

1 Implementation and application of an improved phase spectrum 2 determination scheme for Fourier Transform Spectrometry

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16 **Abstract.** Correct determination of the phase spectrum is a highly relevant task in Fourier Transform Spectrometry for
17 concluding which spectral distribution most likely gave rise to the measured interferogram, ~~for concluding which spectral~~
18 ~~distribution connects with the measured interferogram~~. We present implementation of an improved scheme for phase
19 determination in the operational Collaborative Carbon Column Observing Network (COCCON) processor. We introduce a
20 robust unwrapping scheme for retrieving a spectrally smoothed ~~connected~~ phase spectrum at intermediate spectral resolution,
21 which uses all spectral positions carrying enough signal to allow a significant determination of the phase. In the second step,
22 we perform a least squares fit of model parameters of a suitable ~~ableed~~ analytical phase spectrum model through all reliable phase
23 values constructed in the first step. The model fit exploits the fact that we expect the phase to be spectrally smooth. Still, it
24 can be refined to reflect specific characteristics inherent to the optical and electronic layout of the interferometer. The
25 proposed approach avoids the problems of the classical phase reconstruction method, which enforce a spectrally smooth
26 phase by directly limiting spectral resolution when calculating the complex phase. Thereby, the phase is created from a very
27 low number of interferogram points around the centerburst of the interferogram, which results in a suboptimal noise
28 propagation from the interferogram into the spectral domain. Moreover, the interpolation of the phase spectrum across
29 spectral subsections with reduced spectral signal is not well behaved and results depend strongly on the numerical
30 apodization function used for creating the low-resolution phase.

31 1 Introduction

32 Fourier Transform Spectrometry is an important technique for remote observation of atmospheric composition, especially in
33 the near and mid infrared spectral regions, where it is mostly referred to as Fourier Transform Infra-Red (shortened to FTIR)
34 spectrometry. Fourier Transform Spectrometry is an important technique for remote observation of atmospheric
35 composition, especially in the near and mid infrared spectral regions (then mostly referred to as Fourier Transform Infrared
36 or shortly FTIR spectroscopy). Ground-based networks contribute to the long-term monitoring of chemical composition, as
37 the Network for the Detection of Atmospheric Composition Change (NDACC) network [De Mazière et al., 2018], and the
38 Total Carbon Column Observing Network (TCCON) [Wunch et al., 2011] and the COLlaborative Carbon Column Observing
39 Network (COCCON) [Frey et al., 2019; Sha et al., 2020; Alberti et al., 2022], which focus on the provision of precise and
40 accurate observations of column-averaged greenhouse and other climate and air quality relevant gas abundances. The first
41 high-resolution FTS in space was the Atmospheric Trace Molecule Spectroscopy (ATMOS) experiment on the Space Shuttle
42 [Farmer, 1987]. Moreover, highly successful space borne sensors as Michelson Interferometer for Passive Atmospheric
43 Sounding (MIPAS) onboard the Environmental Satellite (ENVISAT) [Fischer et al., 2008], Atmospheric Chemistry
44 Experiment – Fourier Transform Spectrometer (ACE-FTS) onboard SCISAT [Bernath and al., 2005], and the Thermal And
45 Near infrared Sensor for carbon Observation – Fourier Transform Spectrometer (TANSO-FTS) onboard Greenhouse gases
46 Observing SATellite (GOSAT) [Yokota et al., 2009] and its successors have proven the usefulness of FTIR spectrometry for
47 atmospheric observations. Recently, the airborne imaging FTIR sensor Gimbaled Limb Observer for Radiance Imaging of
48 the Atmosphere (GLORIA) for chemical and thermal limb imaging has been realized [Friedl-Vallon et al., 2014] and the
49 imaging FTIR satellite mission Changing Atmosphere Infrared Tomography (CAIRT) derived from GLORIA is under phase
50 A study by ESA [<https://www.cairt.eu>].

51 All FTIR spectrometers have in common that they use a two-beam interferometer for creating modulated intensity levels as a
52 function of the path difference between the two arms of the interferometer. The path difference is varied as function of time,
53 and during such a scan, the variable intensity is recorded by a detector element. By use of a co-recorded reference
54 modulation generated from a reference laser fed through the same interferometer, the variable intensity level recorded by the
55 infrared detector as function of time can be sampled as function of optical path difference x . It can be shown that the Fourier
56 Transform of the AC-coupled interferogram is associated with the spectral distribution of the incident radiation. If the
57 interferogram $I(x)$ would be symmetric around a common zero path difference (ZPD) of the interferometer for any
58 wavenumber ν , the spectral radiance as function of wavenumber $S(\nu)$ would be connected with the interferogram via a
59 simple cosine transform:

$$61 S(\nu) = \int_{x=-\infty}^{+\infty} I(x) \cos(2\pi\nu x) dx \quad (1)$$

62

63 We only claim a proportionality here for any selected wavenumber position, because from the practical viewpoint, the
64 determination of radiances in absolute units requires proper calibration measurements using reference sources providing a
65 known radiance level. This is a very laborious task and it is difficult to achieve sub-percent accuracy in the realization of
66 absolute units. In case of emission spectroscopy, this task needs to be solved, while atmospheric absorption
67 spectroscopy generally omits this procedure. In the case of absorption spectroscopy, the quantitative trace gas
68 analysis is built on the local contrast between absorption lines and adjacent continuum (assuming that the spectrometer offers
69 sufficient spectral resolution for resolving individual lines). Then, by assuming that the spectrally variable sensitivity of the
70 spectrometer, created by optical, detector, and electronic characteristics is spectrally smooth, no attempt is made for
71 achieving ordinate calibration. A section of the measured spectrum used for the trace gas analysis is then treated as a
72 transmission spectrum, and an empirical fit of continuum background is included in the analysis scheme. We do not further
73 follow the problem of ordinate calibration here, because it is not related to our aim of an improved phase reconstruction,
74 which, however, can be used for both absorption and emission spectroscopy.

75
76 In equation (1), we have extended the integration over all optical path differences. In practice, only a limited section up to a
77 maximum optical path difference (MPD) is accessible. The truncation of the interferogram is equivalent to a multiplication
78 with a boxcar function. In spectral domain, this becomes a convolution with a sinc function. The spectral response inherent
79 to an FTIR spectrometer is called instrumental line shape (ILS). It can be adjusted by applying a numerical weighting
80 function along the interferogram (the process of apodization). Especially, numerical apodization allows to dampen the
81 sidelobes of the sinc function, which allows – at the cost of widening the ILS width – to suppress the ringing surrounding
82 unresolved spectral lines. A proper description of the instrumental line shape (ILS) is further complicated due to the presence
83 of practical imperfections of the interferometer as misalignment of optical components or mechanical imprecision of the
84 scanning mechanism [Hase et al., 1999]. Finally, we do not further follow the problem of spectral ordinate calibration here,
85 because it, too, is not closely related to our aim of an improved phase reconstruction.

86
87 In order to provide a proper idea of the practical method of FTIR spectroscopy here, we further need to mention that the data
88 recording and processing is digital. An analogue-to-digital (ADC) converter is used to generate a digitized signal from the
89 detector signal. While sample-and-hold ADCs triggered by the laser sampling were used in the past, many manufacturers of
90 FTIR spectrometers today use widely available audio ADCs which offer high digitization depth (e.g. 24 bit) and add a final
91 interpolation step from the raw sampling equidistant in time domain into a sampling record equidistant in space [Brault,
92 1996]. In any case, the signal to be processed is discretely sampled, and in practice fast computational schemes for doing
93 discrete Fourier transforms are applied. Due to the discrete sampling process, integrals as shown in equation (1) become
94 sums and the bandwidth of the recorded signal needs to be properly limited in order to avoid aliasing.

95

96 A final aspect, which is closely connected to the considerations developed hereinafter, is the origin of the phase spectrum.
97 Due to residual optical asymmetry of the beamsplitter unit (especially due to a potential mismatch of the substrate carrying
98 the beam-splitting layer system and the compensation plate) and possibly between the arms of the interferometer and due to
99 frequency dependent electronic delays, the resulting interferogram tends to be asymmetric and a global ZPD position
100 common to all wavenumbers does not exist. The electronic delays introduce both a shift between the laser reference and the
101 signal, as well as frequency-dependent delays in the infrared signal. This requires treatment of the Fourier Transform of the
102 real-valued interferogram as a complex quantity (so arising out of cosine and sine contributions) and thereby gives birth to
103 the concept of the phase spectrum. In complex notation, we can state

$$105 \quad s(\nu) = |s(\nu)|e^{i\varphi(\nu)} = \int_{x=-\infty}^{+\infty} I(x)e^{-i2\pi\nu x} dx \quad (2)$$

106
107 The uncalibrated signal $s(\nu)$ now is a complex quantity. It can be separated into amplitude and phase $\varphi(\nu)$. The phase
108 spectrum $\varphi(\nu)$ describes how the phase angle of the harmonic oscillations which make up the interferogram evolves as
109 function of wavenumber. From the instrumental viewpoint, we expect the phase spectrum to be spectrally smooth, as the
110 impacting factors (optical dispersion and electronic delays) typically vary slowly as function of frequency.

111
112 The smoothness of the phase spectrum in near and mid-infrared FTIR spectrometryscopy is verified empirically on scales of
113 several to tens or even hundreds of wavenumbers (cm^{-1}). Given this, the simple approach of interpreting the absolute value of
114 the resulting complex spectrum as the measured spectral signal is clearly suboptimal in the presence of noise in the
115 interferogram. The assumption of uncorrelated white noise typically is adequate for interferogram samples. This noise maps
116 into white noise in the complex spectrum. A contribution of $1/f$ noise might increase the noise amplitude towards low
117 frequencies, and at very low frequencies, source noise might become dominant. Therefore, working at higher scan speeds is
118 generally preferred.

119
120 The assumption of a spectrally smooth phase allows separation of the complex spectrum into two orthogonal components~~The~~
121 ~~assumption of a spectrally smooth phase allows to separate at each spectral position the complex spectrum into two~~
122 ~~orthogonal components~~: the component along the direction in the complex plane we expect the spectral signal to be oriented,
123 and the component orthogonal to this direction. So, by exploiting the concept of a spectrally smooth phase, the noise mapped
124 into the orthogonal component can be avoided, only the noise along the signal component is unavoidable. Moreover, this
125 approach avoids the spectral noise floor of becoming a positive bias in opaque spectral subsections, as it would occur when
126 simply using the absolute value of the complex spectrum.

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128 In order to make the scheme of a smooth phase a working concept, we not only rely on the assumption that it actually is
129 spectrally smooth, but we also need a practical approach for constructing a smooth phase spectrum with a noise level
130 significantly below the noise level of the complex spectrum. In practice, we achieve this by using only a short section of the
131 interferogram around ZPD. Thereby, the smooth phase spectrum is set by the equation

$$132 |s(\nu) \otimes FT(A_{trunc})| e^{i\varphi(\nu)} = \int_{x=-\varepsilon \cdot MPD}^{+\varepsilon \cdot MPD} I(x) e^{-2\pi\nu x} \cdot A(x) dx \quad (3)$$

133 Here, the dimensionless multiplier ε denotes that only a fraction of the complete interferogram recorded up to MPD is used.
134 The function $A(x)$ denotes a strong numerical apodization function, as any non-local ringing extending out from a spectral
135 position with high signal level would disturb the phase in the surrounding spectral region. The spectral signal $s(\nu)$ generally
136 is spectrally structured, so reducing the interferogram to the narrow range of $-\varepsilon \cdot MPD$ to $+\varepsilon \cdot MPD$ convolves the spectral
137 signal with the Fourier transform of the truncated apodization function A_{trunc} .

138 We finally need to mention that interferograms might be recorded “single-sided” or “double-sided”. Often, when a
139 interferometer is designed for achieving higher spectral resolution, the symmetry of the design is abandoned. Instead, the
140 ZPD position is shifted to be near one end of the mechanical scan range~~Instead, the ZPD position shifted near one end of the
141 mechanical scan range~~, which still needs to be wide enough to reconstruct the phase spectrum via equation (32), but the
142 high-resolution details are inferred from the single remaining side of the interferogram which is recorded. Our proposed
143 method can be used in either situation, but it should be noted that in case of single-sided interferogram recording, the error
144 propagation of a residual phase error is much more critical, as sine contributions do not cancel out (as one side of the
145 interferogram is missing) [Brault, 1996; Brasunas and Cushman, 1997], so a very accurate reconstruction is even more
146 relevant in this case.

147 The reader finds detailed presentations of all the aspects of FTIR spectroscopy shortly summarized above in text books and
148 articles [Herres and Gronholz, 1985; Davis et al., 2001; Griffiths et al., 2007].

149 In section 2, we present the types of spectrometers we used to test the proposed phase correction method. Section 3 describes
150 a robust scheme for phase unwrapping and the fitting procedure for retrieving the parameters of the phase model. Section 4
151 investigates the characteristics of phase spectra for the spectrometers introduced in section 2.

152 2 Materials and Methods

153 This work has been performed in the framework of the FRM4GHG project (Fiducial Reference Measurements for
154 Greenhouse Gases; <https://frm4ghg.aeronomie.be/>) supported by European Space Agency (ESA) [Sha et al., 2020]. In the

160 framework of this project, among further topics related to fiducial reference measurements (FRM), the adequacy of different
161 portable spectrometers is investigated. For this purpose, extended measurement campaigns with the portable spectrometers
162 under test are performed at the Sodankyla site operated by the Finnish Meteorological Institute. At this site, also regular
163 aircore measurements are executed, which provide in-situ measurements of Greenhouse Gas profiles. The IFS125HR FTS
164 operated by FMI at the Sodankyla site in the framework of TCCON serves as reference. Further details of the campaign
165 setup are provided by Sha et al., 2020. Interferograms recorded with these portable spectrometers have been used for testing
166 the proposed phase reconstruction algorithm. We shortly present these spectrometers in the following. Table 1 summarizes
167 the main design characteristics of the spectrometers from the viewpoint of the phase spectrum.

168
169 The EM27/SUN Fourier-transform spectrometer (FTS) prototype has been developed by Karlsruhe Institute of Technology
170 (KIT) in cooperation with Bruker Optics, a well-known manufacturer of FTIR spectrometers. It uses a folded pendulum-
171 corner cube interferometer (“RockSolid” ® design) and employs two room temperature InGaAs detectors to cover the near-
172 infrared range from 4000 – 12 000 cm^{-1} . A solar tracker using Camtracker active feedback to control the position of the solar
173 image on the fieldstop of the spectrometer is directly attached to the spectrometer [Gisi et al., 2011]. Further instrumental
174 details of the EM27/SUN FTS design characteristics are provided by Gisi et al. (2012) and Hase et al. (2016). ~~Since 2014,~~
175 ~~the EM27/SUN FTS is available from Bruker as a commercial item. Meanwhile, more than hundred units are sold and are~~
176 ~~operated worldwide by various working groups for atmospheric greenhouse gas measurements; they are especially suited for~~
177 ~~the quantification of local sources as cities [Hase et al., 2015], coal mines [Luther et al., 2019; Luther et al., 2022], oil and~~
178 ~~gas production areas [Kille et al., 2019], and landfills [Tu et al., 2022].~~ As an operational framework for guaranteeing
179 common instrumental and data analysis standards among the operators, the COCCON has been established since [Frey et al.,
180 2019; Alberti et al., 2022], which is significantly supported by ESA through FRM4GHG and further contracts.

181
182 The Bruker IRcube or “Matrix” FTIR is a compact OEM instrument operating in the mid or near IR regions and configurable
183 for a wide range of laboratory and industrial applications using a range of sampling accessories. In its basic form it contains
184 a folded pendulum-corner cube interferometer similar to the EM27/SUN (“RockSolid” ® design) with 25mm beam diameter
185 and either 1 cm^{-1} double-sided or 0.5 cm^{-1} single-sided resolution. As used at the University of Wollongong for solar
186 measurements, the interferometer is configured for 0.5 cm^{-1} single-sided resolution; ~~the IRcube includes a source module~~
187 ~~which accepts a focussed input beam into a selectable aperture (the field stop) and collimates it, the interferometer, and~~
188 ~~detector optics module focussing the parallel beam exiting the interferometer onto a 1mm InGaAs detector via a short focal~~
189 ~~length off axis paraboloidal mirror. The solar beam is collected from a solar tracker mounted telescope via a 20 m optical~~
190 ~~fibre—the beam exiting the fibre is focussed into the field stop of the IRcube’s source module.~~

191
192 The Vertex70 spectrometer is produced and sold commercially by Bruker Optics. It was recently replaced in Bruker’s
193 production line by a successor named Invenio. One Vertex70 FTS was purchased in the framework of the FRM4GHG

194 campaign to be tested alongside the EM27/SUN and IRCube with the reference IFS125HR and AirCore measurements. The
 195 Royal Belgian Institute of Space Aeronomy (BIRA-IASB) and the University of Bremen (UB) performed minor
 196 modifications to the optical components of the Vertex70 and coupled it with a solar tracker to perform solar absorption
 197 measurements. The feasibility to accommodate two detectors (InGaAs and InSb) in the spectrometer allows covering
 198 simultaneously the near- and mid-infrared (NIR and MIR) spectral regions. The measured spectra are analysed to retrieve
 199 column abundances of XCO₂, XCH₄, XCO and XH₂O in the NIR spectral region and column abundances of methane (CH₄),
 200 nitrous oxide (N₂O), formaldehyde (HCHO) and carbonyl sulphide (OCS) in the MIR spectral region are currently studied
 201 [Zhou et al., 2023; Sha et al., 2024]. ~~The spectrometer showed comparable results for the retrieved trace gases as those~~
 202 ~~retrieved with the high spectral resolution FTIR spectrometers. An automated enclosure system has been developed to~~
 203 ~~deploy the spectrometers autonomously in the field and enhance the coverage of the fiducial reference FTIR data. The aim is~~
 204 ~~also to use it in future as a traveling standard improving consistency among FTIR data taken at different sites in the MIR~~
 205 ~~spectral region. The NIR retrieved target gases are part of the COCCON while the data retrieved in the MIR spectral range~~
 206 ~~can complement the NDACC FTIR data. This activity is supported by ESA through FRM4GHG contracts.~~

207
 208 The Izaña Observatory (IZO) is a high-mountain station located on the island of Tenerife (Canary Islands, Spain) in the
 209 subtropical North Atlantic Ocean (28.3°N, 16.5°W) at an altitude of 2.37 km a.s.l. IZO is managed by the Izaña Atmospheric
 210 Research Centre (IARC, <https://izana.aemet.es/>, last access: 5 August 2024), which belongs to the State Meteorological
 211 Agency of Spain (AEMet). An IFS125HR spectrometer is operated for TCCON and NDACC [Schneider et al., 2010; García
 212 et al., 2021]. Within the IZO's atmospheric research activities, the FTIR programme started in 1999 in the framework of a
 213 collaboration between AEMET and KIT [Schneider et al., 2005], contributing to NDACC and TCCON networks since 1999
 214 and 2007, respectively. To do so, the IZO FTIR instrument, currently a Bruker IFS125HR based on a Michelson
 215 interferometer, records high resolution solar absorption spectra in the MIR region within NDACC activities and in the NIR
 216 region for TCCON retrievals, using a set of different field stops, narrow bandpass filters, and detectors [Schneider et al., 2010; García et al., 2021].

217
 218
 219 For TCCON the IFS125HR FTIR measures between 4000 and 10,000 cm⁻¹ at a spectral resolution of 0.02 cm⁻¹ (MPD of 45
 220 cm) using a calcium fluoride (CaF₂) beamsplitter, an extended Indium Gallium Arsenide (InGaAs) photodiode detector
 221 operated at room temperature, and no optical filters. The operational TCCON spectra are the result of co-adding six single-
 222 sided interferograms in order to increase the signal to noise ratio. These interferograms are acquired with a scanner velocity
 223 of 20 kHz, so the acquisition of one solar spectrum lasts about 4 minutes.

224
 225 Table 1: FTIR spectrometers used for investigating phase spectra characteristics

<u>Bruker type</u>	<u>Beamsplitter design</u>	<u>Interferogram shape</u>	<u>Maximum spectral</u>
--------------------	----------------------------	----------------------------	-------------------------

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<u>designation</u>			<u>resolution</u> <u>(0.9/MPD) [cm⁻¹]</u>
<u>EM27/SUN</u>	<u>Self-compensating single plate</u>	<u>Double-sided</u>	<u>0.5</u>
<u>IRCube</u>	<u>Compensated, substrate plate and air-spaced compensating plate</u>	<u>Single-sided</u>	<u>0.5</u>
<u>Vertex70</u>	<u>Compensated, substrate plate and air-spaced compensating plate</u>	<u>Single-sided</u>	<u>0.25</u>
<u>IFS125HR</u>	<u>Compensated, substrate plate and air-spaced compensating plate (both wedged)</u>	<u>Single-sided</u>	<u>< 0.005</u>

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229

3 New Phase reconstruction scheme

230

The drawback of the classical method described in the introduction is twofold. (1) The reduction of the phase spectrum to the desired very low resolution is achieved explicitly by using a very short section of the interferogram around ZPD for the Fourier transform [Mertz, 1965; Forman et al., 1966]. This approach neglects interferogram data points further out which still could contribute information on the phase. (2) The resulting spectral interpolation as part of the procedure is not well-defined especially across spectral sub-regions of increased opacity, as they occur in solar absorption spectroscopy between the atmospheric window regions and in strong absorption bands. Because the phase spectrum across such a region is strongly impacted by the overlapping contributions to the phase emerging from either side of the opaque region, the outcome for the phase at a certain spectral position in the region with reduced transmission will depend on the user-selected resolution for the phase calculation and the chosen apodization function.

239

240

We will achieve our enhanced reconstruction of the phase spectrum by fitting a smooth parameterized phase model through a calculated phase spectrum, which preserves higher spectral resolution than required for the desired degree of spectral smoothness. The smoothness of the phase spectrum is ensured by the phase model used, while avoiding the aforementioned problems of the classical method. We use a least squares fit of the model to the raw phase spectrum, which is a well-defined process with respect to interpolation. A similar method has been proposed by Learner et al., 1995, in the context of emission spectra. The method described in the following consists of two partial steps: First, we need to establish a procedure for constructing a smooth phase spectrum from the complex spectrum. We refer to this step as “phase unwrapping”. The trigonometric functions connecting phase angle and complex spectrum are periodic, and direct use of inverse functions would generate phase jumps. In the second step, we fit the phase values of an analytical phase model to the smooth phase spectrum generated in the first step by adjusting the chosen model parameters.

249

250

251 The phase spectrum is a function of angular orientation, so it is invariant under phase shifts of size $\pm 2\pi n$, with $n = 1, 2, 3, \dots$
 252 For our fit procedure, we need to ensure that the raw phase used as input does not include jumps between such branches. We
 253 suggest the very robust procedure summarized as procedural steps in Table 24.
 254 This proposed method can fail if the phase difference calculated in step 5 is greater than $\pm\pi$. We did not encounter this
 255 situation, but it may occur if the phase slope is very steep and can possibly be avoided by appropriate repositioning of the
 256 ZPD point when calculating the Fourier Transform. For generating a phase point of the raw unwrapped phase, the spectral
 257 amplitude is required to exceed the adjustable threshold value T . It should be chosen well above the noise level of the
 258 complex spectrum used for the phase determination. Otherwise, the phase difference between adjacent points could
 259 occasionally exceed the requirement of phase differences to reside within the $\pm\pi$ range. Moreover, the phase in nearly
 260 opaque spectral sections can be dominated by spurious signals (originating from, e.g., nonlinearity, double-passing, or
 261 sampling ghosts), so it is desirable to exclude these spectral sections from the calculation of the analytical phase anyway.
 262
 263 Table 24: step-by-step procedure for the phase unwrapping algorithm, which developsing the raw phase used as input for the
 264 model fit.

Step #	Procedure	Comment
0	Allocation of arrays: (1) <u>complex float array for storing the complex spectrum s</u> (2) <u>float array for accepting phase values φ</u> (3) <u>logical array indicating validity of phase value</u> <u>LVALID</u> <u>logical array indicating availability of valid phase value</u>	<u>Initialize</u>
1	Establish the noise level and the size of potential artefacts superimposed on the spectral signal. Set a threshold T for the subsequent phase calculation significantly above noise and artefact levels. <u>Initialize all elements of the logical array: $LVALID = false$</u>	
2	Search for position of max amplitude of $s(v_i)$ in the complex signal in the optical bandpass.	Restrict search to relevant optical bandpass, as out-of-band artefacts triggered by source brightness fluctuation might create very big amplitudes at $v \approx 0$.
3	Calculate phase $\varphi(istart)$ at spectral index $istart$ with max signal amplitude. <u>Set $LVALID$ of the position $istart$ to true.</u> <u>Initialize the position j, which marks the nearest preceding position with valid phase entry used in steps 5 and 6. Initialize</u>	Use a quadrant-sensitive $atan2$ function on real and imaginary part of the complex signal. <u>Initialize index values j and i:</u>

	<u>the current position i.</u>	$j = istart$ $i = istart$
4	Move from current position one spectral index up. If still within the defined spectral bandwidth, check whether $s(v_i) > T$. If so, set <u>the $LVALID$ logical array</u> value of current position i to <i>true</i> , otherwise to <i>false</i> .	<u>Increment index i:</u> $i = i + 1$ <u>If $s(v_i) > T$ then</u> $LVALID(v_i) = true$
5	If the <u>$LVALID$ logical array</u> value of the current position i is <i>true</i> , calculate the phase difference between the nearest preceding point j assigned $LVALID = true$ and the current position.	Use the value of the cross product between the normalized <u>vectors in the complex plane</u> <u>complex pointers</u> : $\Delta\varphi(j \rightarrow i) = \text{asin} \left\{ \frac{(s(v_j) \times s(v_i))}{ s(v_j) s(v_i) } \right\}$
6	<u>If the $LVALID$ value of the current position i is <i>true</i>,</u> calculate the new $\varphi(i)$ <u>phase value</u> at the current position using the phase value of the nearest preceding point	$\varphi(i) = \varphi(j) + \Delta\varphi(j \rightarrow i)$
<u>7</u>	<u>If the $LVALID$ value of the current position i is <i>true</i>, update the value of j.</u>	$j = i$
<u>8</u>	Continue steps 4 + 5 + 6 + <u>7</u> until the upper limit of the spectral bandwidth is reached.	
<u>9</u>	Return to position <i>istart</i> and use the corresponding procedure in downwards direction until the lower limit of the spectral bandwidth is reached.	

265

266

267 The second step is to fit the parameters of the analytical phase model to the raw phase values. We assume here use of a
268 model linear in the model parameters to be fitted. However, nonlinear models also can be handled in our approach by
269 implementing an iterative search for the optimal model parameter values. If a sophisticated model is chosen, which intends
270 to describe actual physical characteristics of the spectrometer (dispersion curves, electronic response characteristics) and
271 retrieves physical quantities (layer thicknesses, capacitances, resistor values), using a model which is nonlinear in the
272 parameters might be unavoidable. When constructing ad-hoc models, which simply enforce smoothness, the choice of a
273 simple linear model seems advisable. The fitting procedure needs to be restricted to points for which valid phase values were
274 established in the previous step. The fitting procedure can take into account a weighting according to the squared signal
275 amplitude. We found very little effect of including this refinement in the determination of model parameters, so we did not

276 implement it in the current pre-processing scheme. Taking a weighting into account, the equation for fitting the phase model
277 parameters becomes

$$278 \vec{p}_{model} = (K^T W K)^{-1} K^T W \vec{\varphi}_{raw} \quad (4)$$

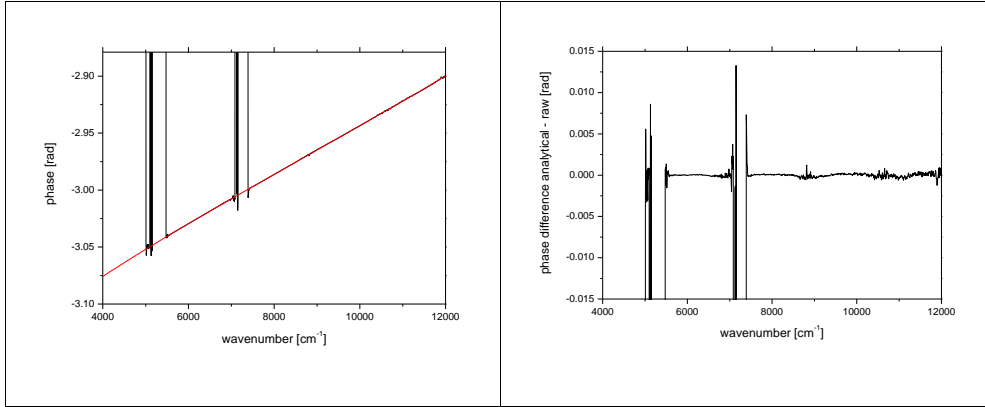
280 Here, \vec{p}_{model} is the set of model parameters, K is the Jacobean matrix, which holds the derivatives of the phase model at each
281 spectral grid point with valid raw phase entry, W is a diagonal matrix with $\frac{1}{(s(v_i))^2}$ entries (again, for each spectral grid point
282 with valid raw phase entry), and $\vec{\varphi}_{raw}$ is the vector containing all valid raw phases. Note that the vector dimension of $\vec{\varphi}_{raw}$
283 and \vec{p}_{model} differ, as after receiving the set of model parameters, $\vec{\varphi}_{model}$ can be calculated at all spectral positions,
284 including interpolation across near opaque spectral sections and extrapolation beyond the first or last spectral point found in
285 the optical bandpass. The predicted model phase values further outside of the relevant spectral bandpass are meaningless and
286 might be suppressed altogether (by allocating the array for \vec{p}_{model} to fit the relevant spectral bandpass).

288 4 Results

289 For the actual work on the FTIR spectrometers introduced in section 2, we used a polynomial model of order 7. The raw
290 phase calculation uses [3000 interferogram points on either side of ZPD, equivalent to](#) a resolution of about 10 cm^{-1} , which
291 is supported by all spectrometers we included in the study (sufficient number of points on the short side of the
292 interferogram).

293 4.1 Phase spectrum of the EM27/SUN FTS

294 The results achieved for the EM27/SUN are shown in Figure 1. The spectrometer shows a remarkably linear phase spectrum
295 across the whole spectral region of the main detector (covering 5000 to 12000 cm^{-1}). The differences between the model fit
296 and the raw phase are below 1 mrad . The level of smoothness and linearity of the phase spectrum is outstanding among all
297 spectrometers tested. This behaviour probably is supported by the beamsplitter design. The same optical plate is passed twice
298 by the radiation, acting as substrate of the beam-splitting coating layer in one passage and as compensating plate in the other
299 passage. In addition to this, also the analogue electronic chain seems to introduce only minimal dispersion due to runtime
300 effects. It is not clear why the other spectrometers investigated here, all built by the same manufacturer, show significantly
301 stronger structures in the phase spectrum.

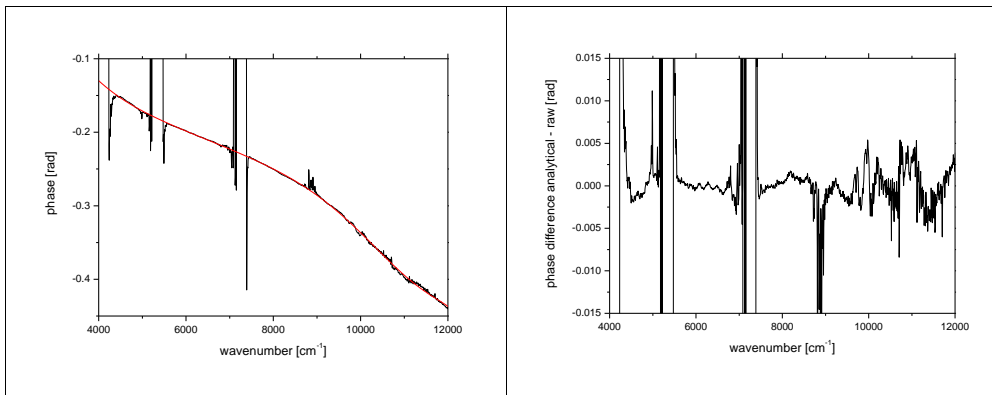


302

303 Figure 1: EM27/SUN phase spectrum. Left panel: raw phase (black) and fitted [analytical phase model](#) (red). Right panel:
 304 difference between model (analytical - ~~ana~~) and raw phase (raw). The gaps in the raw phase are due to opaque spectral
 305 sections.

306 4.2 Phase spectrum of the IRCube FTS

307 The phase spectrum of the IRCube is shown in Figure 2. The spectral bandpass covers the range of 4000 to beyond 12 000
 308 cm⁻¹. The differences between the phase model and the raw phase show more structure than in case of the EM27/SUN, but
 309 still, these oscillatory features are largely within 2 mrad.



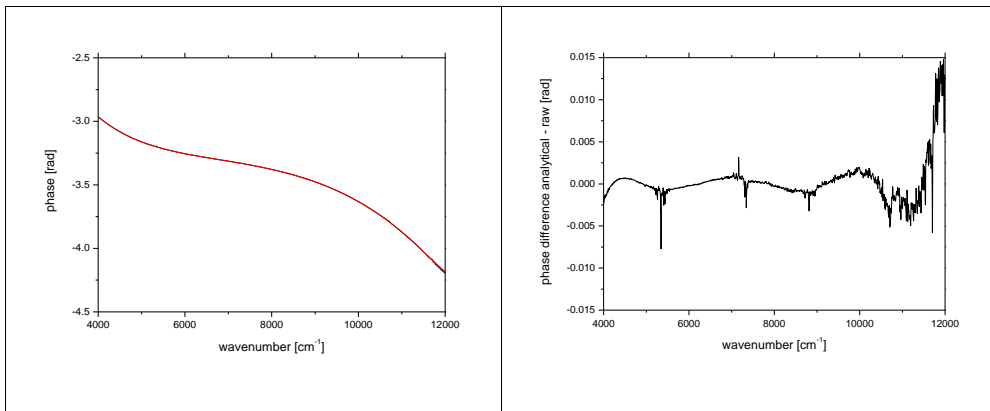
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311 Figure 2: IRCube phase spectrum. Left panel: raw phase (black) and fitted [analytical phasemodel](#) (red). Right panel:
312 difference between model ([analytical-ana](#)) and raw phase (raw). The gaps in the raw phase are due to opaque spectral
313 sections.

314

315 4.3 Phase spectrum of the IFS125HR FTS operated at Izaña

316 The phase spectrum of the IFS125HR operated at the Izaña observatory is shown in Figure 3. The spectral bandpass covers
317 4000 to beyond 12 000 cm^{-1} . Due to the facts that Izaña is a high-altitude site and a low threshold value for the phase
318 calculation was used because of the very low noise level of the measurements, there are no gaps in the raw phase. Some
319 structure can be seen in the model minus raw phase difference, but this is still within mostly 2 mrad apart from the highest
320 wavenumbers. The curvature of the phase is somewhat stronger than in [the](#) case of the IRCube. The sharp peaks occurring
321 around 5400 and 7200 cm^{-1} are coinciding with near-opaque regions of the spectrum and might hint at superimposed
322 spurious signals, potentially due to residual nonlinearity. Such spurious signals generally possess a phase orientation
323 different from the real signal. This finding demonstrates that the model-fitting approach presented here might also be useful
324 for detecting different kinds of imperfections in measured spectra.



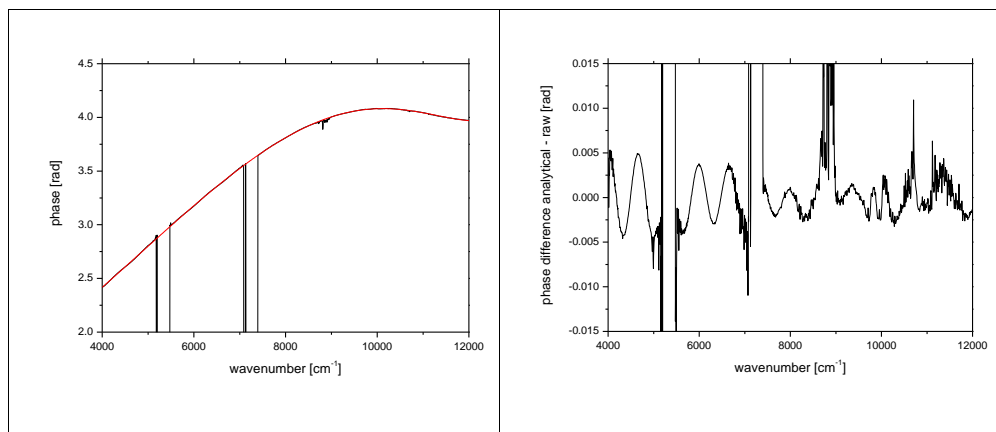
325

326 Figure 3: IFS125HR phase spectrum. Left panel: raw phase (black) and fitted [analytical phasemodel](#) (red). Right panel:
327 difference between model ([analytical-ana](#)) and raw phase (raw).

328 4.4 Phase spectrum of the Vertex 70 FTS

329 Figure 4 shows the phase spectrum of the Vertex 70 FTS. The spectral range covered extends from around 4000 to beyond
330 12 000 cm^{-1} . It is the most unusual phase spectrum we found, showing pronounced quasi-periodic oscillations of about 600
331 cm^{-1} cycle length in the raw phase (see right panel), which cannot be fitted by the polynomial model used. The amplitude of
332 these oscillations amounts to ± 5 mrad. A very similar oscillatory structure is present in the successor of this spectrometer
333 offered by Bruker under the model name Invenio (not shown here). We reported back our findings to the manufacturer, but
334 so far no explanation or remedy for the unusual behaviour was found. Again, it turns out that the approach presented here to
335 fit a smooth model phase to the raw phase is useful for discovering such instrumental characteristics which otherwise remain
336 overlooked. If the approach presented here is to be applied in an operational way for Invenio measurements, a specific model
337 extension must be designed that allows to reproduce the oscillatory features found in the raw phase.

338



339

340 Figure 4: Vertex 70 phase spectrum. Left panel: raw phase (black) and fitted [analytical phase model](#) (red). Right panel:
341 difference between model ([analytical](#)) and raw phase ([raw](#)). The gaps in the raw phase are due to opaque spectral sections.

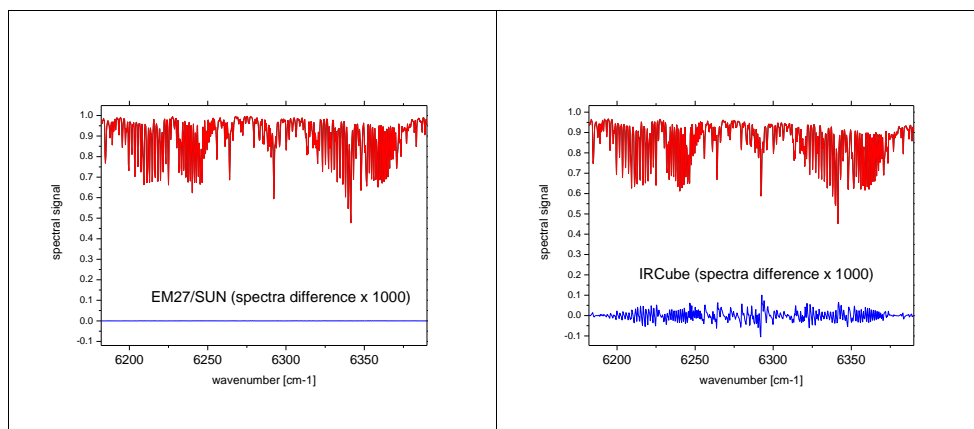
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344 5 Impact of the phase on the spectrum and on retrieved gas columns

345 Figure 5 shows the effect of using either the [classical Mertz](#) or the analytical phase when calculating the spectrum from the
346 measured interferogram [in a non-opaque spectral region](#). We here use the EM27/SUN and the IRCube for illustration and we

347 investigate the spectral region used for the analysis of CO₂ (~ 6200 – 6400 cm⁻¹). The EM27/SUN phase spectrum is nearest
348 to a straight line, and the differences between Mertz and analytical phase are well within 1 mrad in the CO₂ region (see
349 Figure 1). The IRCube phase spectrum has stronger curvature, but the model used for the analytical phase still delivers a
350 good fit. The differences between Mertz and analytical phase are mostly within 2 mrad in the CO₂ region (see Figure 2).
351



352
353 Figure 5: differences of spectra as resulting from the Mertz phase correction scheme and the analytical phase approach. Left:
354 EM27/SUN, right: IRCube, the spectral residuals are enlarged by a factor of 1000.
355

356 According to Figure 5, the spectral differences of the IRCube spectra are significantly larger than for the EM27/SUN. This [is](#)
357 [a reminder](#) of the fact that double-sided interferogram recording has an important intrinsic advantage over single-sided
358 interferograms, because the propagation of a phase error into the spectrum is much more critical for single-sided
359 interferograms. While sine contributions emerging from $\pm OPD$ cancel out in double-sided interferograms, they give rise to
360 point-symmetric residuals around spectral lines in spectra generated from single-sided interferograms. Securing an optimized
361 phase reconstruction is of higher importance for single-sided interferograms (all the spectrometers investigated here apart
362 from the EM27/SUN) than for the EM27/SUN, which essentially is insensitive to phase errors in reasonable limits.
363

364 The spectral [differences due to either using the analytical phase or the classical Mertz phase residuals](#) found for the IRCube
365 are quite moderate (below the 10^{-4} level). On the other hand both the increasing demands to be met for the validation of
366 new space borne GHG missions as well as the desired ability to quantify local sources from differential column
367 measurements make XCO₂ measurements with accuracies in the 0.05 ppm range desirable ($\sim 10^{-4}$). [For example, Ribmann](#)

et al., 2022, state that the X_{CO_2} gradients across the medium-sized city Munich typically are well below the 1 ppm level. Let us assume 0.5 ppm as a typical signal amplitude and the uncertainty on the source strength estimate due to imperfect description of transport to reside on the 20% level. In order to avoid a significant uncertainty contribution from the FTIR observation, we need an accuracy level of $10\% \cdot 0.5 \text{ ppm} = 0.05 \text{ ppm}$.

The analysis of the IRcube spectra indicates a relative change of CO_2 column of about $2 \cdot 10^{-5}$ between the two phase corrections methods, which is not expected to be of any relevance even if the aforementioned very stringent requirement for X_{CO_2} accuracy is used. ~~dominate the IRcube error budget. But other tested spectrometer types showed more pronounced spectral structures in the phase (factor two to five higher amplitudes), which are not negligible.~~

However, the inspection of the phase spectra reveals that in near-opaque regions, the differences between raw (classical Mertz) phase and the analytical phase becomes significantly larger. The $8730 - 8850 \text{ cm}^{-1}$ window is a nice study region for this effect. This rather opaque region created by H_2O absorption resides isolated between transparent regions covered in the same filter band, and the spectral flux is still sufficient for the determination of raw phase values inside the band. As indicated by figures 2 and 4, the IRCube and the Vertex70 produce significant phase deviations in this spectral region (up to 90 mrad for the Vertex 70 and up to 25 mrad for the IRCube).

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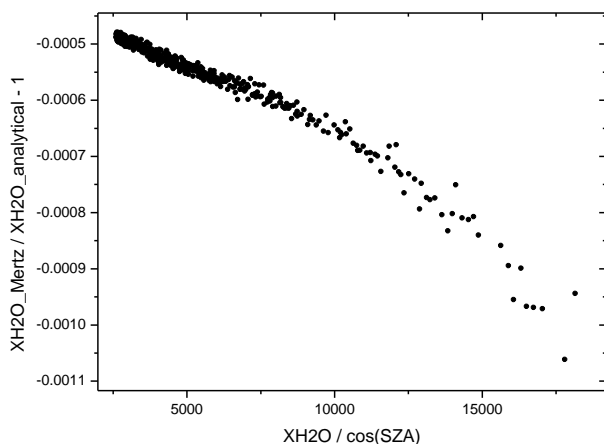
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385 Figure 6: Relative difference of retrieved XH₂O from the 8730 – 8850 cm⁻¹ window, which resides in a strong H₂O
386 absorption band, using either the classical Mertz phase or the analytical phase for spectra generation. For the abscissa, the
387 product of H₂O abundance times airmass is used as a measure for the absorption strength.

388
389 Figure 6 shows the relative difference between IRCube XH₂O values retrieved from either classical Mertz phase corrected
390 spectra or from analytical phase corrected spectra. The abscissa shows the airmass-scaled H₂O abundance, which is
391 proportional to the H₂O slant column, providing a measure for saturation strength of the observed spectral band. The relative
392 difference of retrieved XH₂O for lower degree of saturation of the target species band starts around 0.5 per mil and reaches 1
393 per mil at higher solar zenith angles. This is a relevant result in the context of GHG measurements. The combination of the
394 currently used weak NIR bands with stronger MIR bands for further improving the information content of GHG retrievals is
395 currently under investigation by the networks. The performance of the classical Mertz phase correction is expected to be
396 suboptimal for the stronger MIR GHG bands.

397
398 In general, there is no guarantee that the analytical phase solution is nearer to the truth than the Mertz phase spectrum. The
399 results always need to be evaluated in context of the specific application. The analytical model might require extensions to
400 include unexpected phase oscillations (as for the Vertex 70). In any case, however, the analytical method is highly useful to
401 carve out unexpected structures in the Mertz phase, which are easily overlooked without performing a comparison to the
402 smooth analytical phase. A careful analysis of such features might help to further improve the design of interferometers and
403 supports recognition of instrumental problems, because the non-local spectral artefacts created by various error sources (as
404 nonlinearity, sampling ghosts, double passing) also create disturbances of the phase spectrum.

406 6 Summary and Conclusion

407 We have implemented a refined method for reconstructing the phase spectrum of FTIR spectrometers. We have applied the
408 new method to different types of spectrometers and found pronounced differences in phase imperfections between them. Our
409 findings demonstrate the usefulness of the method proposed both for operational work and instrumental diagnosis, especially
410 for saturated absorption bands. The proposed algorithm has been incorporated in the COCCON pre-processing code, which
411 is available under the GNU General Public License version 3.

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415 **Authors Share**

416 FH has implemented the new method for phase correction using analytical model fits of the phase spectrum. He has
417 generated the results for the different spectrometers investigated in this work and wrote the predominant part of the
418 manuscript. All authors have studied and commented on the manuscript.

419

420 **Competing Interests**

421 At least one of the (co-)authors is a member of the editorial board of Atmospheric Measurement Techniques.

422

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425 from the OCO project office.

426

427 **Financial Support**

428 This research has been supported by the European Space Agency (contract 400136108/21/I-DT-Ir).

429

430 **Code Availability**

431 The COCCON software suite including the pre-processing software PREPROCESS is made available under GPL version 3
432 license. From version 2.3 onwards, it supports the option of using the analytical phase model implemented in
433 PREPROCESS. The software suite and source codes are available for download at [https://www.imk-](https://www.imk-asf.kit.edu/english/3225.php)
434 [asf.kit.edu/english/3225.php](https://www.imk-asf.kit.edu/english/3225.php).

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