weare, 2010; Foreman-Mackey et al., 2013; Earl & Deem, 2005). This procedure is applied to all pre-identified swell events at five stations between the year 2014 to 2018 resulted in about 77 successfully fitted wave events per station per year. After quality control, only about 56% of these cases can be bundled to sets of observed events with a common source (see next section).

T1.4. Identifying and optimizing common swell source

To derive a common source location we combine the identified wave events from the previous step from the five wave buoys. The initial fitting acts here as a quality control, such that we only use events that provide a reasonable radial distance (> 200 km), a small fractional error ($-w_{err} + 1 < 0.6$, eq. T1.9), and have a $\sigma_K < 0.2$ to sort out short local events.

The matching of events between the five wave buoy stations are done using the fitted initial time and their uncertainty estimates (Figure F7 for the year 2016). Blue lines are two-standard deviation uncertainty ranges around estimated initial times that pass a quality criterion of good model fit (Hell et al., 2019), while light green lines show the initial time uncertainties that do not pass this criterion. Red blocks indicate time ranges where two or more initial time estimates overlap. These events are used to triangulate the source locations in the north pacific (longitude and latitude) from the radial distance estimates of the identified overlapping subset. Figure F7 illustrates that by far not all initial time estimates are good enough and the not all initial time estimates coincide. To account for this, the triangulated location and time from the identified subset of wave buoys are used to re-select data from the not identified wave buoys by forward propagating the model Mand estimating the slope and model shape at the buoy location. The now selected data in the additional wave buoys is then again fed in to the parameter estimation described

in sec. T1.3. This results in a data array from each wave buoy and these five data arrays likely contain observations from the same swell event.

Using this procedure, only about 7.5 events per year are well observed at 2 or more wave buoys, while about 50-70 event per year are identified in each wave buoy. That low matching rate by the initial time only is due to a) an insufficient initial detection algorithm based on the forerunners of swell (sec. T1.1), b) noise by local wind swell at buoy locations, c) deflection of waves by currents, and finally d) the fact that not all wave events propagate across the north pacific such that they are detected by multiple wave buoys.

T1.5. Multiple-stations cost function

The identification of a common swell source by their initial time t_0 described in the previous section results in 31 sets of swell events that had a common t_0 . Many other events are distorted by noise at the station or the wave ray refraction on their path through the ocean (Gallet & Young, 2014; Villas Bôas & Young, 2020).

The sets of swell event observations were then used to reassess the model parameters by adding the constraint of a common source. The optimization problem was reformulated in terms of parameters describing a common swell event from a single location

$$\boldsymbol{p}_m = \{\lambda, \phi, t\},\tag{T1.7}$$

with the longitude λ , latitude ϕ , and time t define the source location. The slope parameter m_t and attenuation μ at each station k were calculated based on the common source position (Munk, 1947; Barber & Ursell, 1948). Other parameters of the model M^k were set to the five-station mean of the individual fitted parameters and do not vary during the

X - 8 HELL ET AL. 2021: SWELL GENERATION UNDER EXTRA-TROPICAL STORMS

multi-station optimization. This reduces the search space of the optimization procedure and allows for faster optimization. Alternatively, the parameter space p_m (eq. T1.5) could have been extended with parameters that describe the spectral shape as well. However a larger parameter space required larger computational efforts and here we focused on the source location and time, which only requires changes of the dispersion slope, timing, and amplitude. Tests where more parameters are optimized resulted in a lower total fractional error (eq. T1.10), but did not change the results in the optimization of the position. Hence, the reduction of the parameter space leads to larger systematic error in the cost function, but its physical interpretation remains the same.

The parameters for each station $p^k(p_m)$ are calculated at each function evaluation of the multi-station optimization. The cost function for optimization over N stations is defined as

$$J_m = \sum_{k}^{N} \frac{w_{err}^k}{\sum_{i}^{N} w_{err}^i} J^k, \tag{T1.8}$$

where J^k is the regularized cost function for each individual event k (eq.T1.6) and w_{err}^k is the measure of the fit derived from the individual fitting procedure. It is defined for each event at a station k as

$$w_{err}^{k} = 1 - \frac{\left\| (\boldsymbol{D}^{k} - \boldsymbol{M}^{k}) \boldsymbol{w}^{k} \right\|^{2}}{\left\| \boldsymbol{D}^{k} \boldsymbol{w}^{k} \right\|^{2}},$$
 (T1.9)

where \boldsymbol{w} is again the geometric weight of the event (dark shading in main-text figure 7 b to f, also F4 and F6, Hell et al., 2019, sec. 6.d). A $w_{err}^k = 1$ expresses a perfect model fit, while a $w_{err}^k = 0$ describes a complete failure of the optimization at the individual station. The weighting emphasizes station data with a high signal-to-noise ratio rather

The parameters p_m are not regularized to allow a more unbiased search of the source location. However, the search space is limited to the North Pacific (20°N to 60°N, 140°E to 120° W) and ±2 days around the 5-station mean of the individual fits.

easily extended to incorporate more data from other observations.

The error of the model model fit for the multi-station cost function is than defined as the sum of the individual weighted cost functions (T1.8) normalized by the sum of the (geometrically) weighted data such that

$$e_f = \frac{J_m}{\sum_k^N (D^k w^k)^2},$$
 (T1.10)

for a given set of N stations. The fractional error e_f can be interpreted as a likelihood

$$L_{e_f} = 1 - e_f = 1 - \frac{J_m}{\sum_{k}^{N} (D^k w^k)^2},$$
 (T1.11)

such that a perfect match $(e_f = 0)$ results in a likelihood of 1 and a failure of the model results in a likelihood of zero.

The 31 sets of matched observations are used to explore the multi-station cost function J_m (eq. T1.8) with two different procedures to explore the cost function. The first procedure is a brute-force sampling in the 3-dimensional parameter space of p_m on the same grid as the wind data was provided (hourly and 25km). This creates a time-varying map of model fit using eq. T1.8 that is transformed to a map of likely wave origins using eq. T1.11 (see main-text section 3.2 and main-text figure 7a, F4 a and F6 a). The second procedure uses a sequence of two gradient decent methods; First simplicial homology global optimization (SHGO, Endres et al., 2018), and then a dual annealing method (DA Tsallis, 1988; Tsallis & Stariolo, 1996; Xiang et al., 1997). Both methods are developed

X - 10 HELL ET AL. 2021: SWELL GENERATION UNDER EXTRA-TROPICAL STORMS

for fast convergence to a single global optimum of a complex cost-function. Regardless of the method, or procedure all optimizations return a focal points that are the same, as least on scales that are relevant for this study (figure F1). Figures F1 Comparison of the brute force (green dot) and SHGO (red hexagon) optimization, while the optimized location and time are indicated next to them. The dark green dots are positions of minimal fractional error from the brute force method before and after the best smallest fractional error on hourly intervals. The gray circle lines are the great circle distances centered around the stations in main-text figure 1a according to their radial distance through the SHGO point.



Figures F2 Illustration of transects through wind data along the trace of most likely wind origins. The black line in (a) indicates the estimated great-circle line (see section 3.2 in the main text), and the gray, light blue, or dark blue patches are the group grid points used for each transformed wind vector (black thin line). The wind speed is shown as red shading an the likelihood map of wave origin as green lines. The zonal and meridional wind, wind speed, as well as the transformed along- and across-track velocities are shown in panel (b). The vectors again show the zonal and meridional wind direction for each of the along-track averages bins indicated in panel (a).



June 3, 2021, 6:00pm

Figures F3 Least square fit (black line) to the points of maximum along track wind at each time step (green dots). These local maxima are determined within the centered wind event (green contours). The along track wind is shown are red and blue shading. The wind data is transformed according to the black line (see section 3.3. in the main text) while the left boundary is defined by the parallel shifted red line.



June 3, 2021, 6:00pm



Figures F4 Same as main-text Figure 7 but for a case storm around February 10th 2016.

Figures F5 Same as main-text figure 9b, but now for the case in figure F4. See figure caption of figure F4.





Figures F6 Same as main-text Figure 7 but for a case storm around January 17th 2014.

June 3, 2021, 6:00pm

Figures F7 Simplified time series for one year of fitted initial times uncertainty estimates. Each green or dark blue line shows $t_0 \pm 2\sigma_{t_0}$ for events identified at one of the stations. Green bars indicate events that have fractional error $e_f < 0.4$, while blue bars are events with $e_f \ge 0.4$. The red areas show time spans where at least 3 or more events have



References

- Ardhuin, F., Chapron, B., & Collard, F. (2009, March). Observation of swell dissipation across oceans. *Geophys. Res. Lett.*, 36, L06607. doi: 10.1029/2008GL037030
- Barber, N. F., & Ursell, F. (1948, February). The generation and propagation of ocean waves and swell. I. Wave periods and velocities. *Phil. Trans. R. Soc. Lond. A*, 240, 527–560. doi: 10.1098/rsta.1948.0005
- Behrens, J., Thomas, J., Terrill, E., & Jensen, R. (2019, March). CDIP: Maintaining a Robust and Reliable Ocean Observing Buoy Network. In 2019 IEEE/OES Twelfth Current, Waves and Turbulence Measurement (CWTM) (pp. 1–5). San Diego, CA, USA: IEEE. doi: 10.1109/CWTM43797.2019.8955166
- Earl, D. J., & Deem, M. W. (2005, November). Parallel tempering: Theory, applications, and new perspectives. *Phys. Chem. Chem. Phys.*, 7, 3910–3916. doi: 10.1039/ B509983H
- Endres, S. C., Sandrock, C., & Focke, W. W. (2018, October). A simplicial homology algorithm for Lipschitz optimisation. J Glob Optim, 72, 181–217. doi: 10.1007/ s10898-018-0645-y
- Foreman-Mackey, D., Hogg, D. W., Lang, D., & Goodman, J. (2013, March). Emcee: The MCMC Hammer. Publ. Astron. Soc. Pac., 125, 306–312. doi: 10.1086/670067
- Gallet, B., & Young, W. R. (2014). Refraction of swell by surface currents. J. Mar. Res.,
 72, 105–126. doi: info:doi/10.1357/002224014813758959
- Goodman, J., & Weare, J. (2010, January). Ensemble samplers with affine invariance. Commun. Appl. Math. Comput. Sci., 5, 65–80. doi: 10.2140/camcos.2010.5.65

Hasselmann, K., Barnett, T. P., Bouws, E., Carlson, H., Cartwright, D. E., Enke, K., ...

HELL ET AL. 2021: SWELL GENERATION UNDER EXTRA-TROPICAL STORMS X - 19 Walden, H. (1973). Measurements of wind-wave growth and swell decay during the Joint North Sea Wave Project (JONSWAP). *Ergänzungsheft 8-12*.

- Hell, M. C., Cornuelle, B. D., Gille, S. T., Miller, A. J., & Bromirski, P. D. (2019, October). Identifying Ocean Swell Generation Events from Ross Ice Shelf Seismic Data. J. Atmos. Oceanic Technol., 36, 2171–2189. doi: 10.1175/JTECH-D-19-0093.1
- Jiang, H., Stopa, J. E., Wang, H., Husson, R., Mouche, A., Chapron, B., & Chen, G. (2016). Tracking the attenuation and nonbreaking dissipation of swells using altimeters. J. Geophys. Res. Oceans, 121, 1446–1458. doi: 10.1002/2015JC011536
- Munk, W. H. (1947, April). Tracking storms by forerunners of swell. J. Meteor., 4, 45–57. doi: 10.1175/1520-0469(1947)004(0045:TSBFOS)2.0.CO;2
- Newville, M., Stensitzki, T., Allen, D. B., & Ingargiola, A. (2014, September). LMFIT: Non-Linear Least-Square Minimization and Curve-Fitting for Python. Zenodo. doi: 10.5281/zenodo.11813
- Tsallis, C. (1988, July). Possible generalization of Boltzmann-Gibbs statistics. J Stat Phys, 52, 479–487. doi: 10.1007/BF01016429
- Tsallis, C., & Stariolo, D. A. (1996, November). Generalized simulated annealing. *Physica A: Statistical Mechanics and its Applications*, 233, 395–406. doi: 10.1016/S0378 -4371(96)00271-3
- Villas Bôas, A. B., & Young, W. R. (2020, May). Directional diffusion of surface gravity wave action by ocean macroturbulence. J. Fluid Mech., 890. doi: 10.1017/jfm.2020 .116
- Wales, D. J., & Doye, J. P. K. (1997, July). Global Optimization by Basin-Hopping

- X 20 HELL ET AL. 2021: SWELL GENERATION UNDER EXTRA-TROPICAL STORMS and the Lowest Energy Structures of Lennard-Jones Clusters Containing up to 110 Atoms. J. Phys. Chem. A, 101, 5111–5116. doi: 10.1021/jp970984n
- Xiang, Y., Sun, D. Y., Fan, W., & Gong, X. G. (1997, August). Generalized simulated annealing algorithm and its application to the Thomson model. *Physics Letters A*, 233, 216–220. doi: 10.1016/S0375-9601(97)00474-X