



# An Overview on GNSS Radio Occultation

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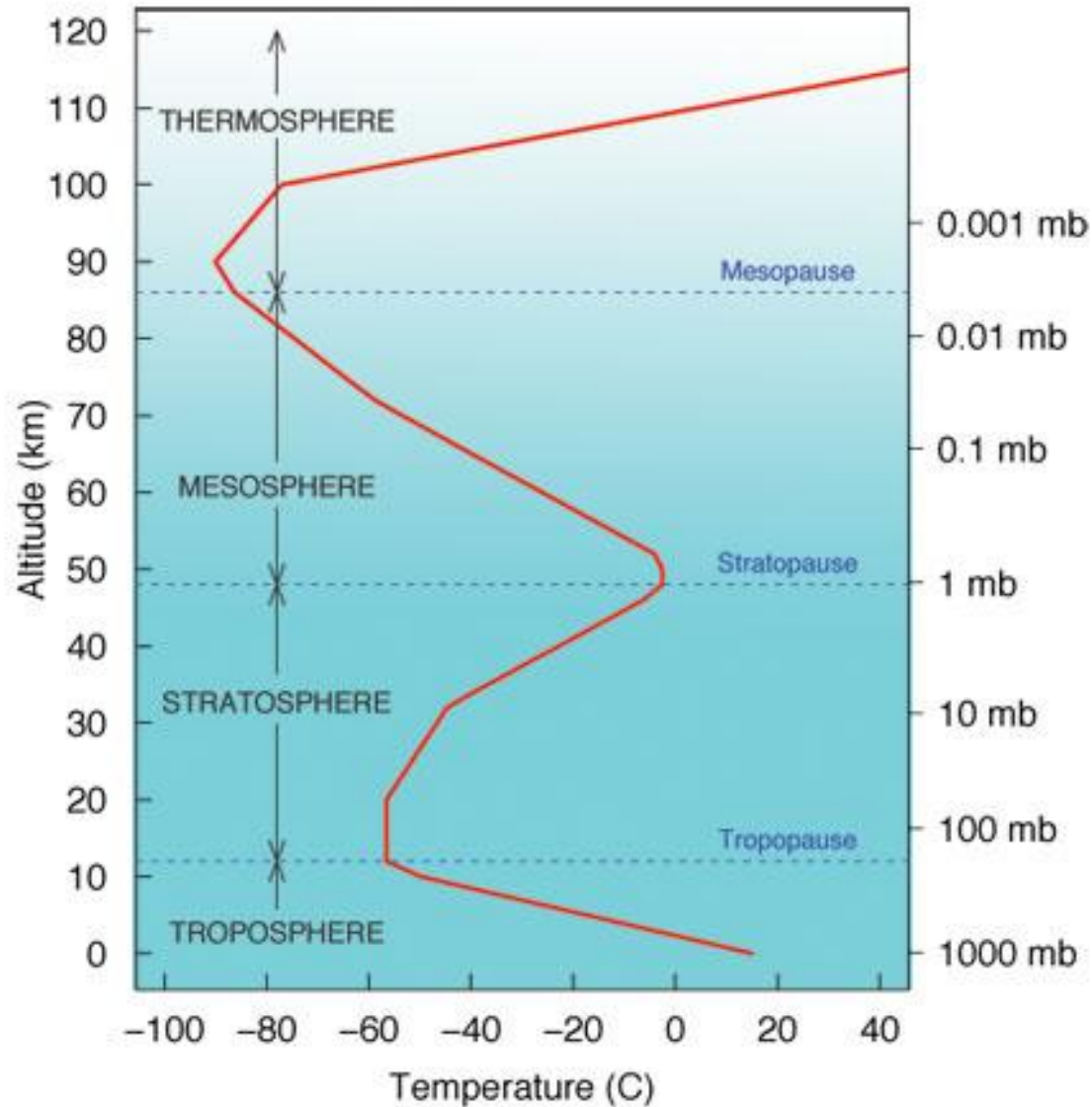


- Basic concepts
- Physic of atmosphere
- Ground-based GNSS atmospher sounding (measurements)
- GNSS Radio Occultation (GNSS-RO) measurement geometry
- Classical GNSS-RO retrieval method
- Results
- Data Assimilation (DA)
- Summary

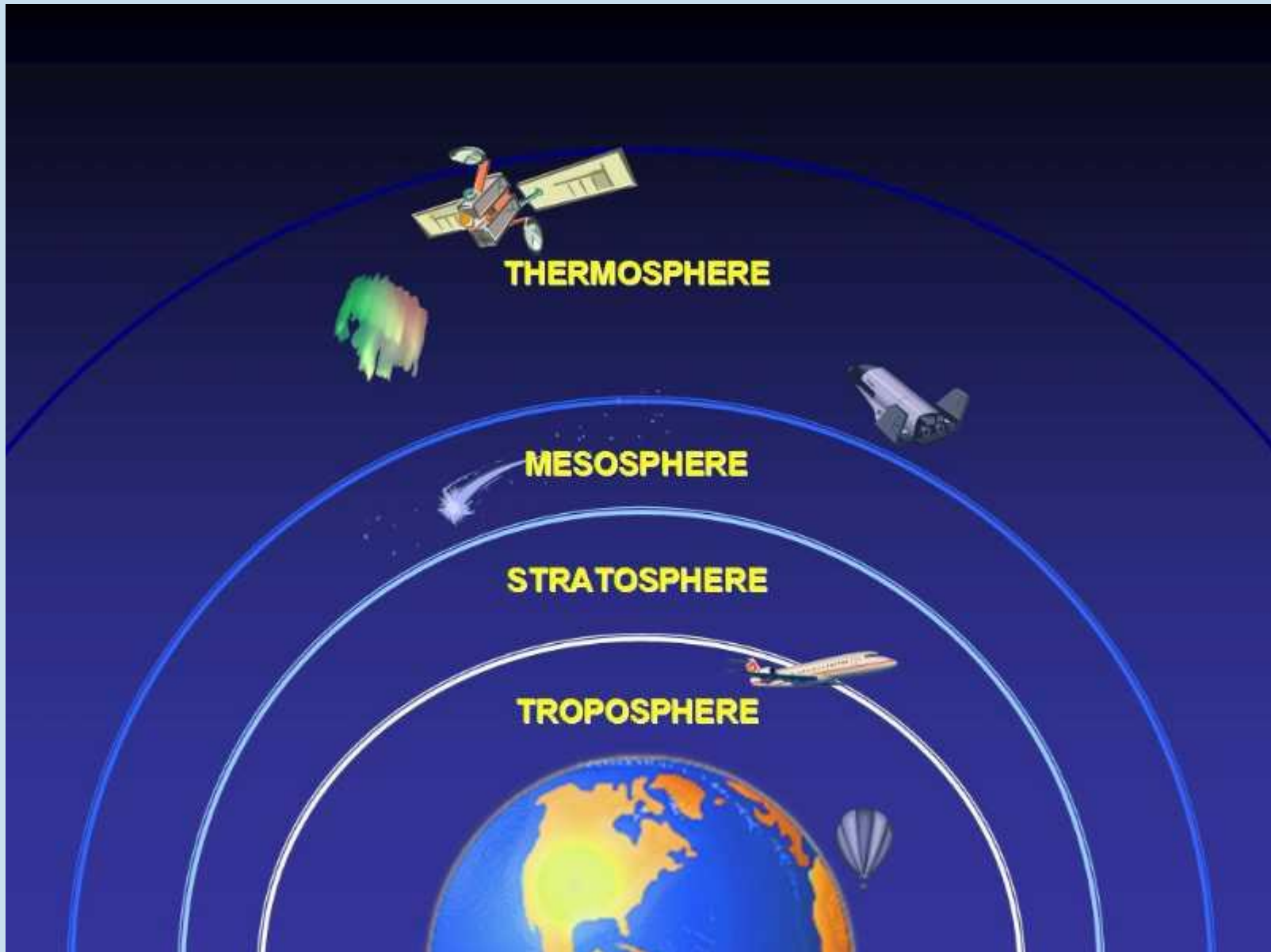


## Parameterization

- Temperatur
- Pressure
- Water Vapour Pressure
- Density
- ....





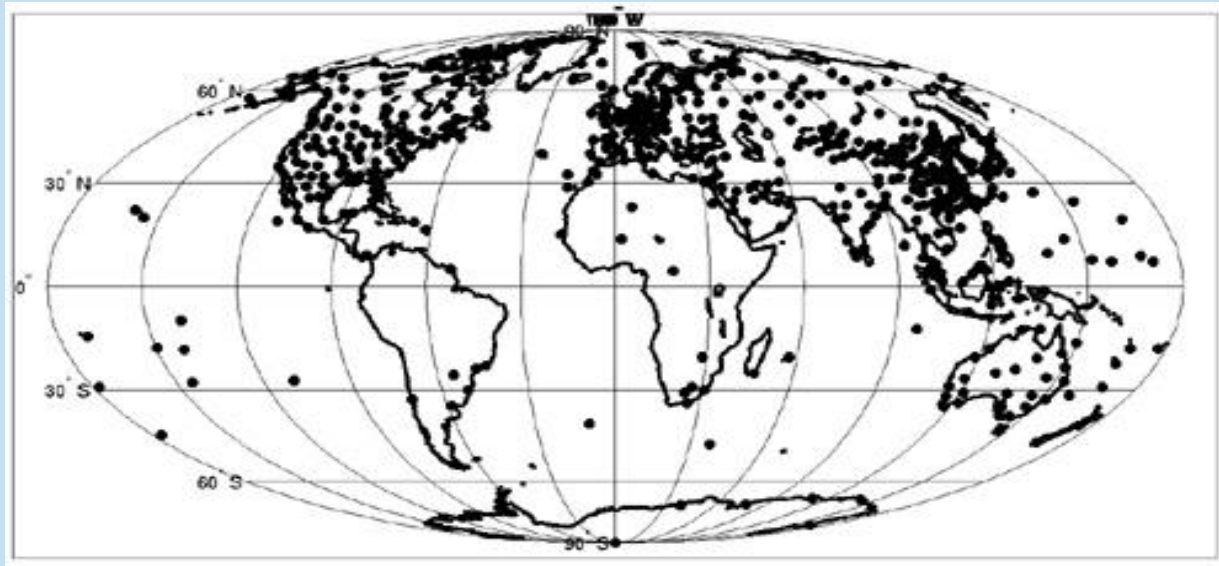


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- RADAR (Radio Detection And Ranging)
  - expensive,
  - poor coverage
- SODAR (Sound Detection And Ranging)
  - Based on sound system
  - expensive
  - Poor coverage
- Radiosound
  - Ballons with sensors
  - expensive
  - poor coverage
- Remote sensing (active or passive) - Image Processing
- GNSS based
  - Ground based
  - Space based

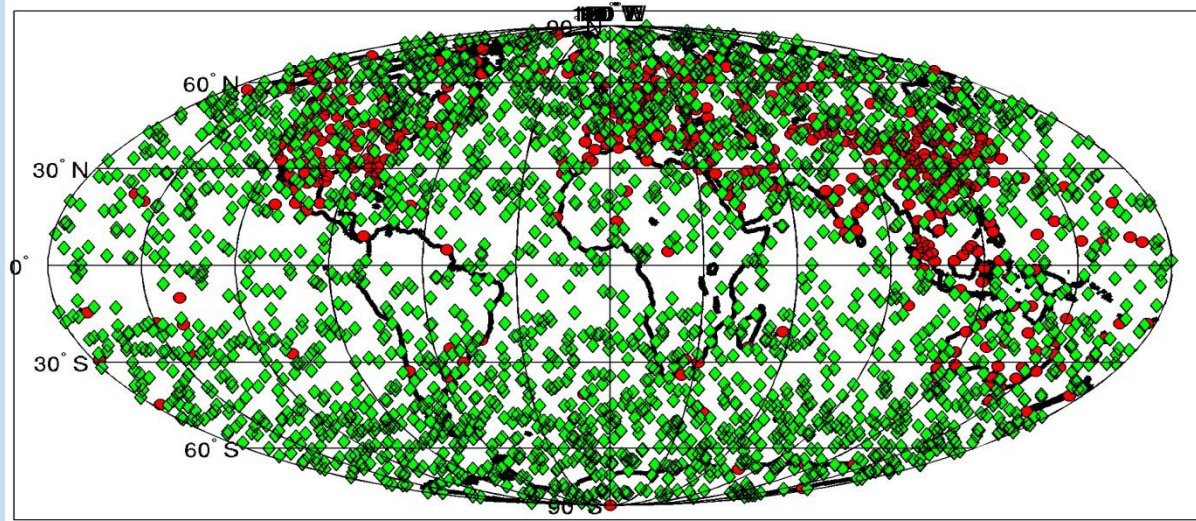


Radiosound



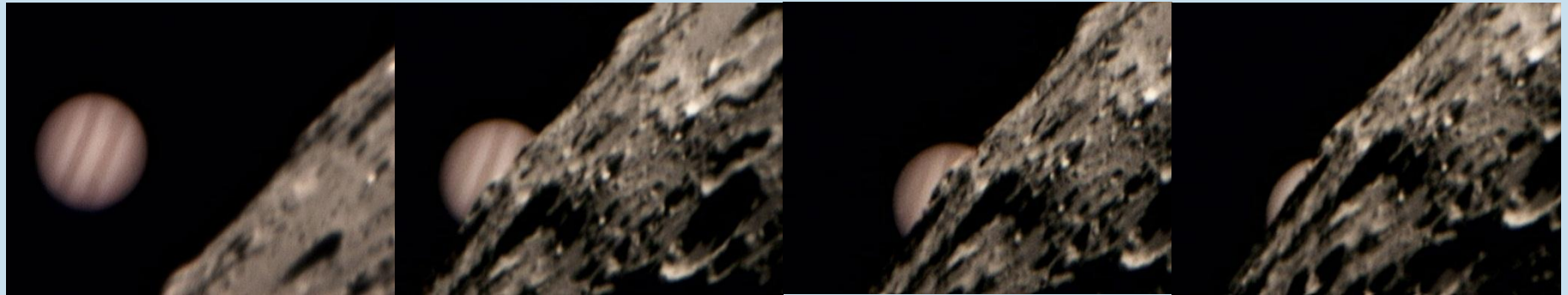
Radiosound+  
COSMIC

Occultation Locations for COSMIC, 6 S/C, 6 Planes, 24 Hrs





- RADIO
  - The signal frequency is less than 10 GHz.
- Occultation (Optical)
  - An occultation occurs when **one object** is hidden by **another object** that passes between it and **observer**!



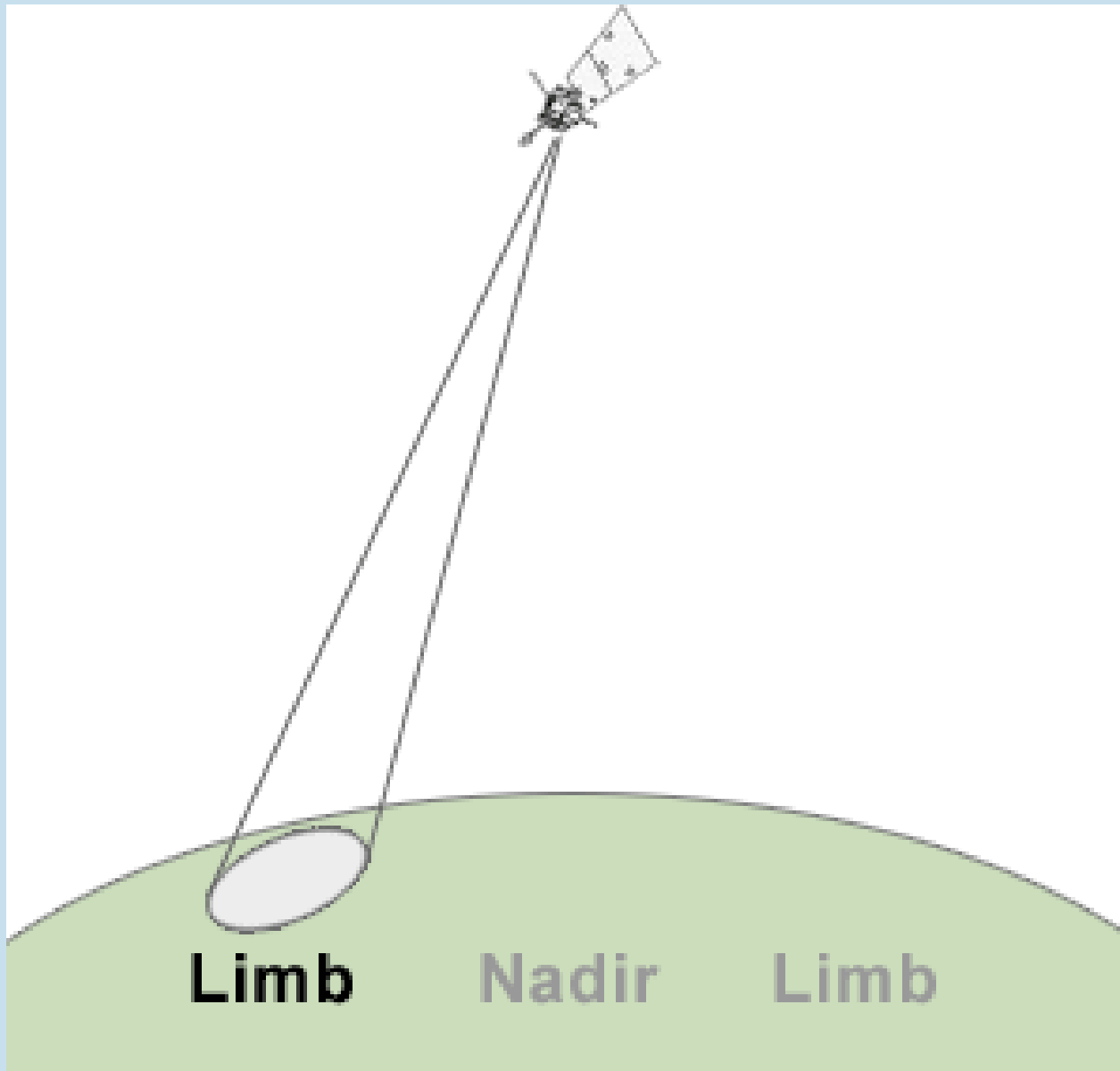
Jupiter & Moon occultation. Dec. 7, 2004 - Pub in S&T, April 2005

Occultation (Special case: GNSS-RO)

An occultation occurs when one **object (GNSS)** is hidden by **another object (Earth)** that passes between it and **observer (LEO)**!





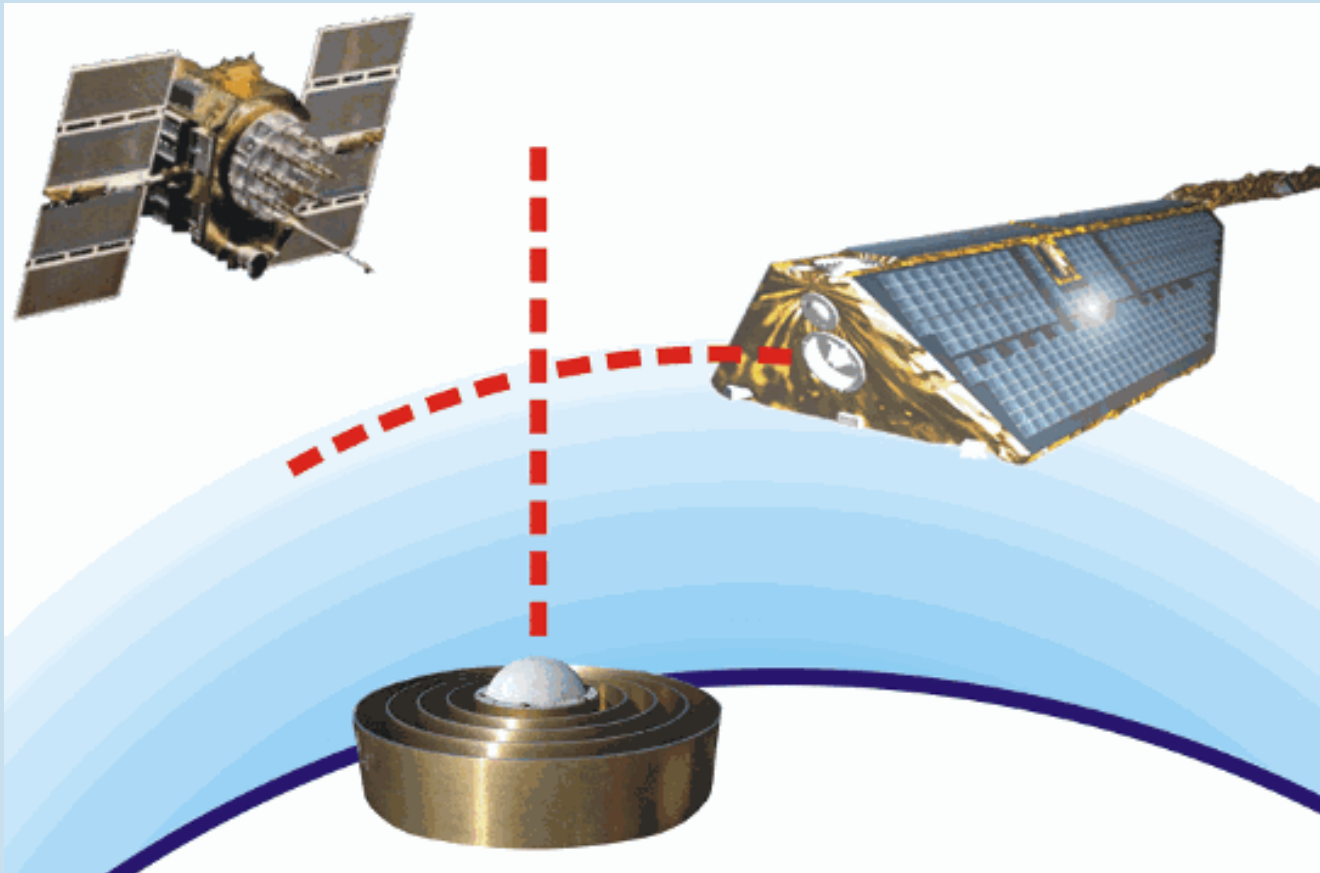




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- **Ground based GNSS** (Nadir direction, Column Integrated Water Vapour)
- **Space based GNSS** (Limb Sounding, Profile Information)

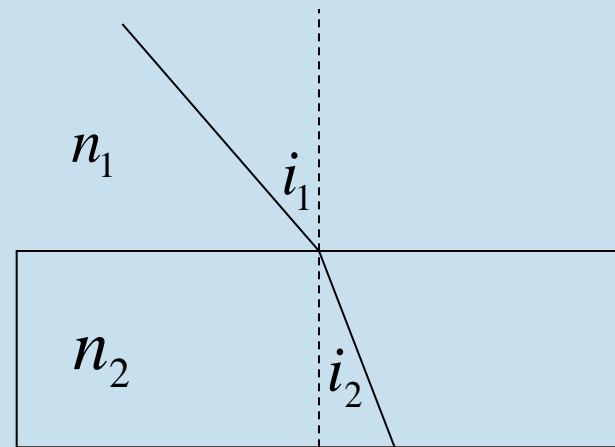


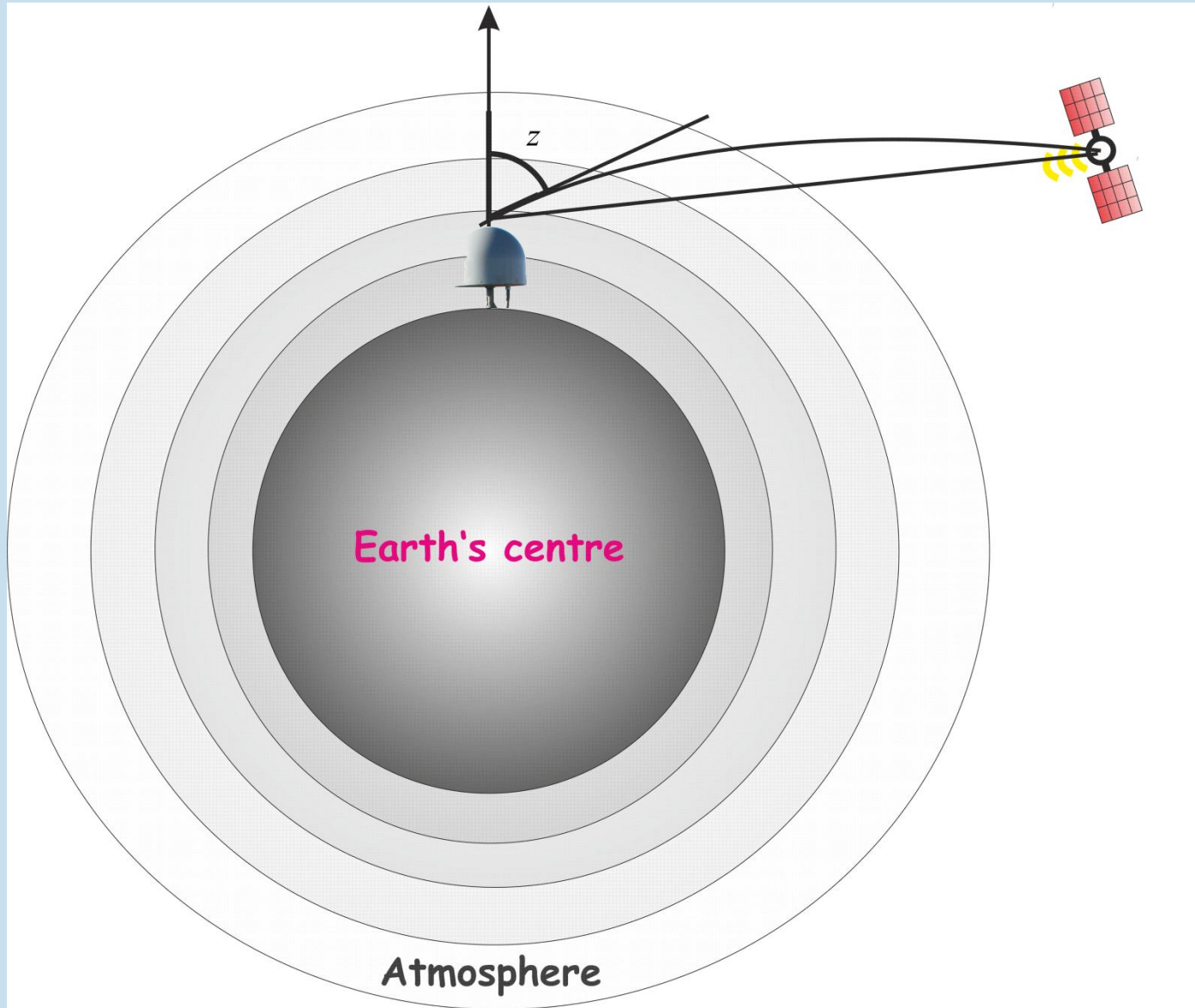
- Refractive index: Speed of an electromagnetic wave in a vacuum divided by the speed through a medium.

$$n = \frac{c}{v} \quad \Rightarrow \quad N = (n - 1) \times 10^6 \quad \text{Refractivity index!}$$

- Snell's law of refraction

$$n_1 \sin i_1 = n_2 \sin i_2$$



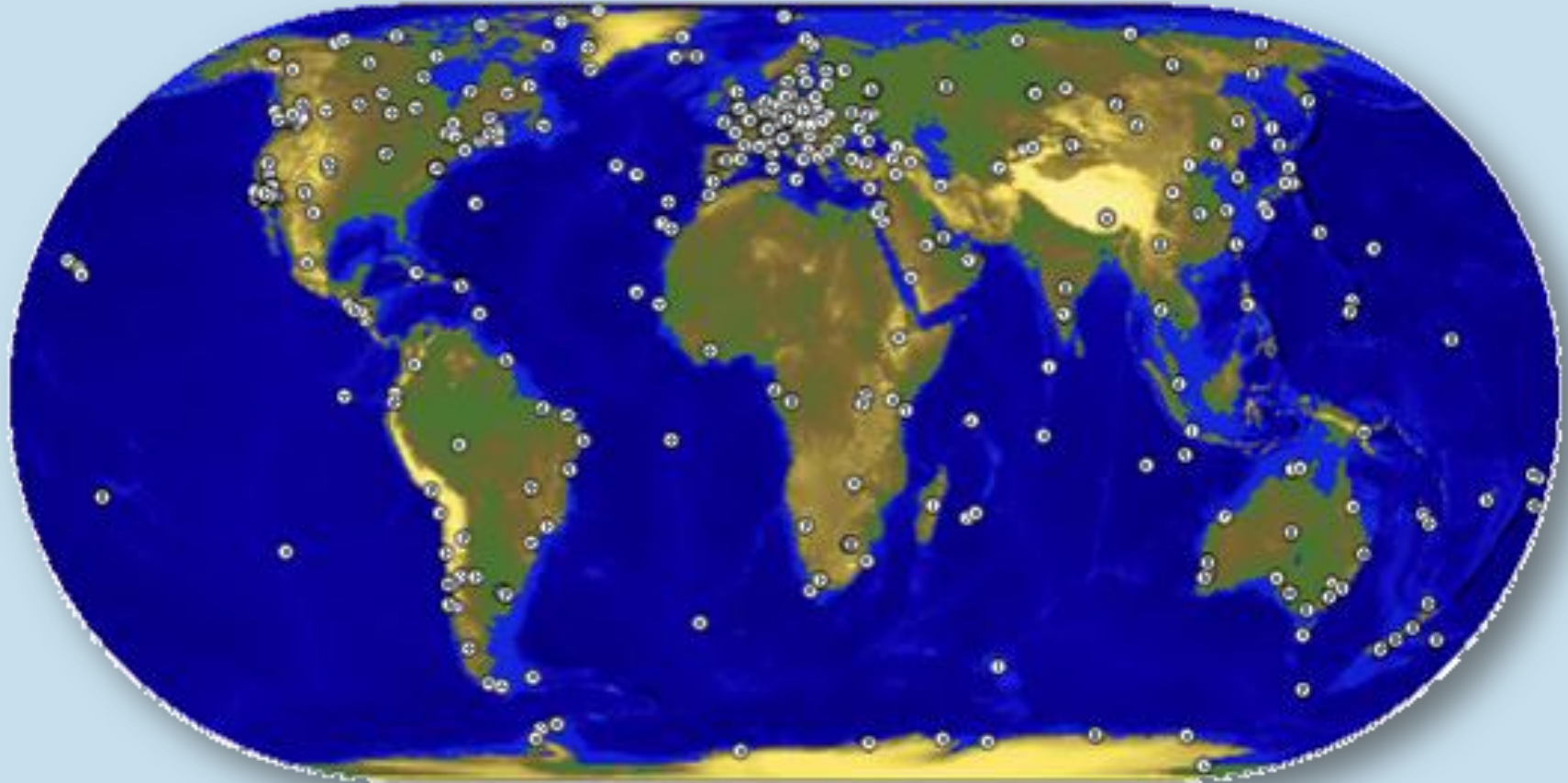




- ECMWF (European Centre for Medium-Range Weather Forecast) currently monitors ground based GNSS zenith total delay (ZTD) measurements in operations.
- Ignoring **bending**, the **excess slant delay** caused by the atmosphere is

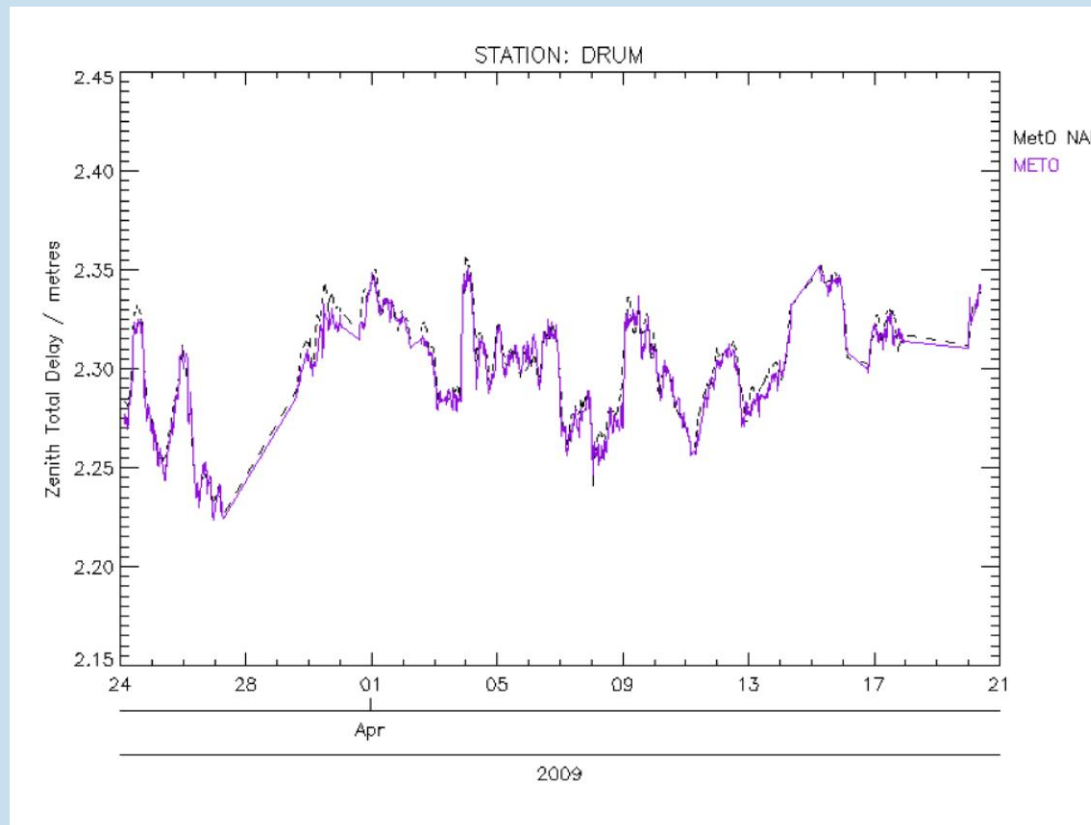
$$\Delta\phi = \int_G^R n(s) ds - S = (n(s) - 1)10^6 \quad \Longrightarrow \quad ZTD(T, P, P_w)$$

- The **slant delays** are mapped to a zenith delays using **mapping functions** (Neil mapping function or Hopfield etc...).

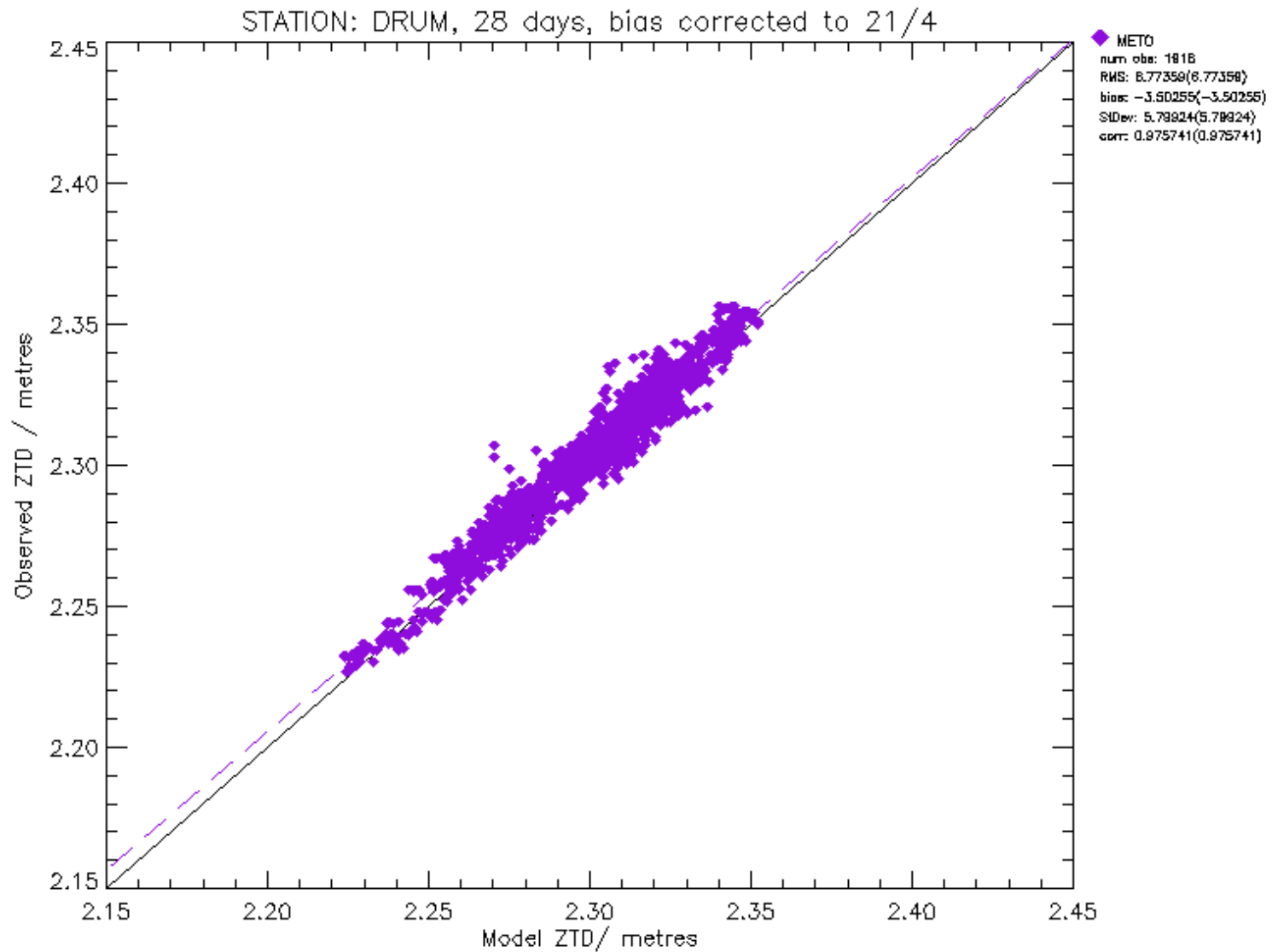


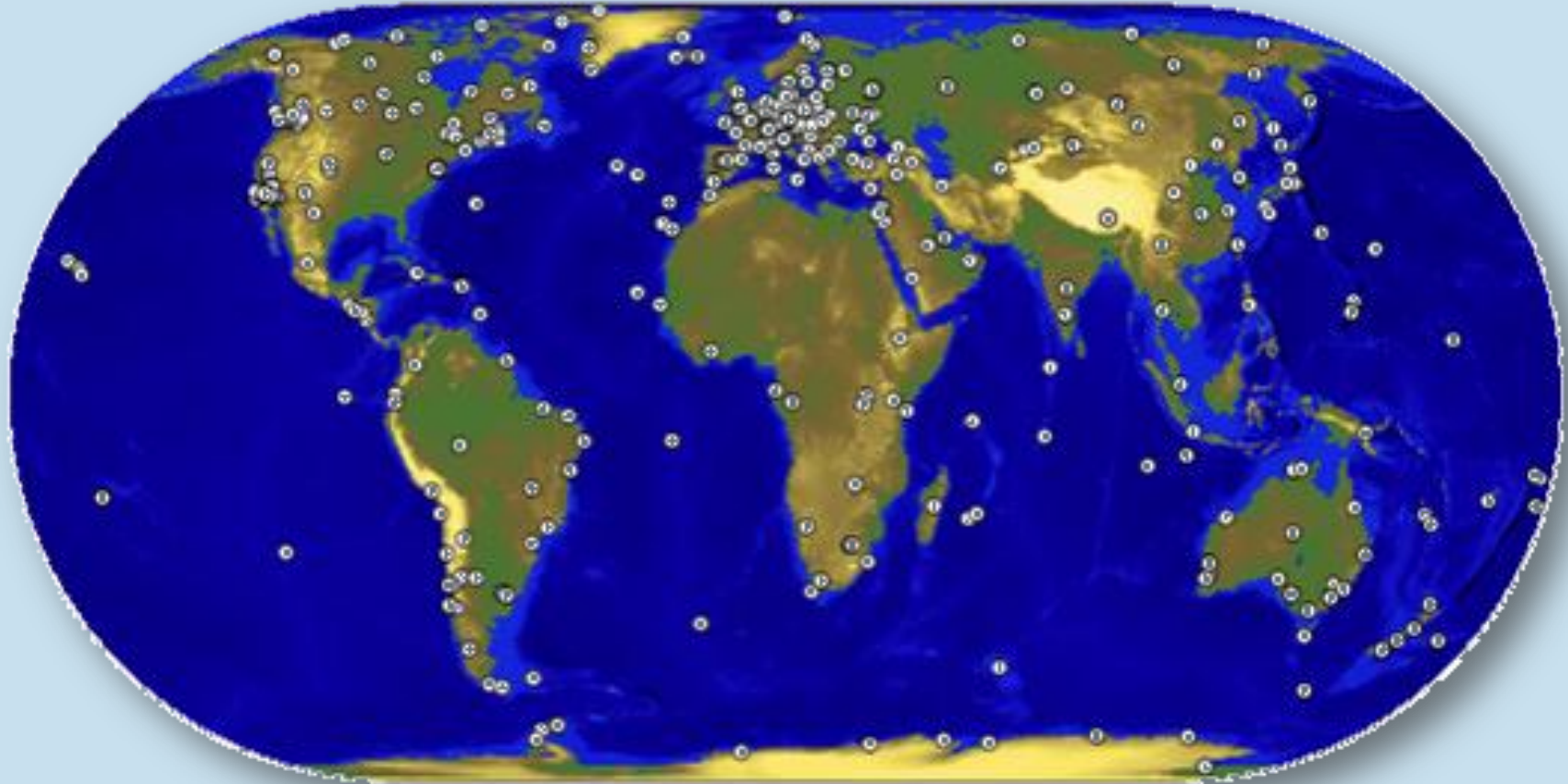
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- **Information content:** The “**hydrostatic delay**” is large (90% of total), but it is only really sensitive to the surface pressure value at the receiver.
- The “**wet delay**” is smaller, but more **variable**. The wet delay is related to the **vertical integral** of the water vapour density.

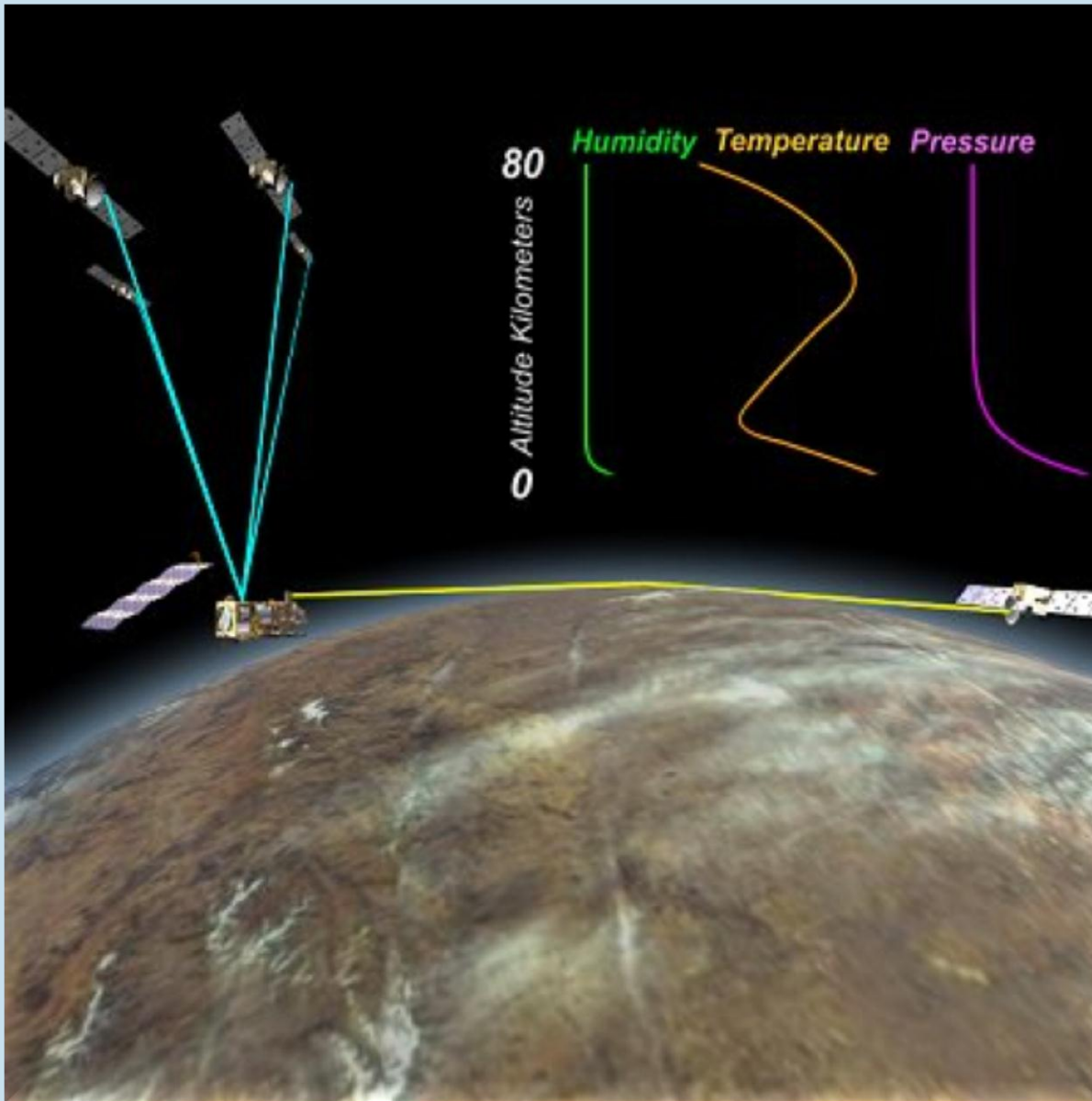


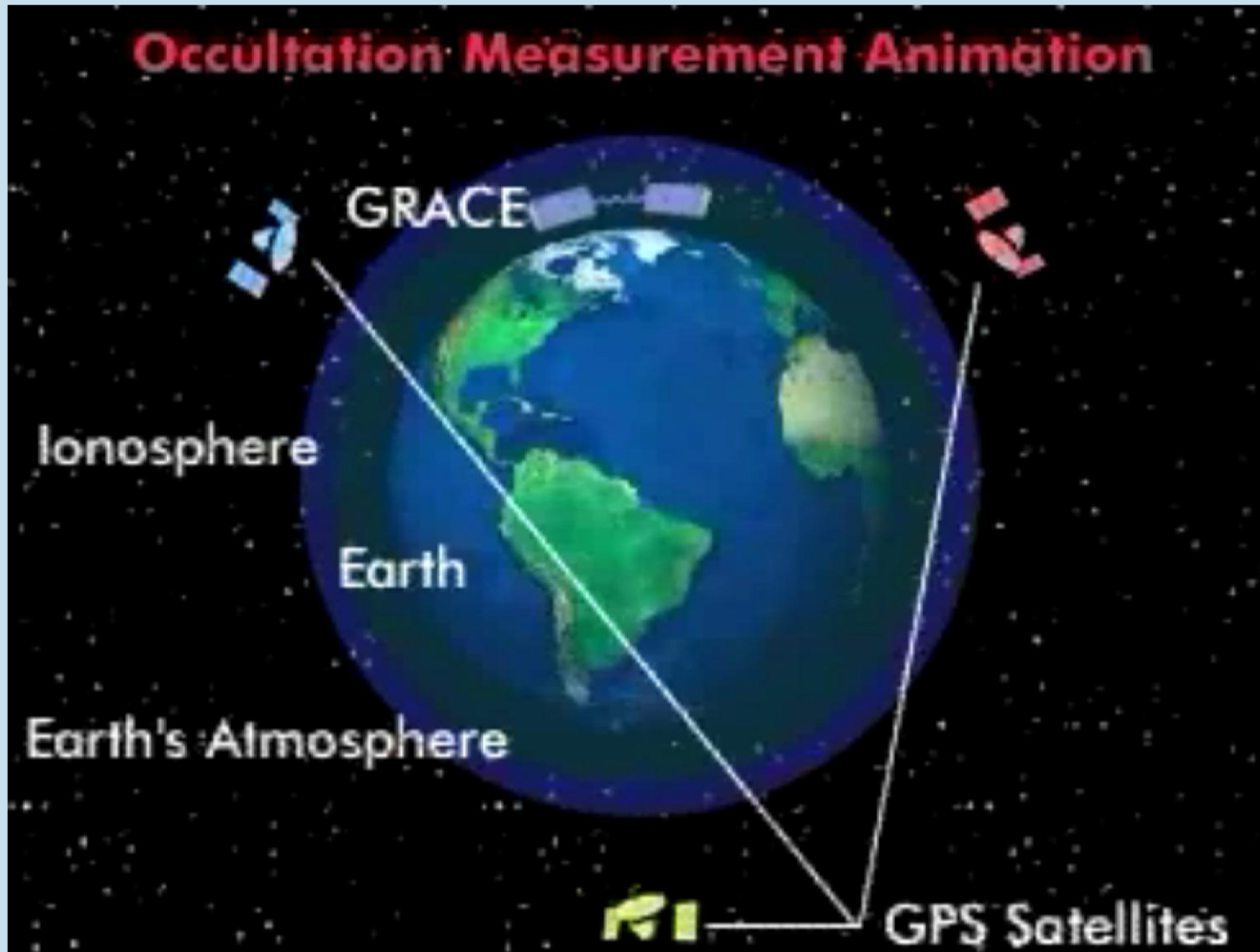


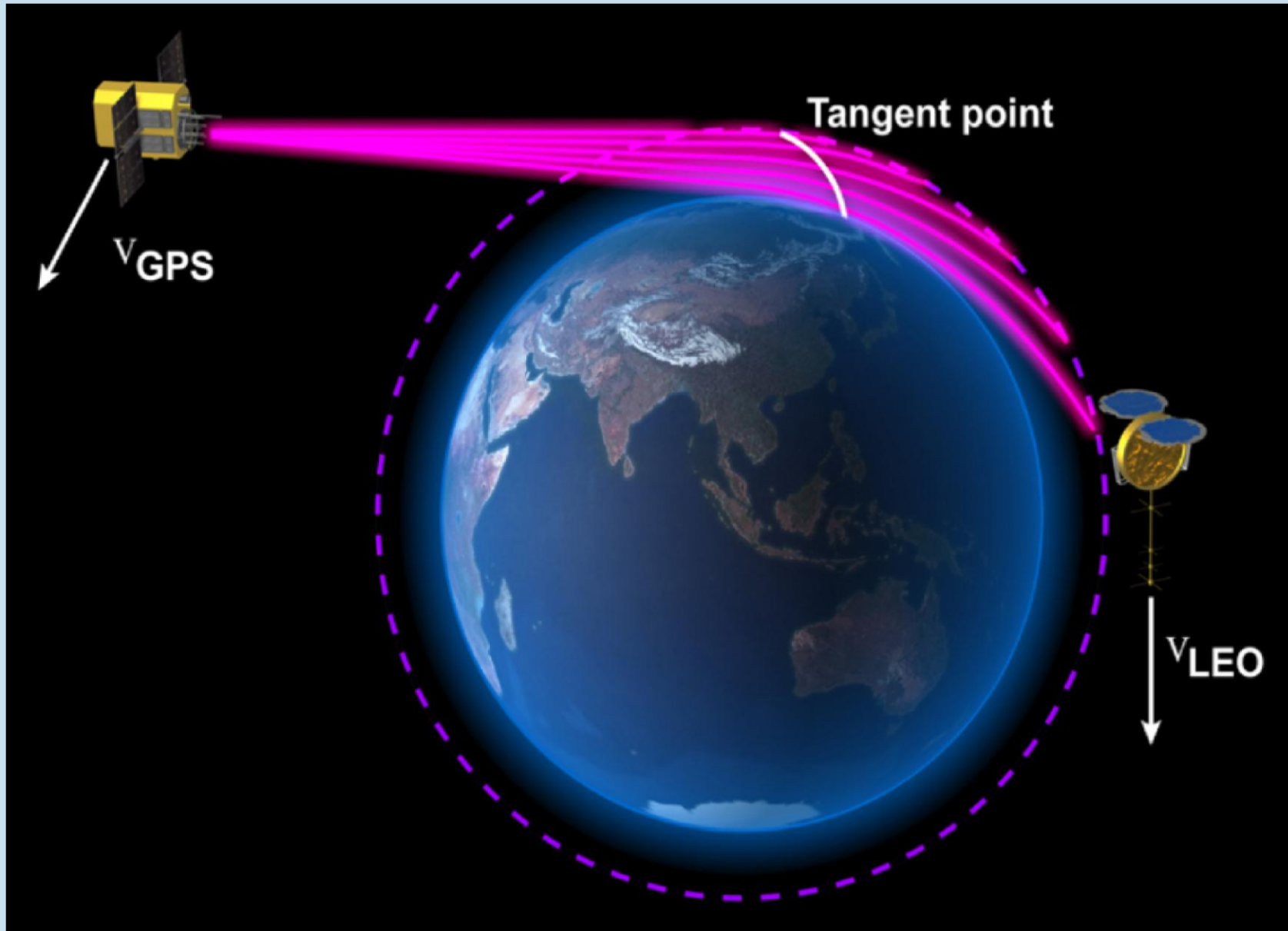




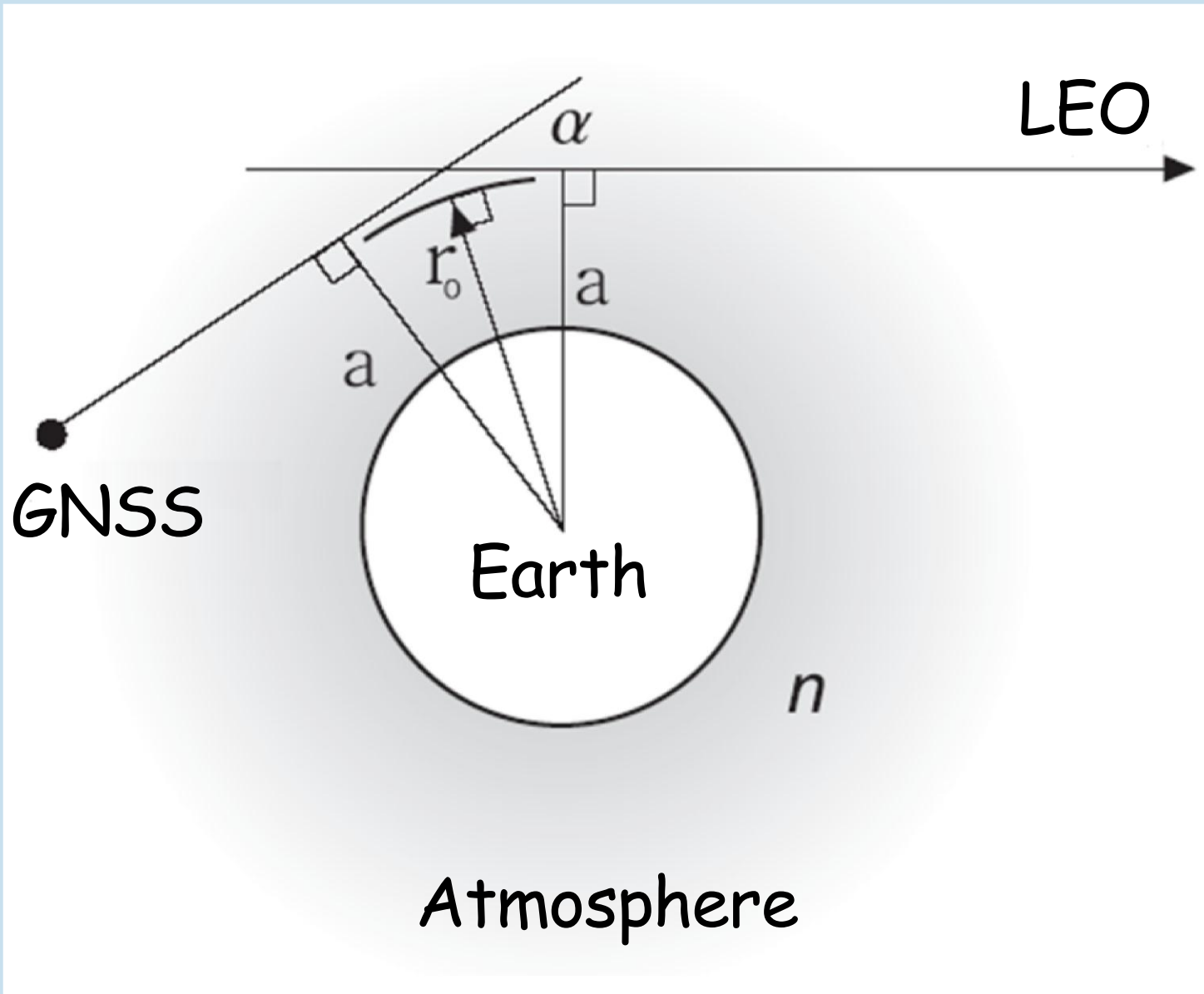
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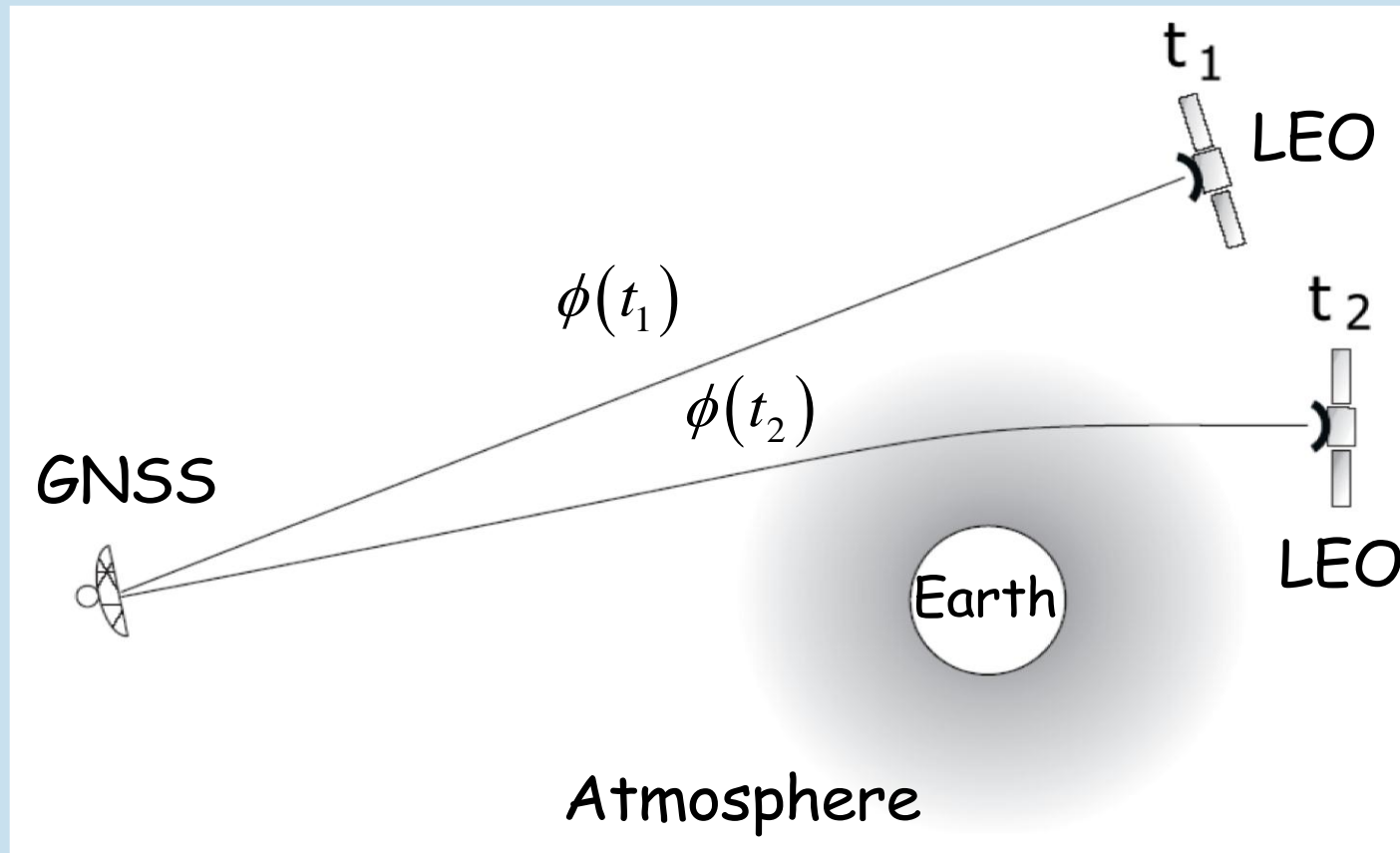




- Radio occultation (RO) measurements have been used to study planetary atmospheres, such as **Mars** and **Venus**, since the **1960's**. It's an active technique. We simply look at how the paths of radio signals are **bent** by **refractive index gradients** in the atmosphere (**Optical and Radio**).
- The use of RO measurements in the **Earth's atmosphere** was originally proposed in **1965**, but required the **advent of the GPS** constellation of satellites to provide a suitable source of radio signals.
- The **GPS** satellites are primarily a tool for positioning and navigation. These satellites emit radio signals at  $L1 = 1.57542$  GHz and  $L2 = 1.2276$  GHz (~20 cm wavelength, **Radio wavelength**).
- In **1996** the **proof of concept "GPS/MET"** experiment demonstrated useful temperature information could be derived from the **GPS RO** measurements.

- The **GNSS** signal velocity is modified in the **ionosphere** and **neutral atmosphere** because the **refractive index** is not unity, the path is **bent** because of **gradients in the refractive index**.
- **GNSS-RO** is based on analysing the **bending** caused by the **neutral atmosphere** along ray paths between a **GNSS** satellite and a receiver placed on a **LEO**.

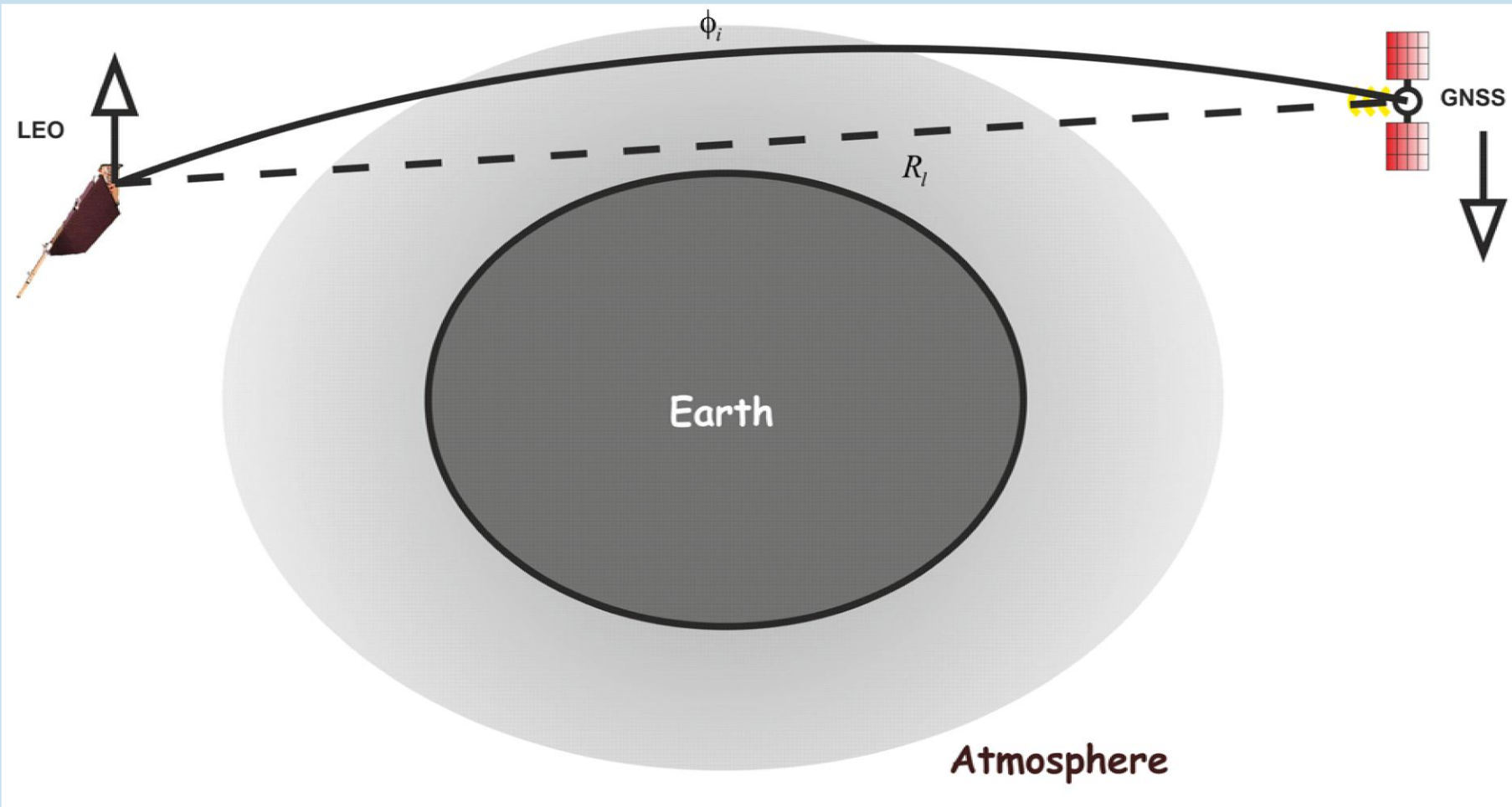
- GNSS receivers do not measure **bending angle directly!**
- The GPS receiver on the LEO satellite measures a time series of phase-delays  $\phi(i), \phi(i+1), \dots$  at the two GPS frequencies,



- The phase delays are “calibrated”
  - Removing special and general relativistic effects
  - Removing GNSS and LEO clock offsets (POD problem):
    - GNSS precise orbits in Zero Difference (ZD) concept
    - Single Difference (SD) between GNSS satellites to remove LEO clock offset
    - Double Difference (DD) between GNSS satellites, LEO satellite and GNSS ground station.

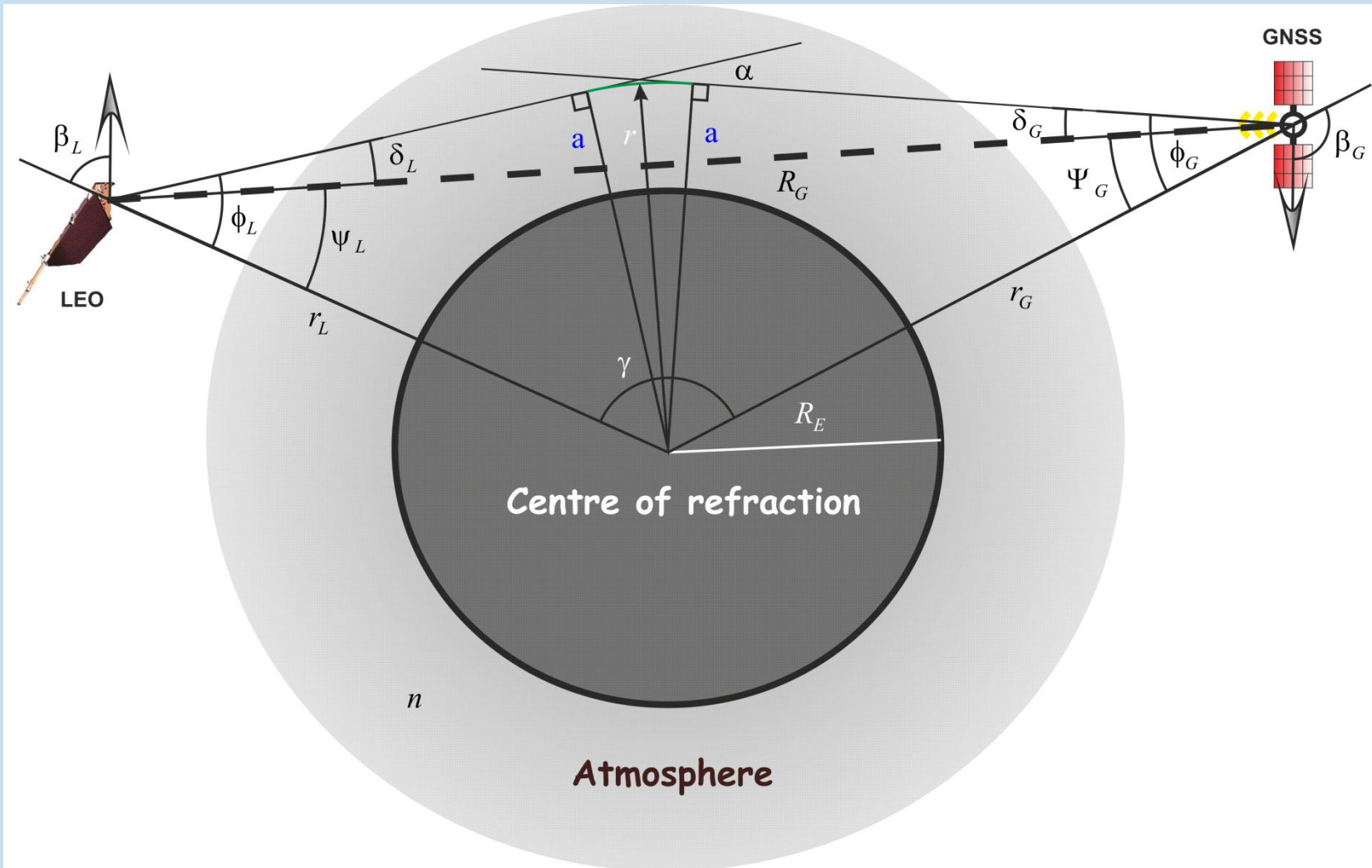


- Calculate **Excess Phase Delays**: remove straight line path delay  $\Delta\phi(i)$



- A **time series of excess Doppler shifts** at L1 and L2 are calculated by differentiating the excess phase delays with respect to time.

- The ray bending caused by gradients in the atmosphere and ionosphere modify the L1 and L2 Doppler values, but **deriving the bending angles, from the Doppler values is an ill-posed problem?**



Bending angle

$$\alpha = \phi_L + \phi_G + \gamma - \pi$$

Snell's law

$$a = n_L r_L \sin(\phi_L) = n_R r_R \sin(\phi_R) = const.$$

- The ray bending caused by gradients in the atmosphere and ionosphere modify the L1 and L2 Doppler values, but **deriving the bending angles, from the Doppler values is an ill-posed problem.**
- The problem made **well posed** by assuming the impact parameter, given by (**spherical symmetry**) has the same value at both the satellites.

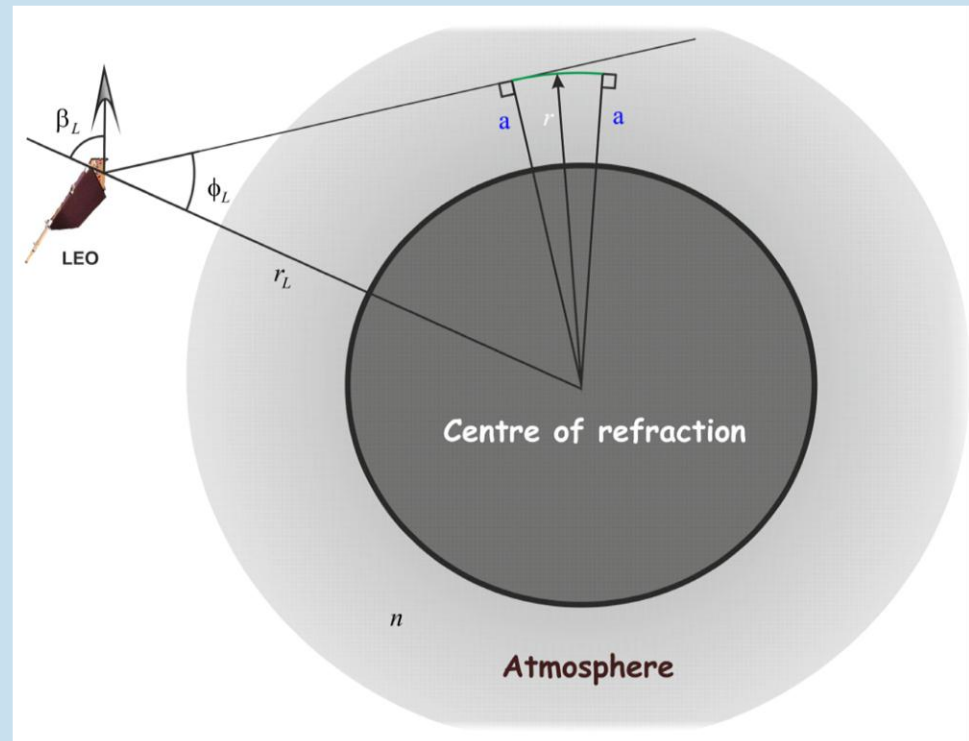
- Snell's rule:

$$a = n_L r_L \sin(\phi_L) =$$

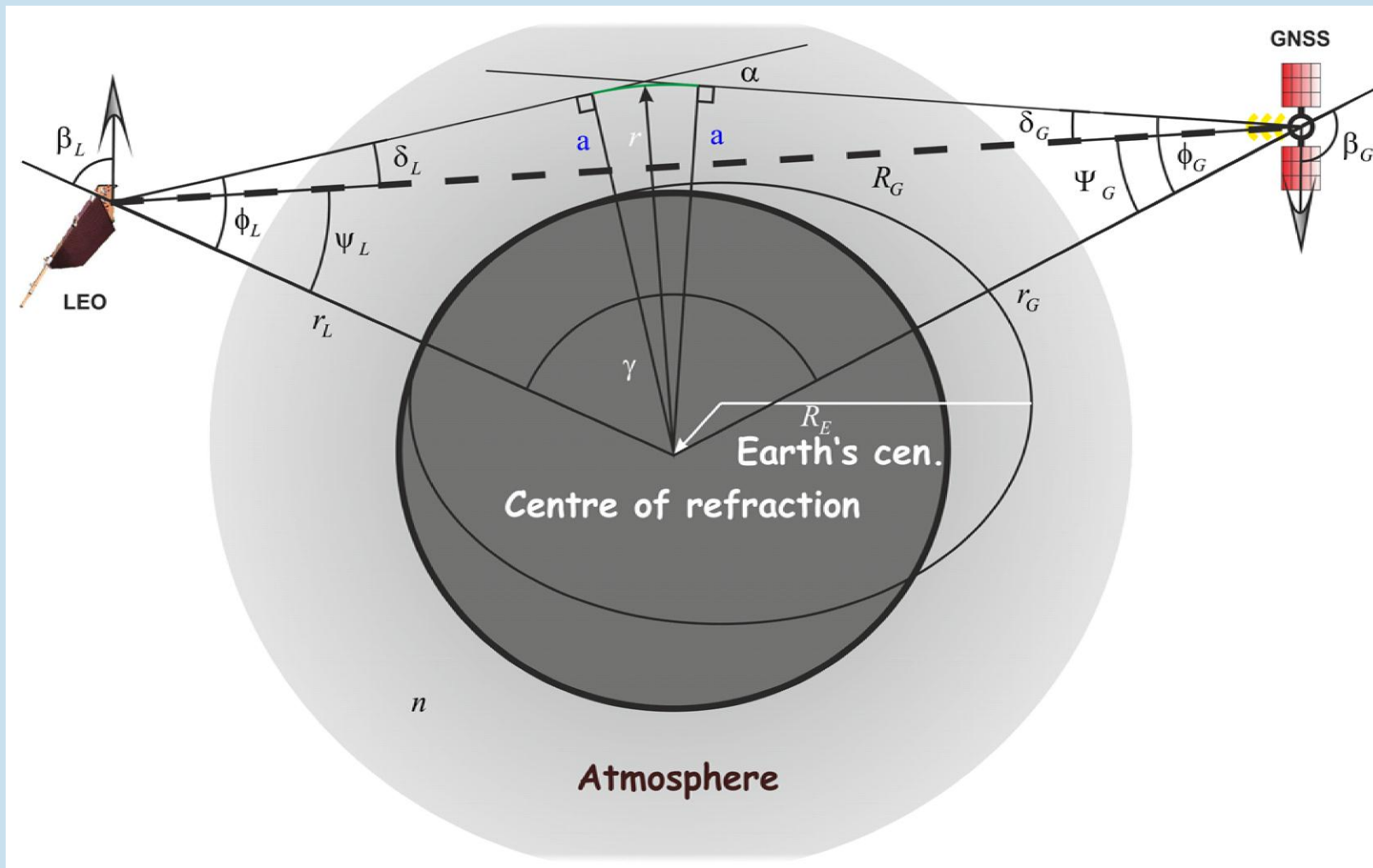
$$= n_R r_R \sin(\phi_R) = \text{const.}$$

- At the tangent point (TP):

$$a = n_L r_L = n_R r_R$$



- Correction of **the LEO and GNSS satellite positions** w.r.t the centre of refraction and deriving the bending angle and impact parameter for the spherical case (see Syndergaard, 1998).





- Given accurate position and velocity estimates for the LEO and GNSS satellites (after applying ellipsoidal corrections), and making the impact parameter assumption (spherical symmetry), the bending angle and impact parameter value can be derived simultaneously from the Doppler.



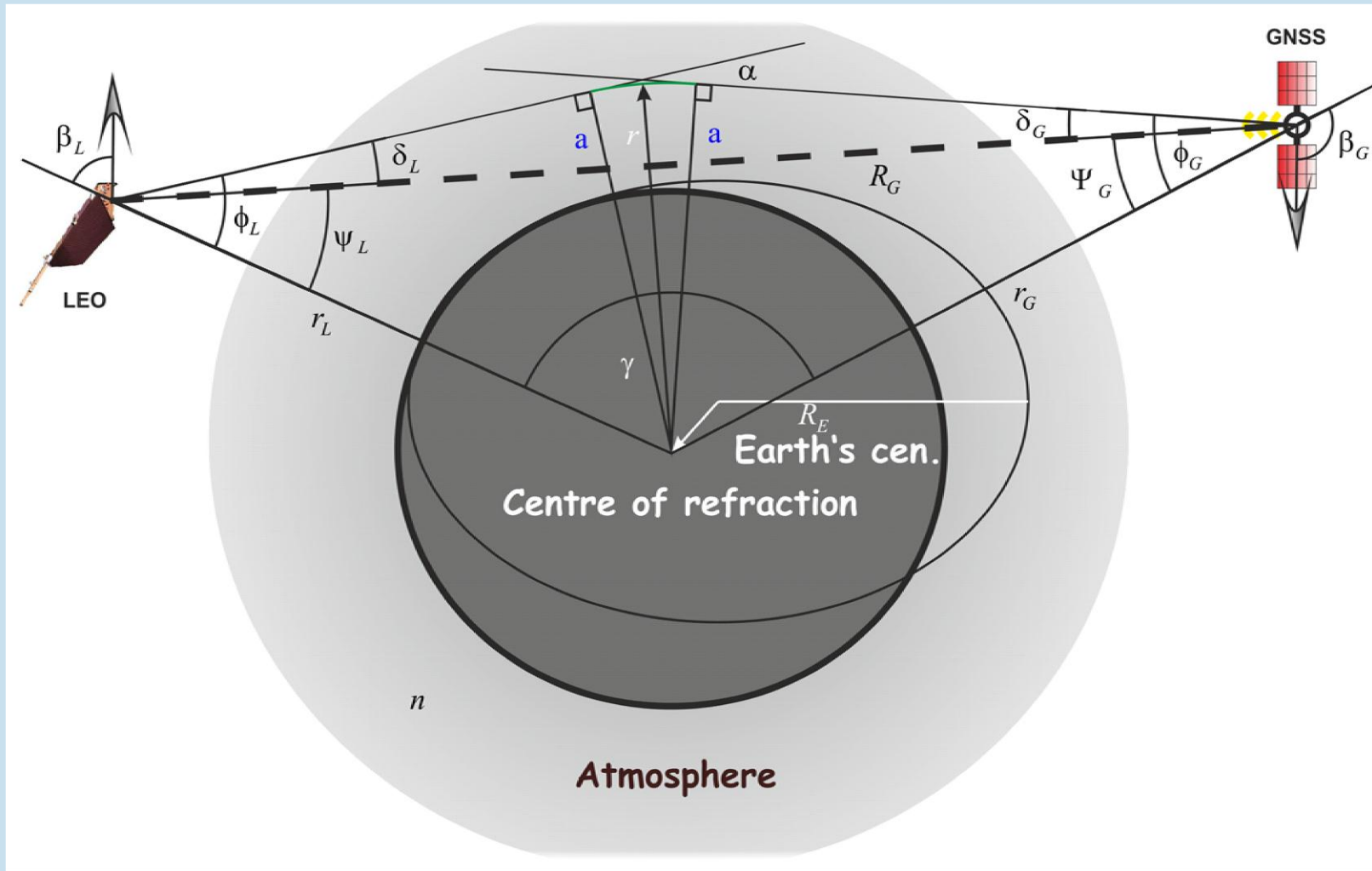
- Calculate **Excess Doppler shift** ( $f_D$ ) by 3rd order polynomial fit differentiation of the L1 and L2 phase paths

$$\frac{(f_D)_i}{f_i} = \frac{1}{c} \frac{d\Delta\phi_i}{dt}, \quad i = 1, 2$$

- Calculate **zenith angle**  $\phi_G$ 
  - The **Doppler shift** at the LEO can be expressed as the difference in the **projected velocities** of two moving satellites on the ray path tangent :

$$v_{L\_t} - v_{G\_t} = \frac{d\Delta\phi_i}{dt} + v_{L\_s} - v_{G\_s}$$

$$-v_L \cos(\phi_L - \beta_L) - v_G \cos(\phi_G + \beta_G) = \frac{d\Delta\phi_i}{dt} - v_L \cos(\psi_L - \beta_L) - v_G \cos(\psi_G + \beta_G)$$



$$\phi_G = \arcsin \left( \frac{\frac{d\Delta\phi_i}{dt} - v_L \cos(\phi_L - \beta_L) - v_G \cos(\phi_G + \beta_G)}{v_G \left( \sin \beta_G - \frac{\cos \beta_G}{\tan \phi_G} \right) - v_L \frac{r_G}{r_L} \left( \sin \beta_L + \frac{\cos \beta_L}{\tan \phi_L} \right)} \right)$$

- Some elements (e.g. **positions and velocities**) are derived from measurements (**POD or OD problem**) and some of them (e.g. **angles**) are derived from geometrical relations!
- The **zenith angles** are derived in an **iteration process** using circular orbits as start value!
- The **same process** can be applied to the **LEO** satellite zenith angle.

- Calculate **refraction angles** for both satellites

$$\delta_G = \phi_G - \psi_G \quad \delta_L = \phi_L - \psi_L$$

- Calculate **bending angles** and **impact parameter** as a pair at two frequencies  $(\alpha_i, a_i)$ ,  $i = 1, 2$

$$\alpha_i = \delta_{G,i} + \delta_{L,i}, \quad i = 1, 2$$

$$a_i = r_L \sin \phi_{L,i}, \quad i = 1, 2$$

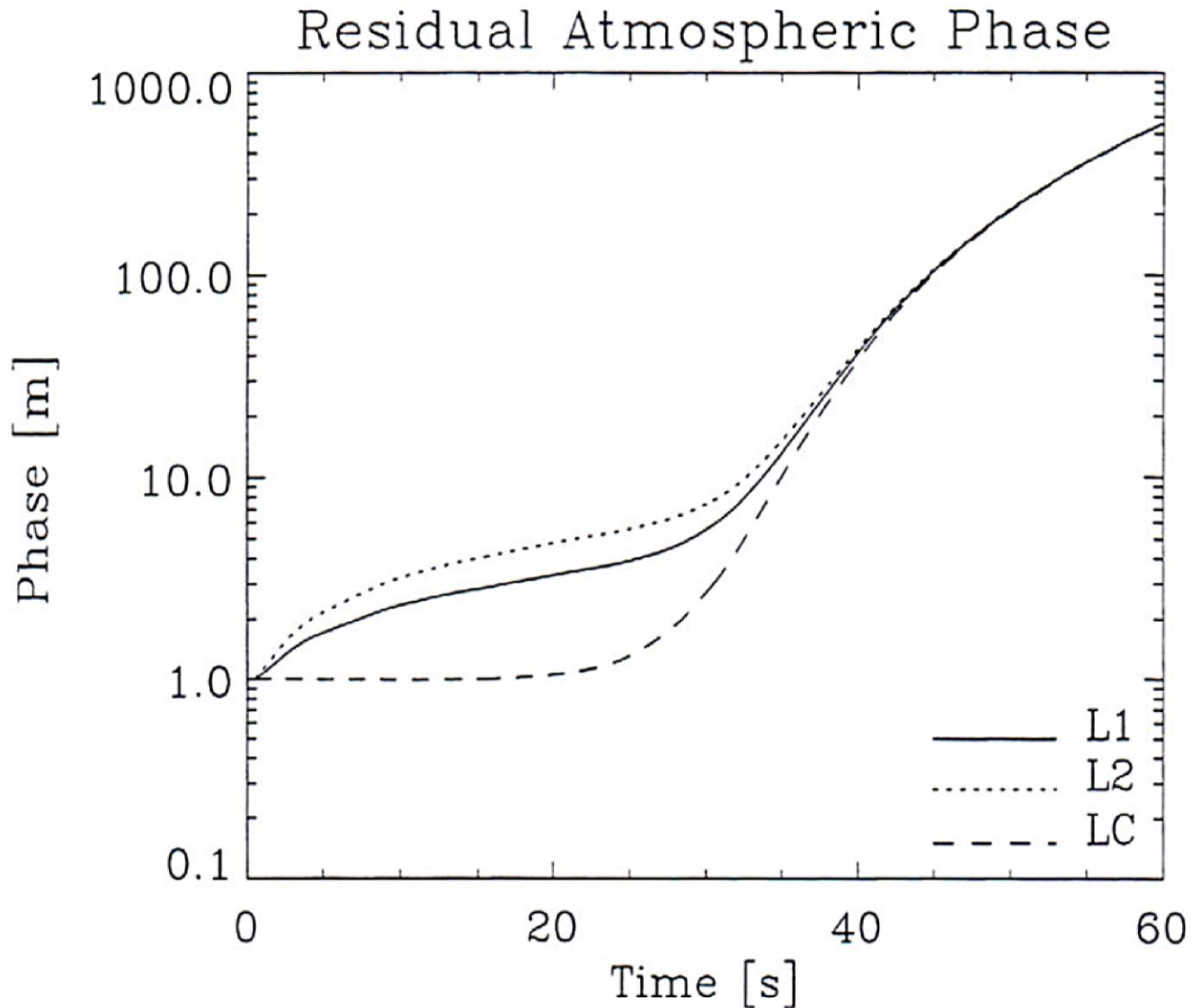


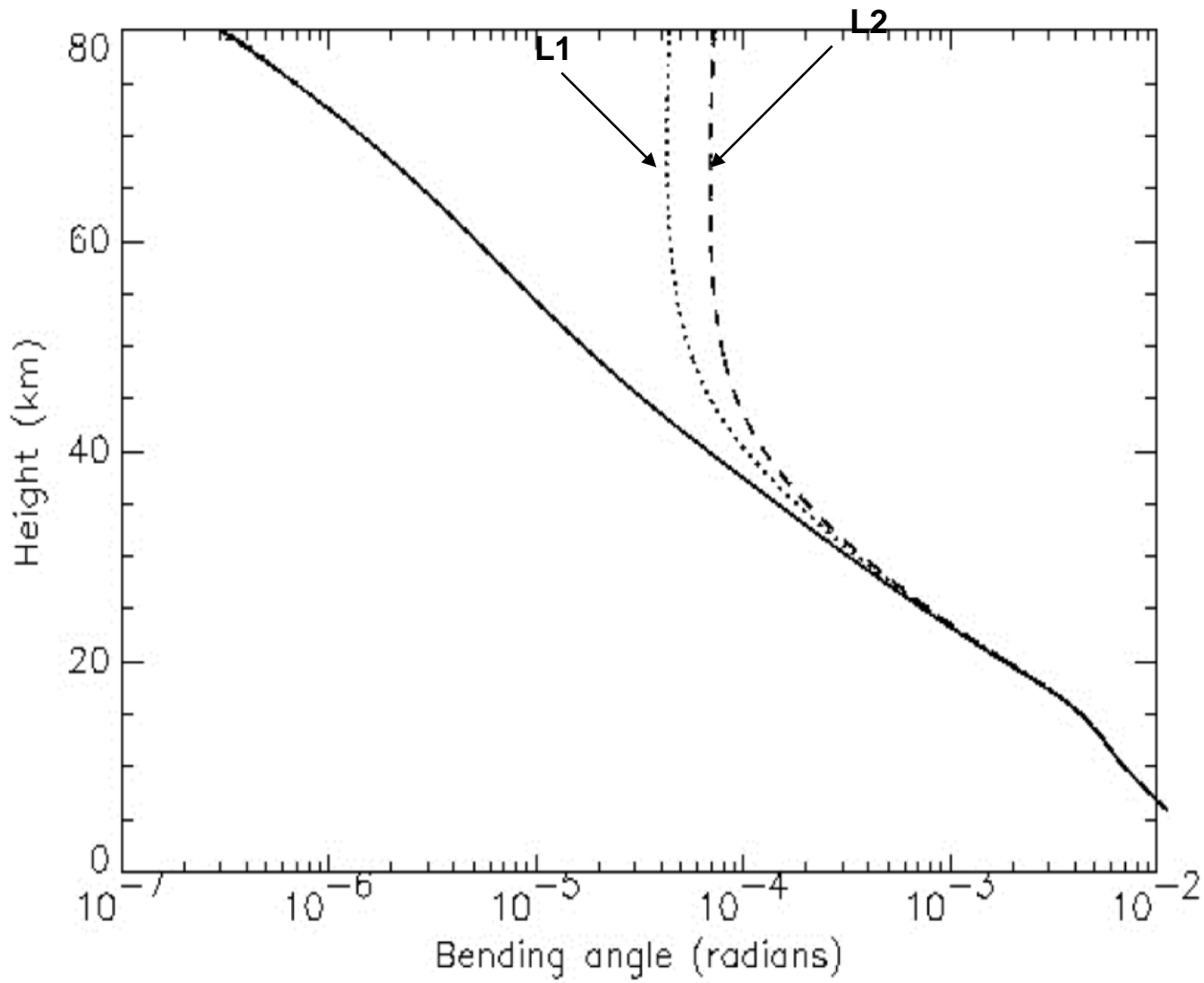
- We have to **isolate the atmospheric component** of the **bending angle**. The ionosphere is dispersive and so we can take a **linear combination** of the L1 and L2 bending angles to obtain the **"corrected" bending angle**. (Vorob'ev and Krasil'nikov, 1994)
- Calculate Ionosphere free bending angle:
  - Linear Ionosphere free combination of L1 and L2 at the observation level (**at the same time t**)

$$\phi_3(t) = \frac{f_1^2 \phi_1(t) - f_2^2 \phi_2(t)}{f_1^2 - f_2^2}$$

- Linear Ionosphere free combination of bending angles at two frequencies L1 and L2 (**at the same impact factor a**)

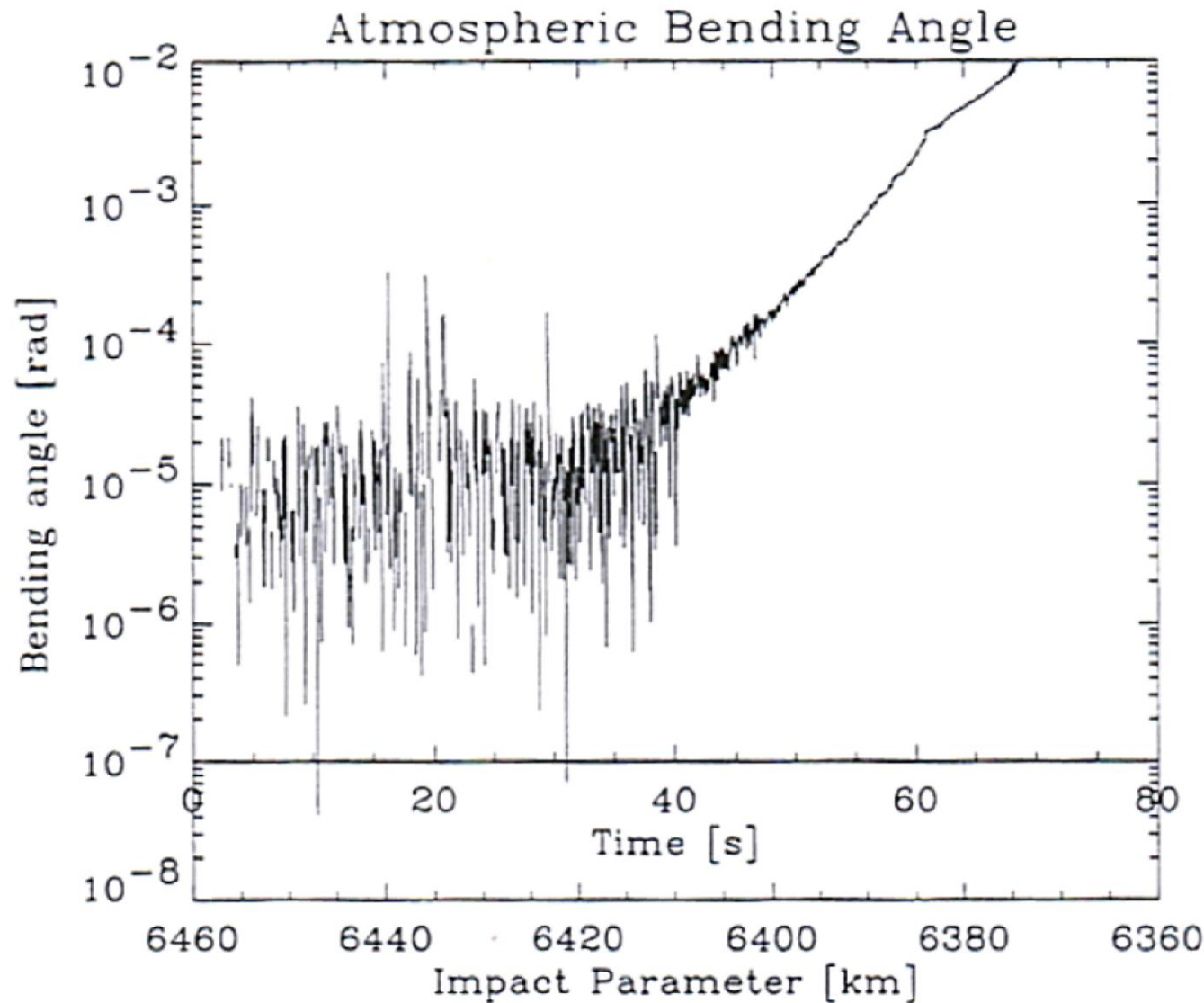
$$\alpha_3(t) = \frac{f_1^2 \alpha_1(a) - f_2^2 \alpha_2(a)}{f_1^2 - f_2^2}$$





*Corr. is very big!*

Source: Dr. Hardy



- How **good** is the correction? Does it introduce time varying biases?
- The **correction** should not be continued above **~50-90 km**, because the **signature of the neutral atmosphere** might be comparable to the **residual ionospheric effects!**
- For **ionospheric retrievals**, the **bending angle** from each frequency is used above **60 km**.





Bending angle  Refractivity 

- Temperatur
- Pressure
- Water Vapour
- Density
- ....

- Assuming **spherical symmetry** the ionosphere corrected bending angle can be written as (Bouger's Law):

$$\alpha(a) = -2a \int_a^{\infty} \frac{d \ln n / dx}{\sqrt{x^2 - a^2}} dx$$



Corrected Bending angle as a function of impact parameter



Convenient variable ( $x=nr$ )  
(refractive index \* radius)

- ✓ Deriving the refractive index from bending angle is an **inverse problem!**

- There are **two methods** to derive the **refractive index** profile from the **bending angle** (solving inverse problem)

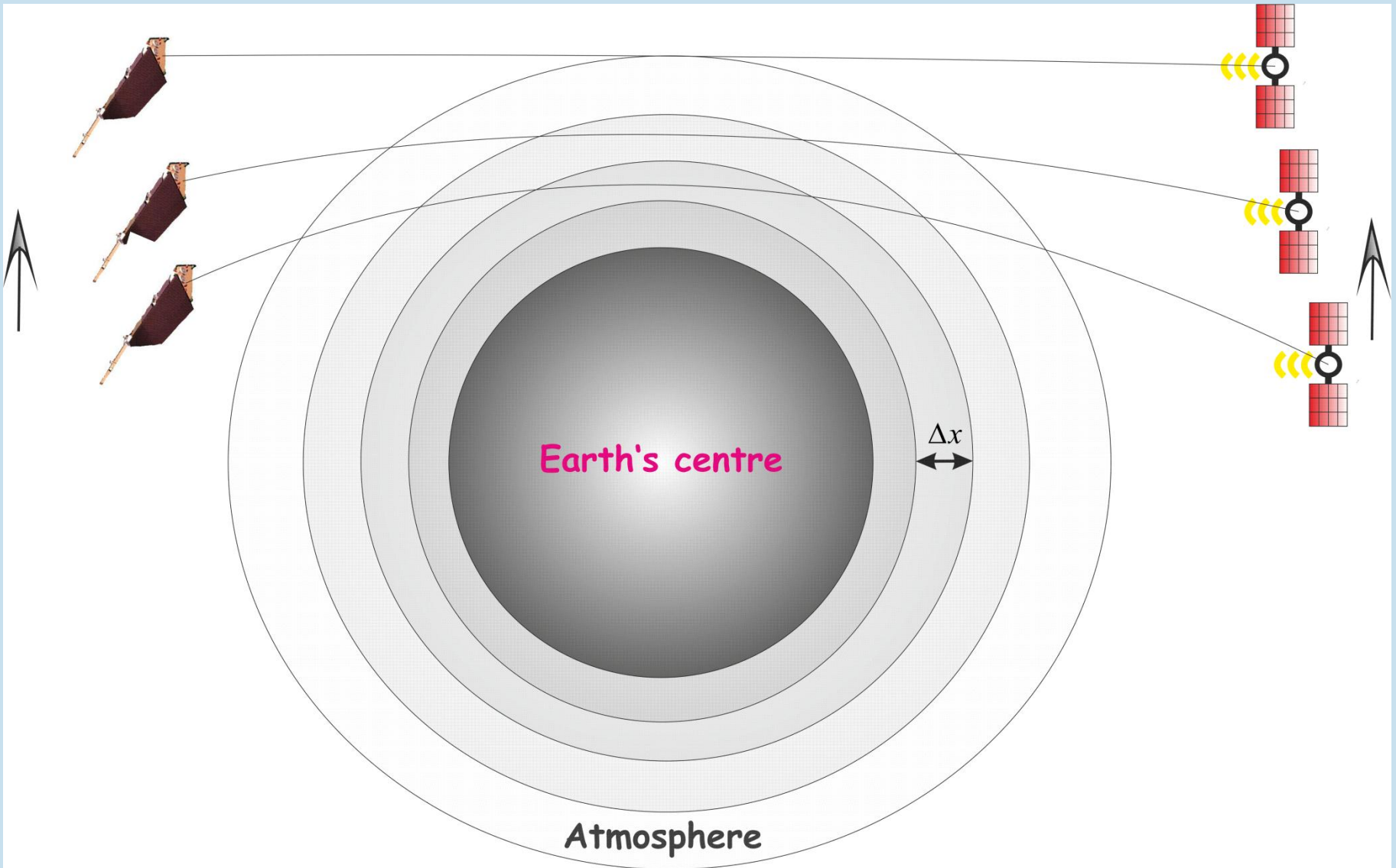
- **Abel transform**

$$n(x) = \exp\left(\frac{1}{\pi} \int_a^{\infty} \frac{\alpha(a)}{\sqrt{a^2 - x^2}} da\right)$$

Note the upper-limit of the integral! A priori needed!

- **Matrix inversion** of bending angles (see Steiner, 1999)

$$\alpha(a) = -2a \int_a^{\infty} \frac{d \ln n / dx}{\sqrt{x^2 - a^2}} dx$$



$$\frac{\alpha_i(a)}{2a_i} = - \int_a^{\infty} \frac{d \ln n / dx}{\sqrt{x^2 - a^2}} dx \quad \Rightarrow \quad \frac{\alpha_i(a)}{2a_i} \cong - \sum_{k=1}^i \nabla n_k \frac{\Delta x_k}{\sqrt{x_k^2 - a_i^2}}$$

$$\begin{pmatrix} \frac{\alpha_1}{2a_1} \\ \vdots \\ \frac{\alpha_i}{2a_i} \end{pmatrix} \cong \begin{pmatrix} A_{11} & & & \\ \vdots & \vdots & & \\ \vdots & \vdots & \dots & \\ A_{i1} & A_{i2} & \dots & A_{ik} \end{pmatrix} \begin{pmatrix} \nabla n_1 \\ \vdots \\ \vdots \\ \nabla n_k \end{pmatrix}$$

$$A_{ik} = \frac{\Delta x_k}{\sqrt{x_k^2 - a_i^2}} = \ln \left| x_{k-1} + \sqrt{x_{k-1}^2 - x_i^2} \right| - \ln \left| x_k + \sqrt{x_k^2 - x_i^2} \right|$$

$$\mathbf{l} = \mathbf{A}\nabla\mathbf{n} \quad \Rightarrow \quad \nabla\mathbf{n} = \mathbf{A}^{-1}\mathbf{l} \quad \Rightarrow \quad n = ?$$

Refractive index gradients have to be multiplied with their respective atmospheric layer thickness to derive the vector which contains the constant refractive indices for each layer,

$$n = \nabla\mathbf{n} \cdot \Delta\mathbf{x}$$

An initial value for the refractivity is taken from the atmospheric model (e.g. MSISE-90) model, then the refractive index profile is derived by adding the refractivity for each layer

$$N_i(h_i) = N_0 + \sum_{i=1}^k n_i \cdot 10^6, \quad h_i = \frac{a_i}{n(a_i)} - r_c = r - r_c$$

$h_i$  is the geometrical height,  $r$  denotes the radius at the perigee of the ray and  $r_c$  is the Earth's radius of the curvature in the occultation plane at the occultation location.





Bending angle  Refractivity 

- Temperatur
- Pressure
- Water Vapour
- Density
- ....

At microwave wavelengths (e.g. GNSS), the dependence of refractivity index ( $N$ ) on atmospheric variables can be expressed:

$$N = 77.6 \frac{P}{T} + 3.73 \times 10^5 \frac{P_w}{T^2} - 40.3 \times 10^6 \frac{n_e}{f^2} + O\left(\frac{1}{f^3}\right) + 1.4 \times$$

Hydrostatic balance,  
 $P$ : is the total pressure (mbar)  
 $T$ : is the temperature (Kelvin)

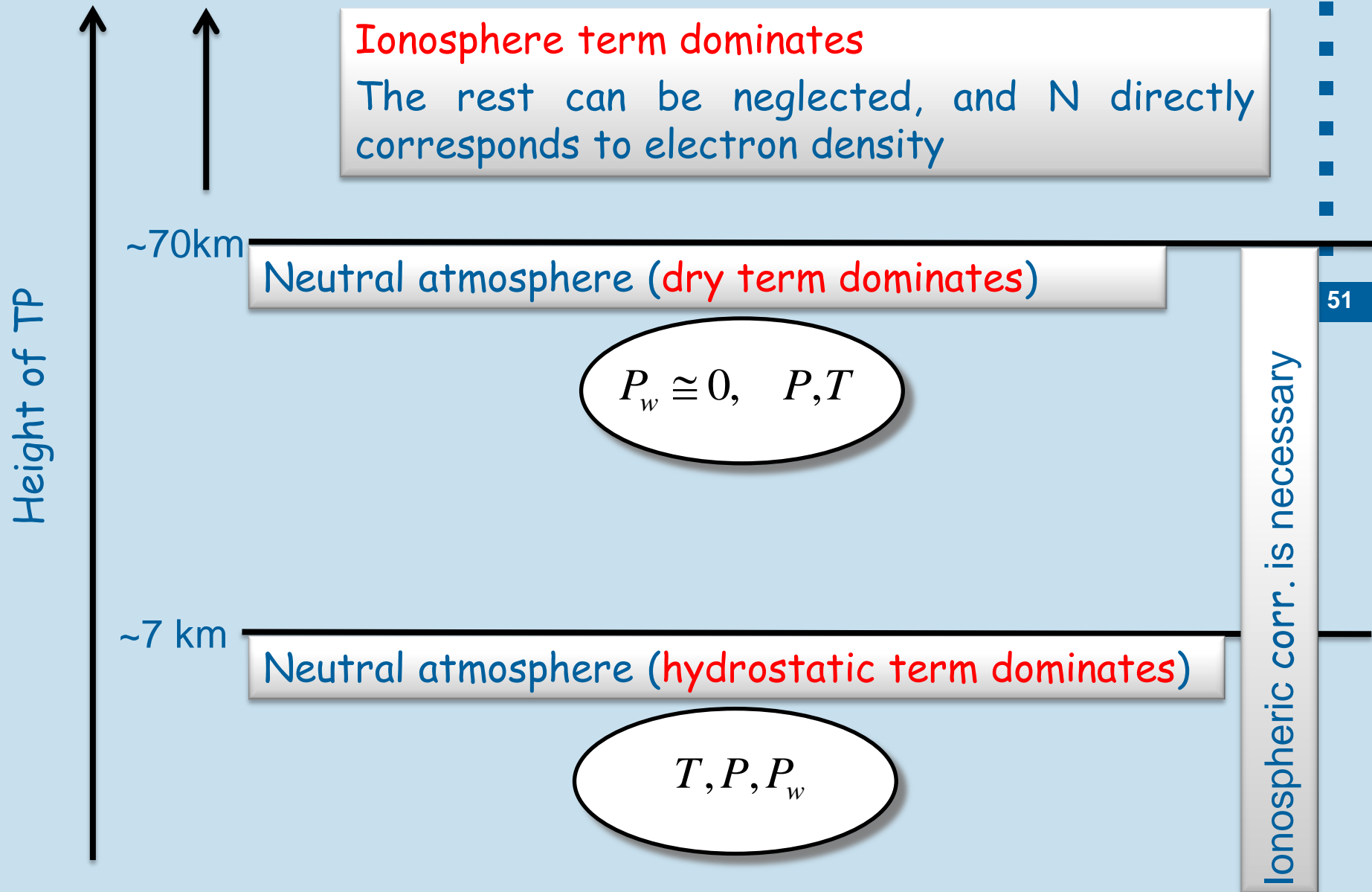
Ionospheric term,  
 $f$  is frequency (Hz) and  
 $n_e$  is the total electron content  $m^{-3}$

Moisture term,  
 $P_w$  is the water vapour pressure (mbar)

Scattering term,  
 $W_w, W_i$  are the liquid water and ice content  $gr.m^{-3}$

- Important in the troposphere for  $T > 240K$
- Can contribute up to 30% of the total  $N$  in the tropical lower troposphere (LT)
- Can dominate the total bending angle in the LT

Contributions are very small and can be neglected.  
 RO is almost insensitive to clouds



- Where the contribution of the **water vapour** to the **refractivity index** can be neglected ( $T < 240$  K), the N gets reduced to pure density,

$$N(z) = 77.6 \frac{P(z)}{T(z)}$$

- + **equation of state:**

$$\rho(z) = \frac{N(z)m}{77.6R}$$

M: mean molecular mass  
R: gas constant

- + **hydrostatic equilibrium:**

$$\frac{\partial P}{\partial z} = -g(z)\rho(z) \quad \text{boundary conditions (e.g. } P=0 \text{ at 150 km)}$$

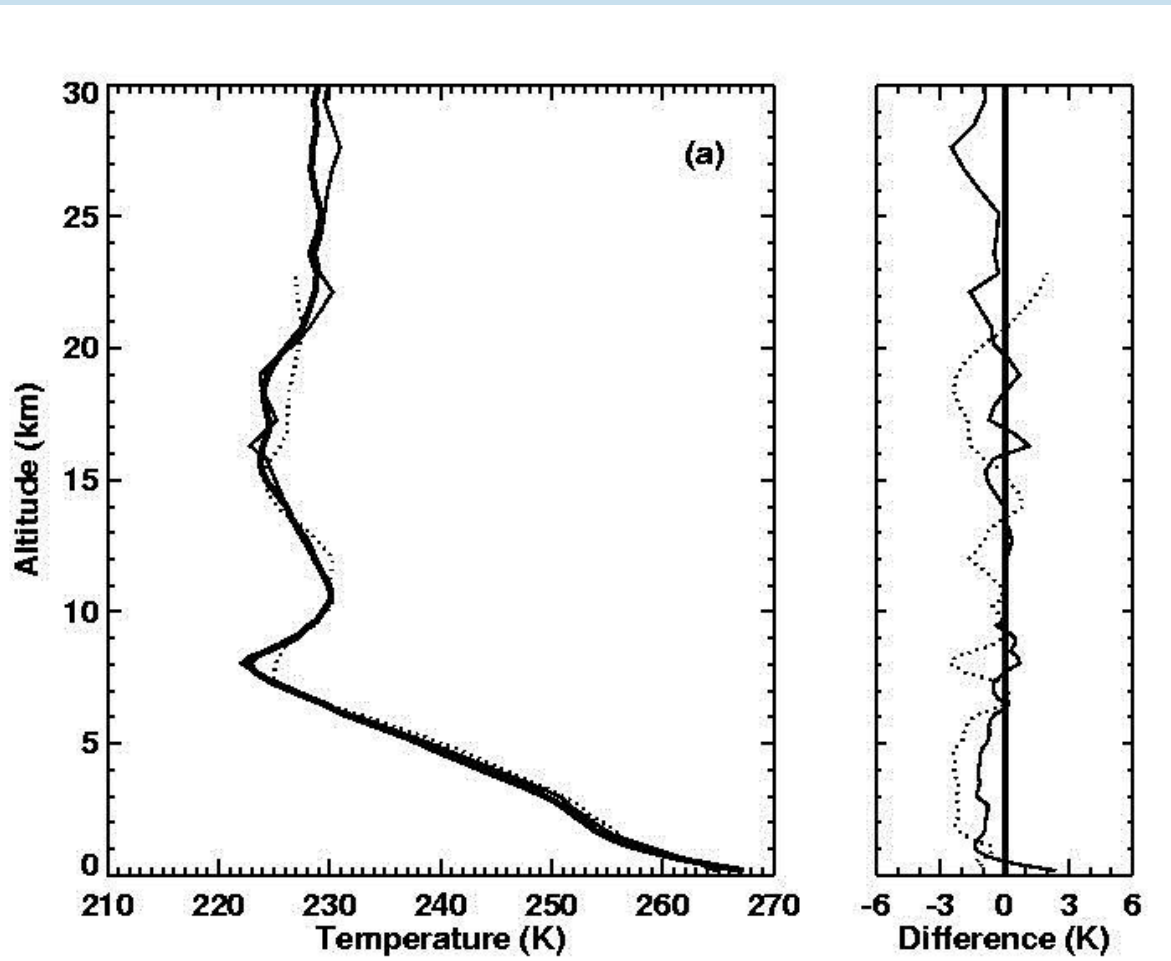
With neglecting the **water vapour pressure** e.g. for middle and upper troposphere (**MT** and **UT**),

$$N(z) = 77.6 \frac{P(z)}{T(z)} = 77.6R\rho(z)$$

Vertical profile of **density** is derived!



## GPS/MET Temperature Sounding



- GPS/MET - thick solid.
- Radiosonde - thin solid.
- ECMWF - Dotted

*Occultation event:  
(Location 69N, 83W.  
01.33 UT, 5th May, 1995)*

*(Source: Kursinski et al, 1996, Science, 271, 1107-1110, Fig2a)*

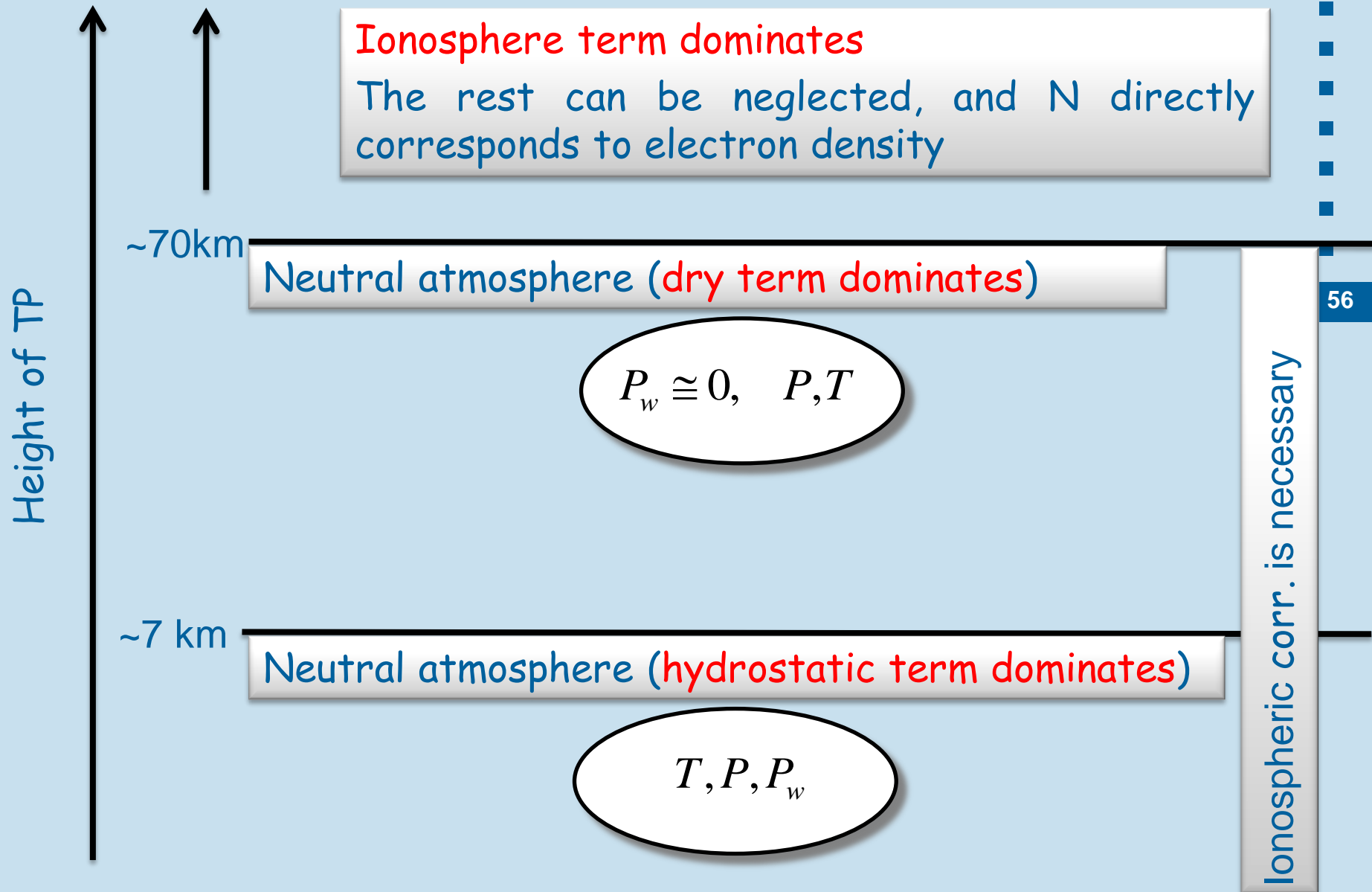


- When there is **no moisture** in the atmosphere, the profile of P and T retrieved from N correspond to the real atmospheric values,
- But when there is moisture in the atmosphere, the expression:

$$N(z) = 77.6 \frac{P(z)}{T(z)}$$

will **erroneously** map all the N to P and N of a dry atmosphere.

- In other words, all the **water vapour** in the real atmosphere is replaced by **dry molecules** that collectively would produce the same amount of N.
- As a consequence, the **retrieval temperature** will be lower (**cooler**) than the **real temperature** of the atmosphere.
- Within the GNSS-RO community, these profiles are usually referred to "**dry temperature**" profiles.



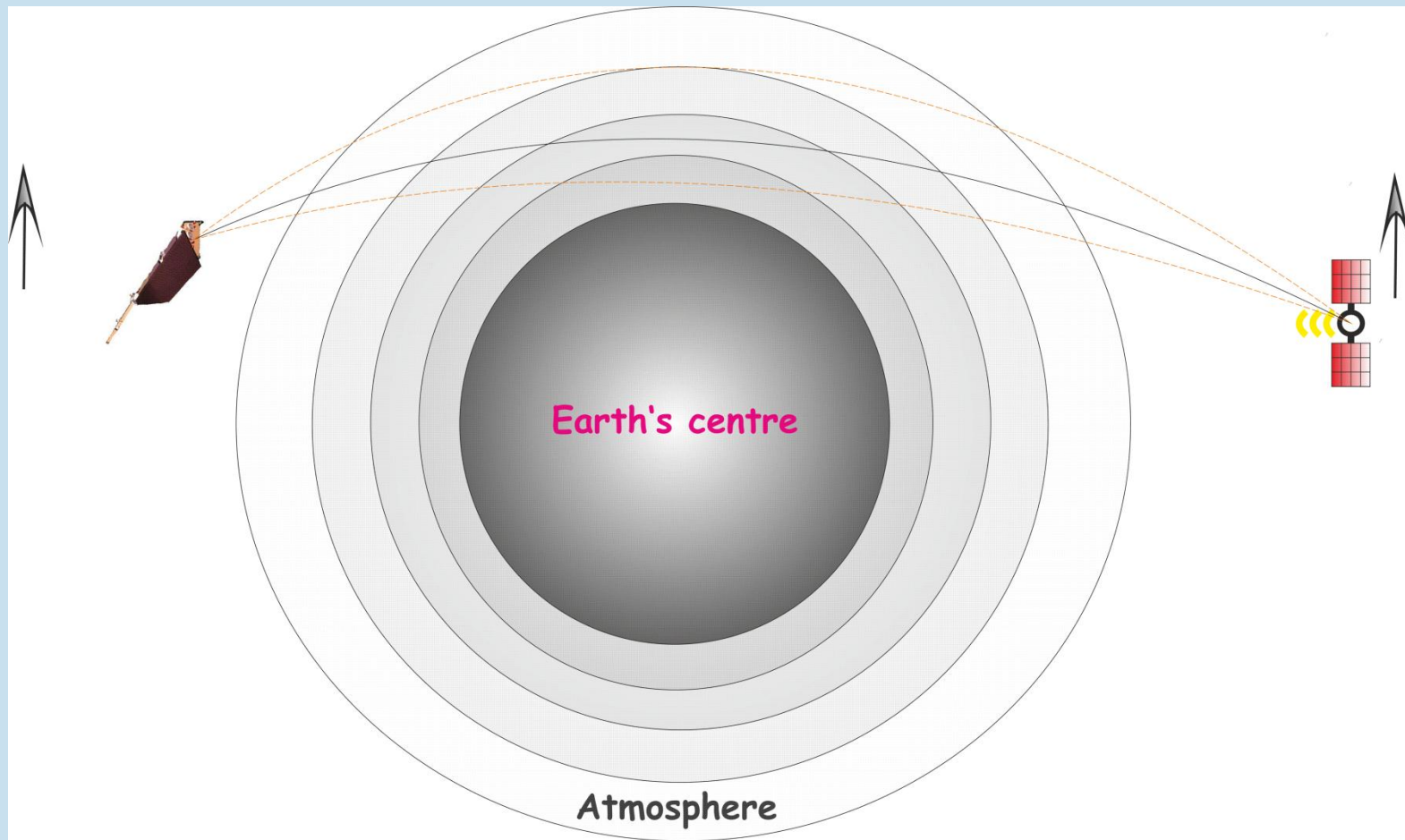
The **refractive index** (or **refractivity**) is related to the **pressure**, **temperature** and **water vapour pressure** using two experimentally determined constants (from the **1950's** and **1960's!**)

$$N(z) = (n(z) - 1)10^6 = 77.6 \frac{P(z)}{T(z)} + 3.73 \times 10^5 \frac{P_w(z)}{T^2(z)}$$

The simplest formulation, but it is widely used in GNSS-RQ.

- Where the **moisture contribution** to  $N$  is important (middle and lower trop. (**MT** and **LT**)), the system is **under-determined** ( $P, T, P_w$ )
- To **solve** this problem, **independent knowledge of temperature, pressure or water vapour** is necessary to estimate the other two variables.
- Usually, **temperature** is given by an **external source (model)**, then we **solve for pressure and moisture iteratively**.
- Alternatively, we can use **a-priori information** of pressure, temperature and moisture from a model along with their error characterization (background error covariance matrices) and find optimal estimates of  $P$ ,  $T$  and  $q$  (variational assimilation)

Atmospheric **Multipath** processing - more than one ray is measured by the receiver at a given time (different rays sample different sections of the atmosphere!!!) - Solution: **Radio Holographic (RH)**.

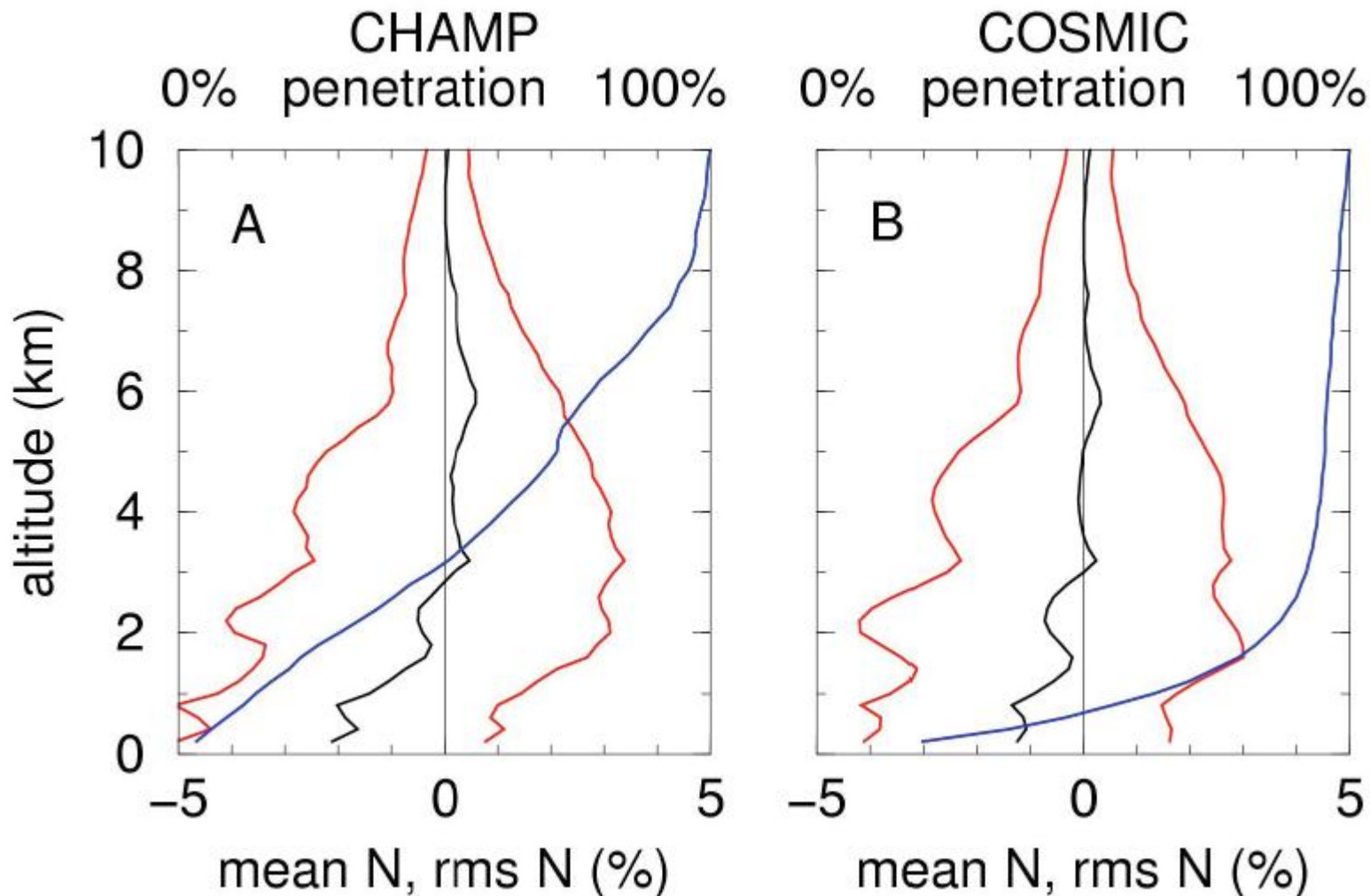


**Wave optics retrievals:** Full Spectral Inversion. (refer to Jensen et al. 2003, Radio Science, 38, 10.1029/2002RS002763.)

**Improved GNSS receiver software:** Open-loop (OL) processing instead of Phase-Locked loop processing. OL processing enable us to track down to the surface without tracking errors (COSMIC mission). OL records the spectrum!

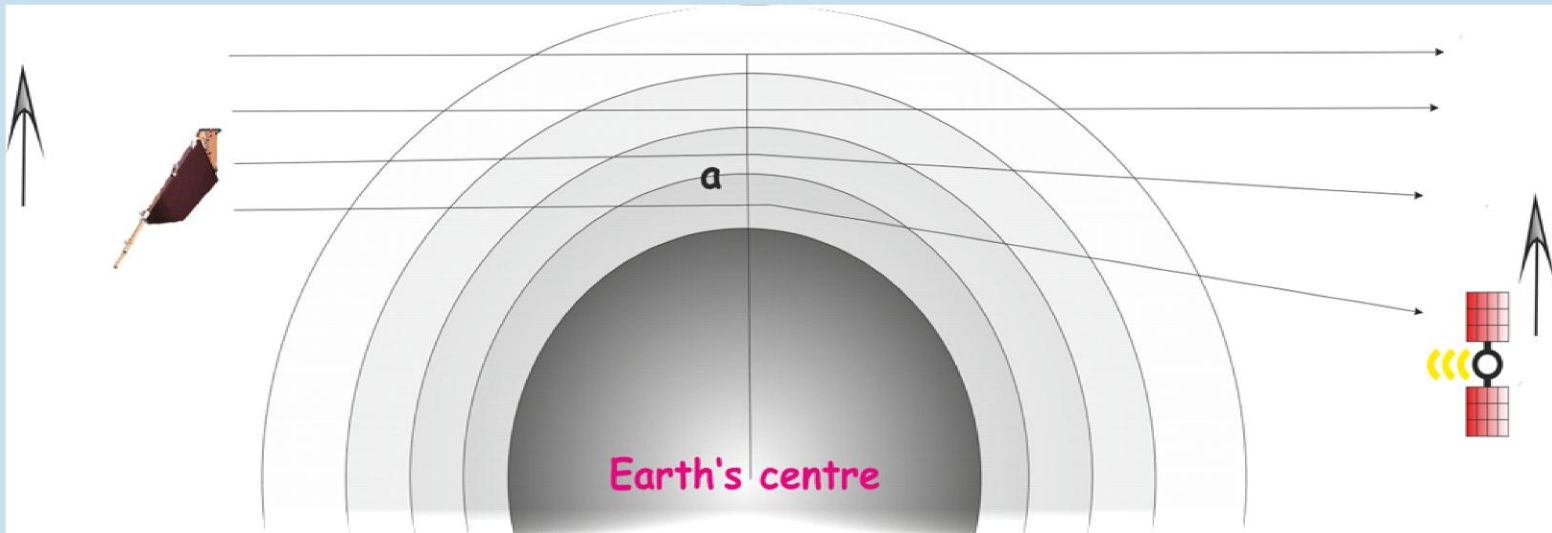


Most profiles did not make it to the **ground** (Now it is possible!)



Source: Dr. Lidia Cucurull (NOAA)

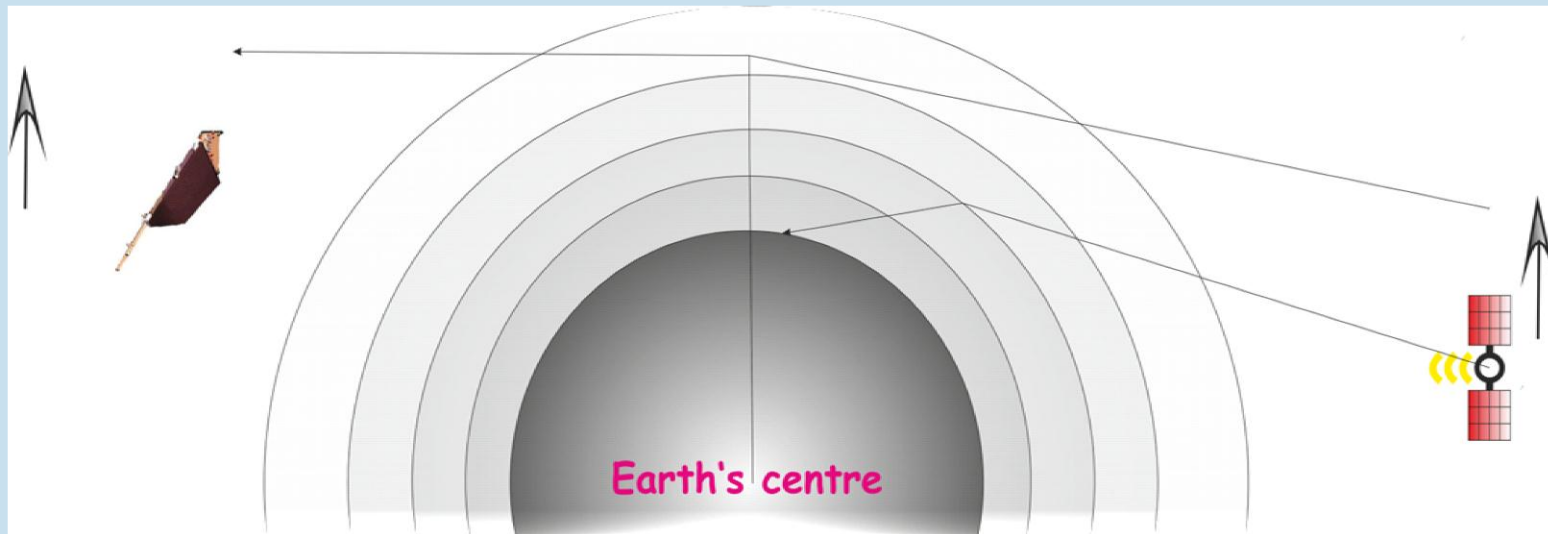
**Atmospheric defocusing:** If the **bending angle** changes rapidly with height, the signal reaching the receiver has **less power**.



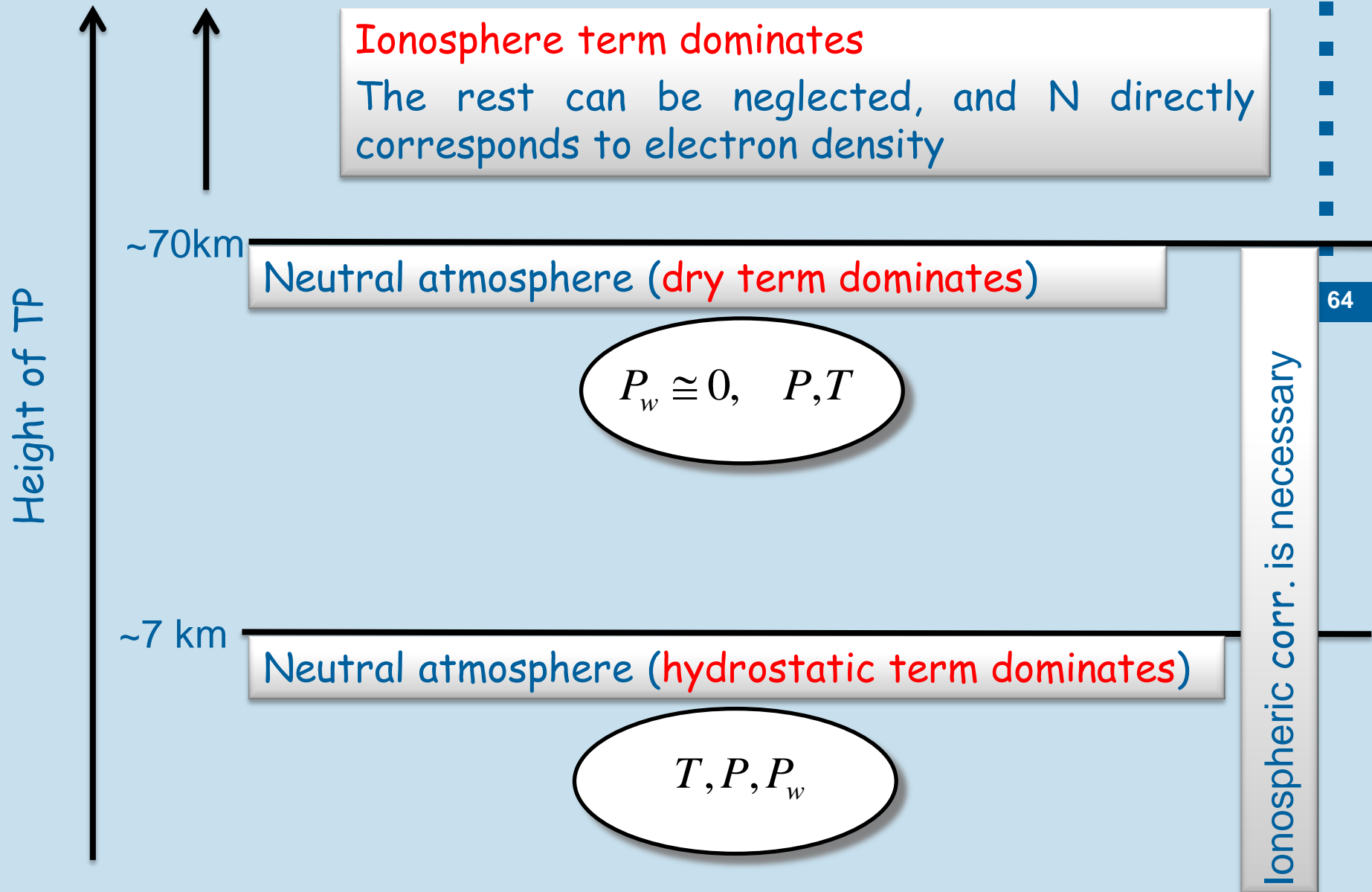
$$DF \propto \frac{1}{1 - f \left( \frac{\partial \alpha}{\partial a} \right)}$$

A tube of rays is spread out by the ray bending and the signal to noise falls.

**Atmospheric ducting:** if the refractive index gradient exceeds a critical value the signal is lost power!



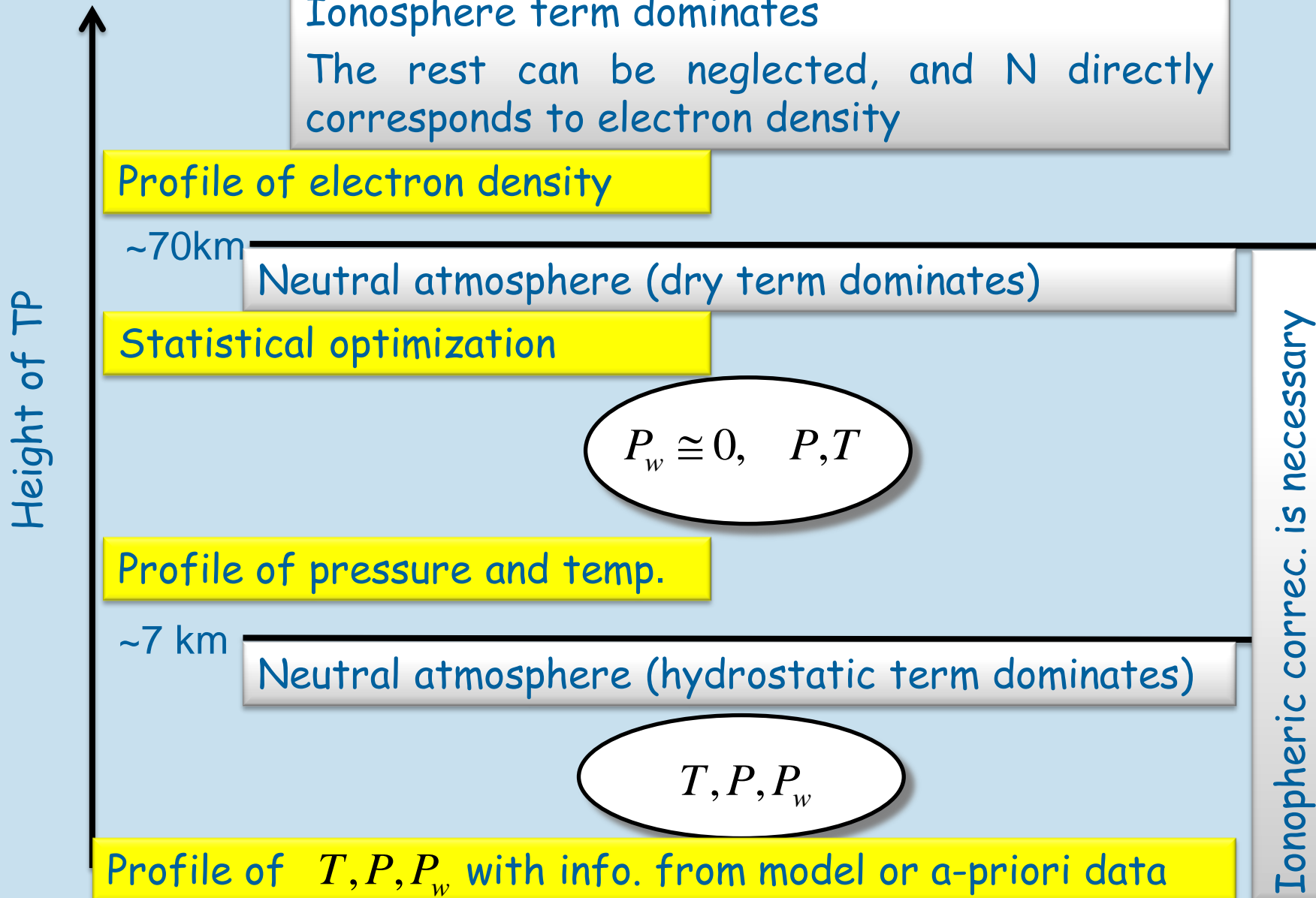
$$-dn/dr \geq 1/R_e$$



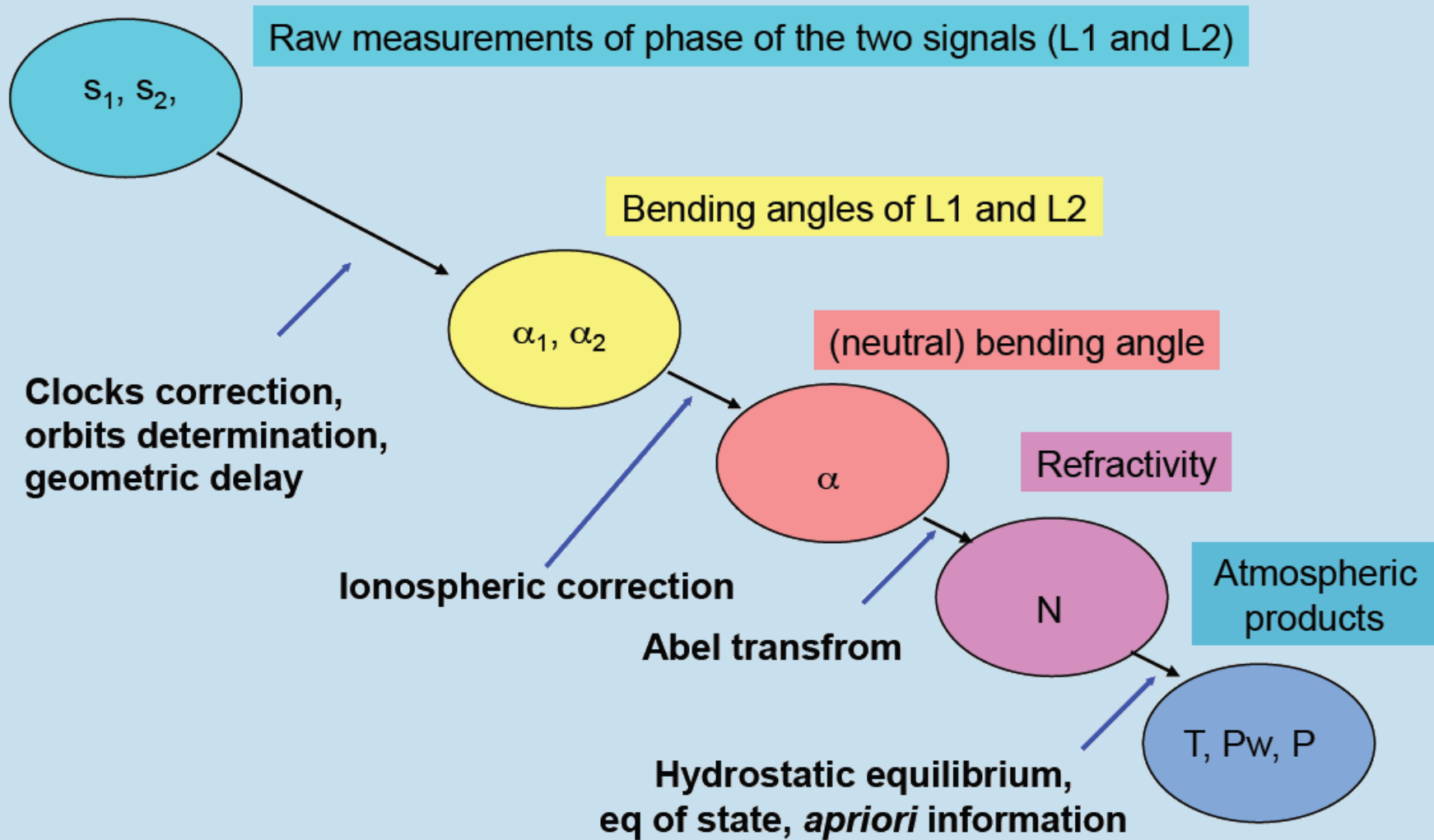
In order to derive refractivity the (noisy - e.g. **residual ionospheric noise**) bending angle profiles must be extrapolated to infinity - i.e., we have to introduce **a-priori information**. The combination of **observed** and **simulated** bending angles is called "**statistical optimisation**". The refractivity profiles above **~35 km** are sensitive to the choice of a priori.

The **temperature profiles** require **a-priori information** to initialise the hydrostatic integration. Sometimes ECMWF temperature at 45km!

I would be **sceptical** about any **GNSS-RO temperature profile** above **~35 km**, derived with the classical approach. It will be very sensitive to the a-priori!







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The **GPS/MET** mission "proof of concept" in 1996 was a major success. This led to a number of missions of opportunity, proposals for a **constellation of LEO satellites** and first dedicated operational instruments.

Current status:

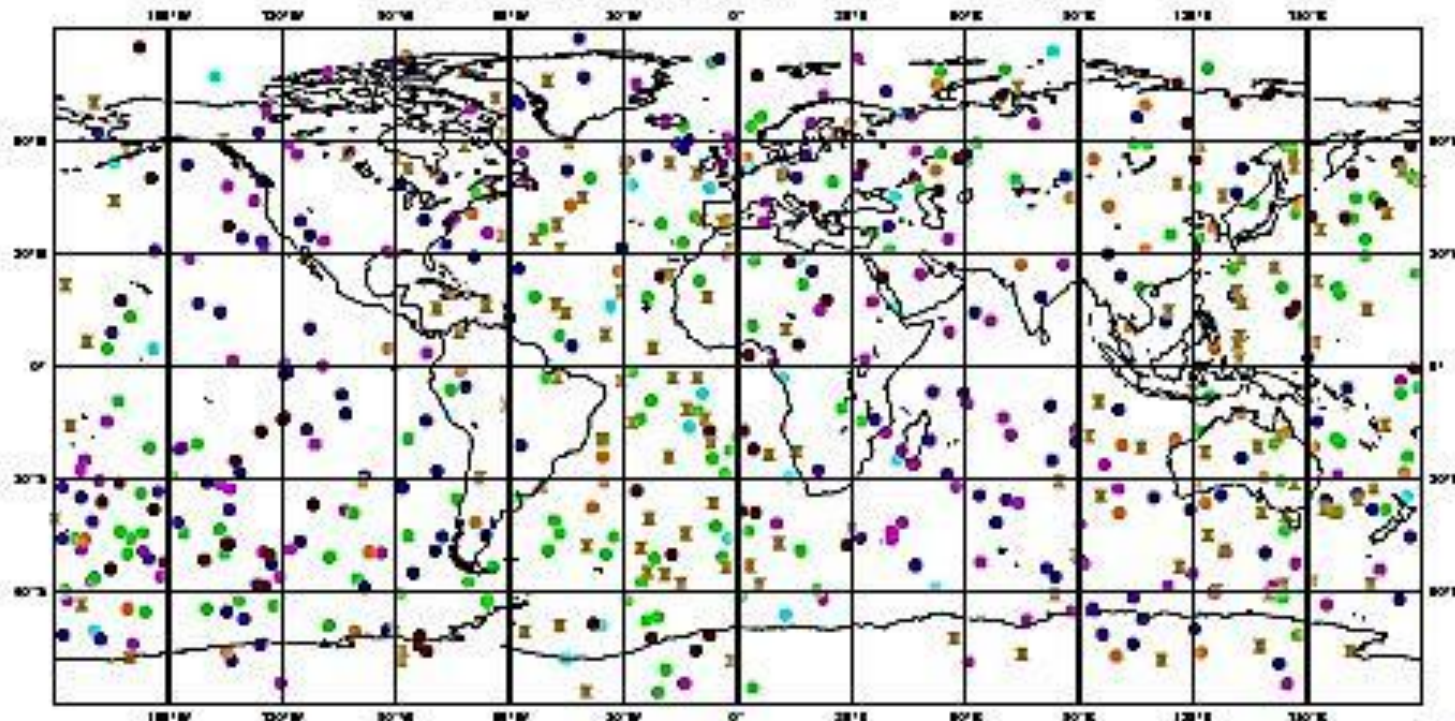
Missions of opportunity: **GRACE-A** and **SAC-C** currently provides around **120** occultations per day. **CHAMP** has stopped providing data.

The **COSMIC** (Constellation Observing System of Meteorology Ionosphere and Climate) constellation of **6 LEOs** was launched 2006. Currently providing **~1800-2000 occultations per day**.

The **GRAS** (GNSS Receiver for Atmosphere Sounding) instrument on **METOP** (Meteorological Operational) provides **~650** measurements. **GRAS** was declared operational **17th April, 2008**.

Obs Type					
◆	0 CHAMP	●	28 GRACE-A	●	104 COSMIC-1
●	55 COSMIC-3	●	71 COSMIC-4	●	133 COSMIC-2
■	139 GRAS	●	38 COSMIC-5	●	43 COSMIC-6

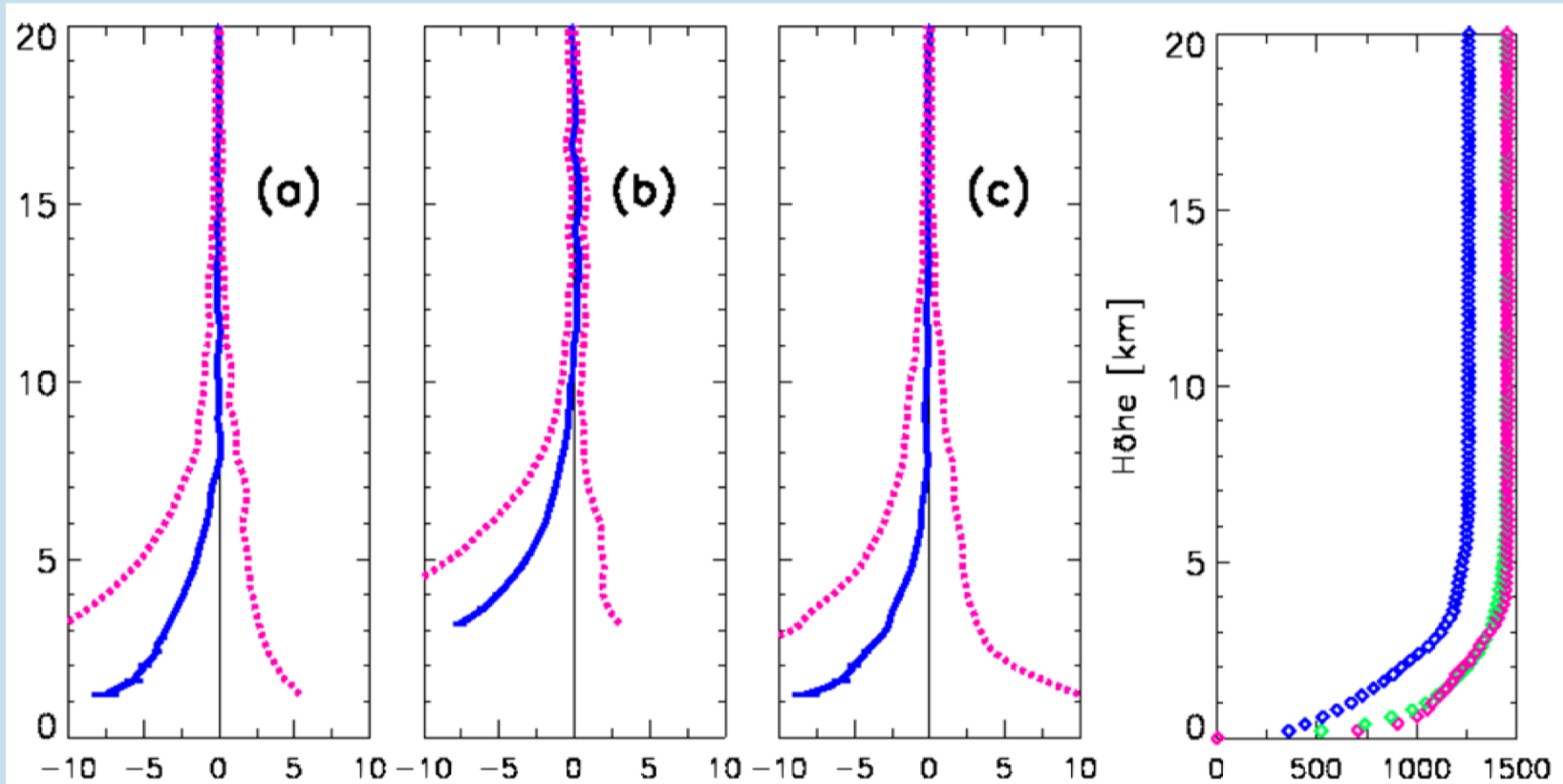
ECMWF Data Coverage (All obs DA) - GPSRO  
 15/APR/2009; 00 UTC  
 Total number of obs = 634



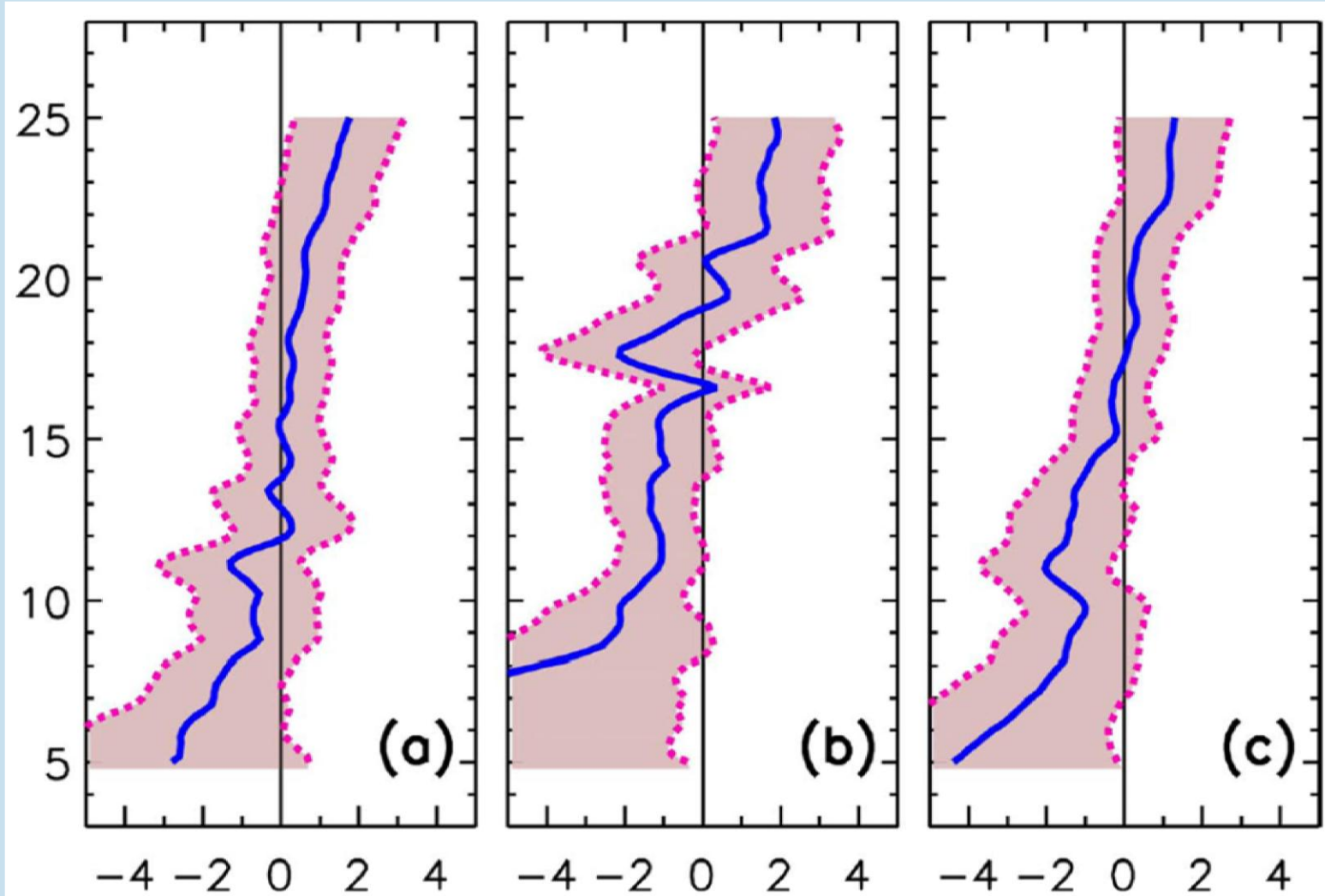
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# GNSS-RO CHAMP Results

Height of TP



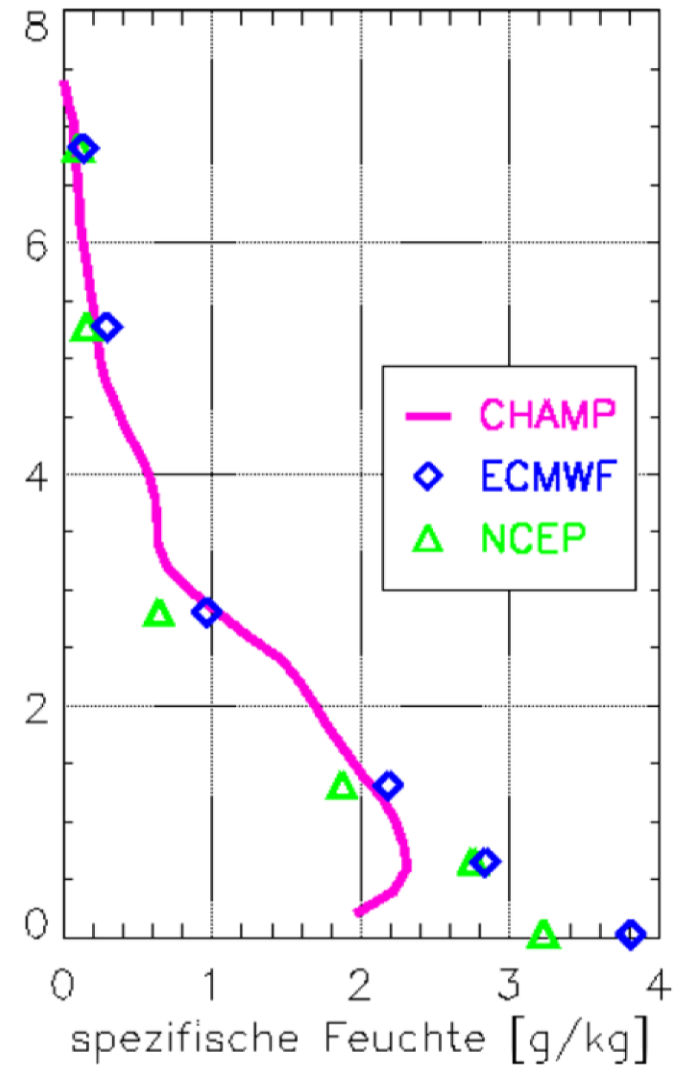
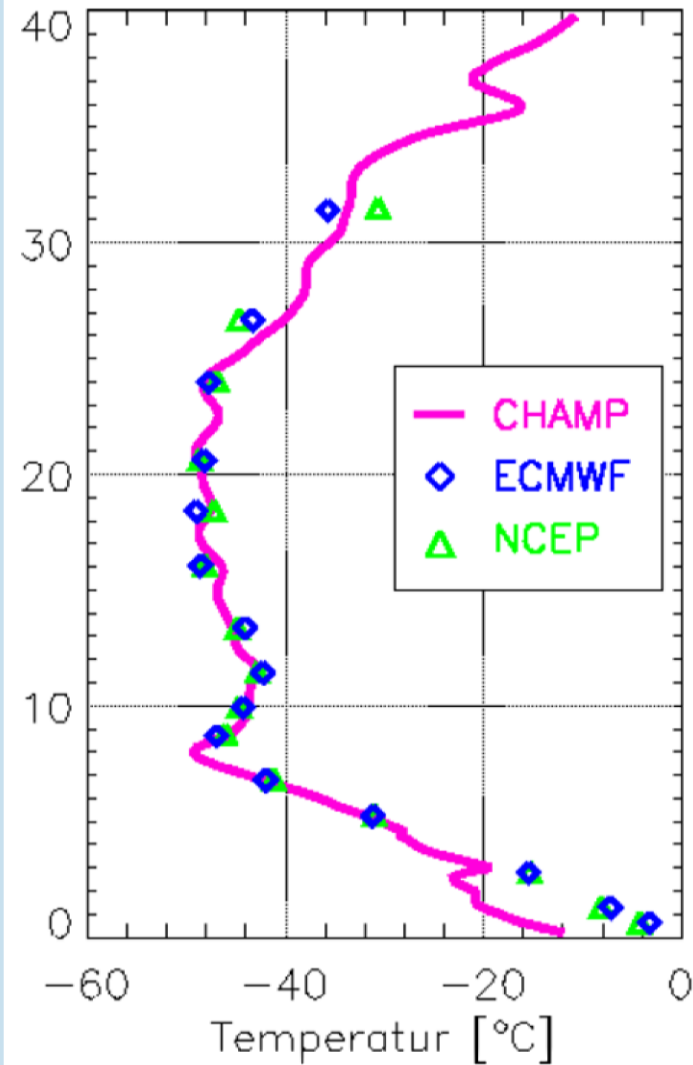
Differences between refractivity index ( $N$ ) derived from CHAMP and ECMWF (a: Nord hemisphere (lat.>30N), b: Tropical (30S<lat.<30N), c: South hemisphere (lat.<30S), right panel: Number of GNSS-RO, Occ. Event: 14.05-10.06-2001), Source: GFZ



Diff. between Temperature (T) derived from CHAMP and ECMWF  
(a: Nord hemisphere b: Tropical, c: South hemisphere).



Height of TP



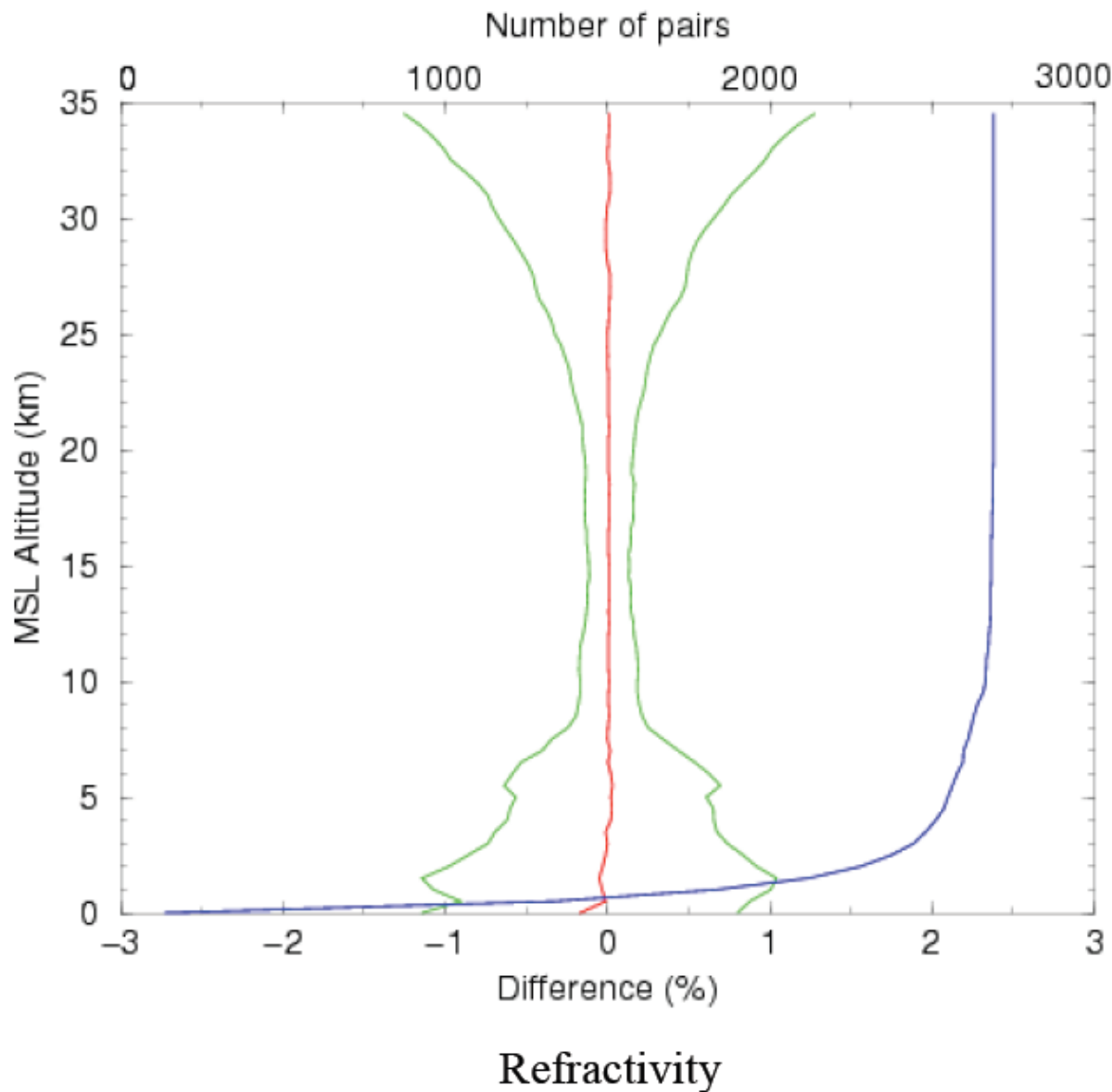
link: Dry Temperature, right: Water Vapour, Occ. events-11.02.2001, 0.5 W, 53.2 S, Time: 19:43 UTC, Source: GFZ



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## GNSS-RO precision

- **Accuracy** is more difficult to evaluate!
  - Difficult to find other **precise instrument as GNSS-RO**. Usual atmosphere instrument performance changes with season, latitude range and atmosphere phenomena, etc...
  - Each instrument has its own **error characteristics**.
- Accuracy of RO is **~0.5%** in N and **~0.5 K** in T between **~7-25km**; better than **~2mb** rms error (**~0.5 mb** bias) in **Pw**



0.2% (N)  
precision  
between  
10-20 km

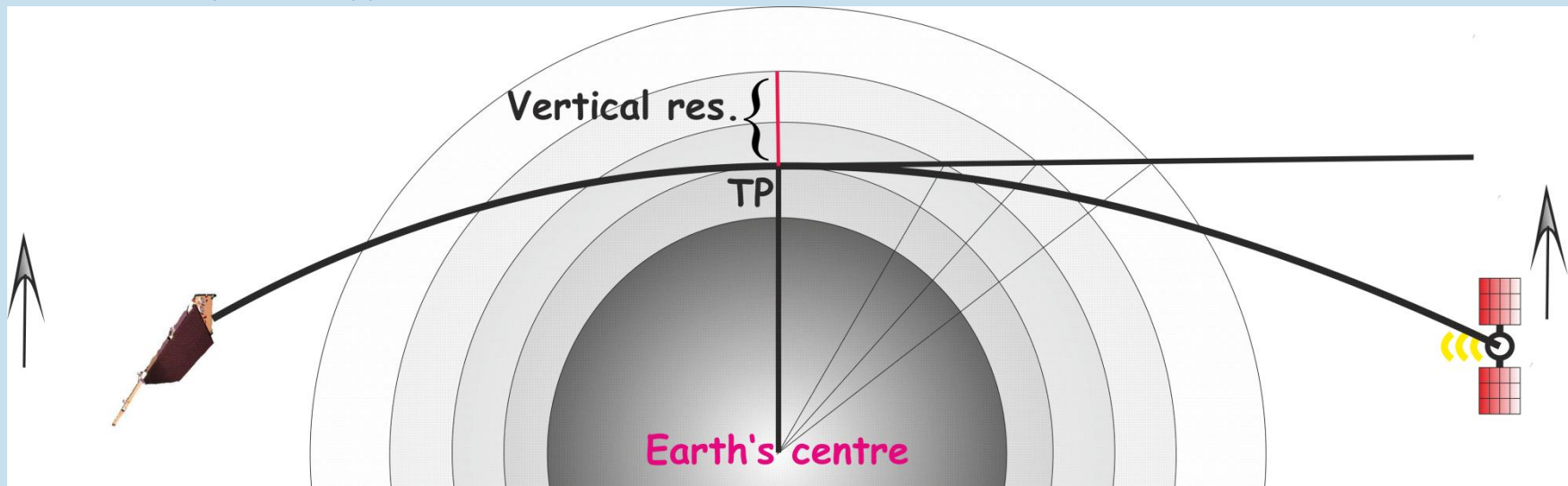
~ 0.05K in  
temperature!

Schreiner et  
al., 2007

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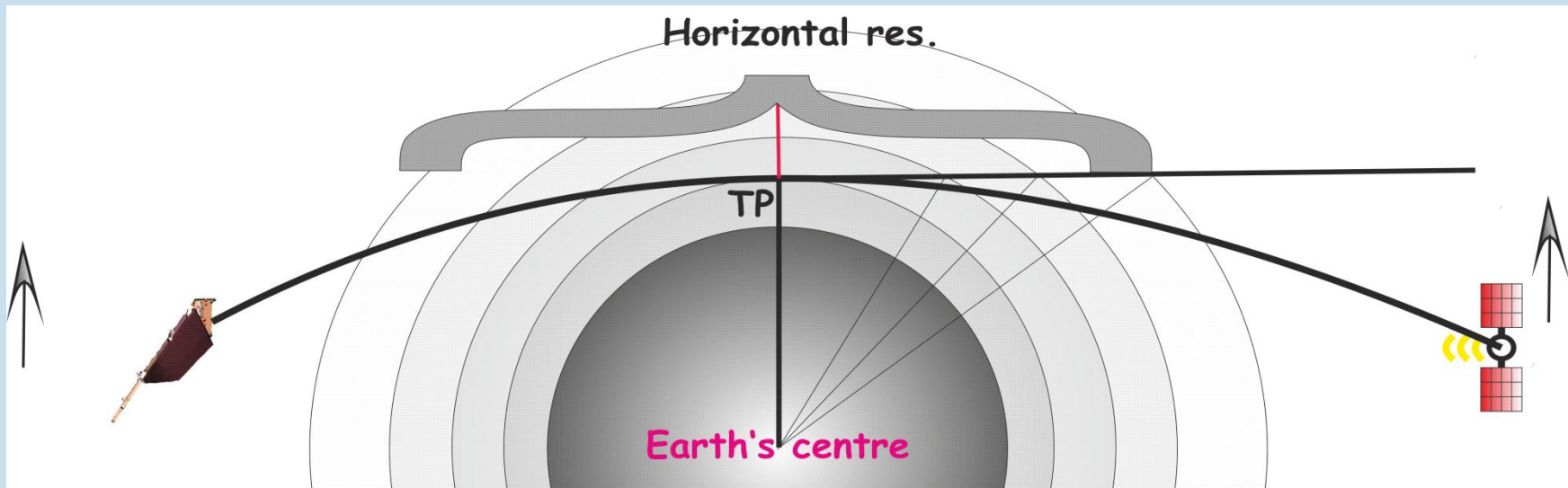
# GNSS-RO Resolution

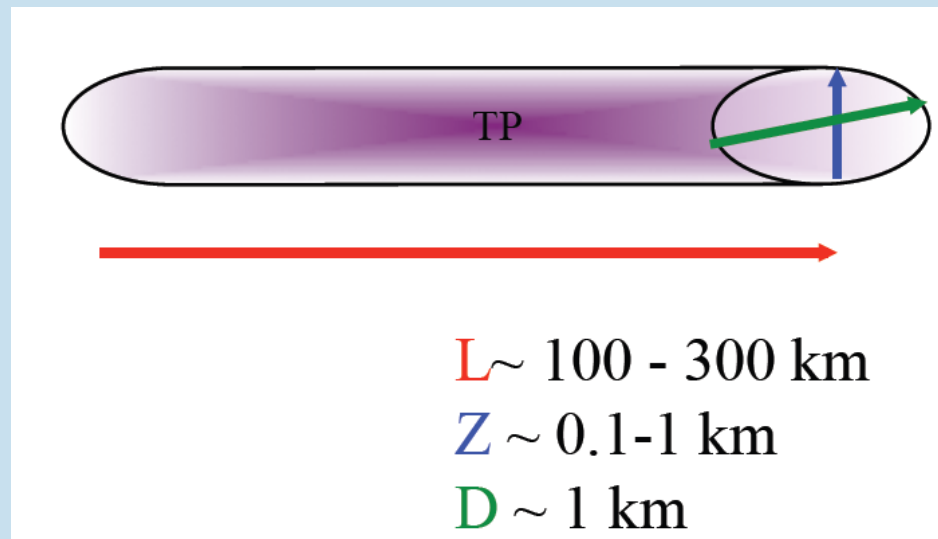
- **Bending angle** is created by the contribution of different atmosphere layers (**vertical gradient of refractivity**).
- For each TP, the **maximum layer interval** which contribute a **certain percentage** to the bending angle can be computed
- The vertical height above the TP that **contributes 50%** of the **bending angle** can be interpreted as **vertical resolution** of a single RO ray. (e.g. for COSMIC we have **3000 rays** per RO event (**3 min.**))



- **Vertical res.** varies between rays (3000) and varies from **1-2 km**

- Analogously, the bending angle contribution of the different atmospheric layers can be considered in terms of the distance along the ray path under **symmetrical symmetry!**
- The bending angle contribution along ray path follows a Gaussian distribution and **50% contribution** of the **bending** is within **~200 km** from TP (see Melbourne et al. 1994). The information content is not averaged equally!
- This distance can be interpreted as **horizontal resolution!**





This spatial resolution is **4** times better than usual sounder (AMSU-B)

How well GNSS-RO technology resolve, will depend on

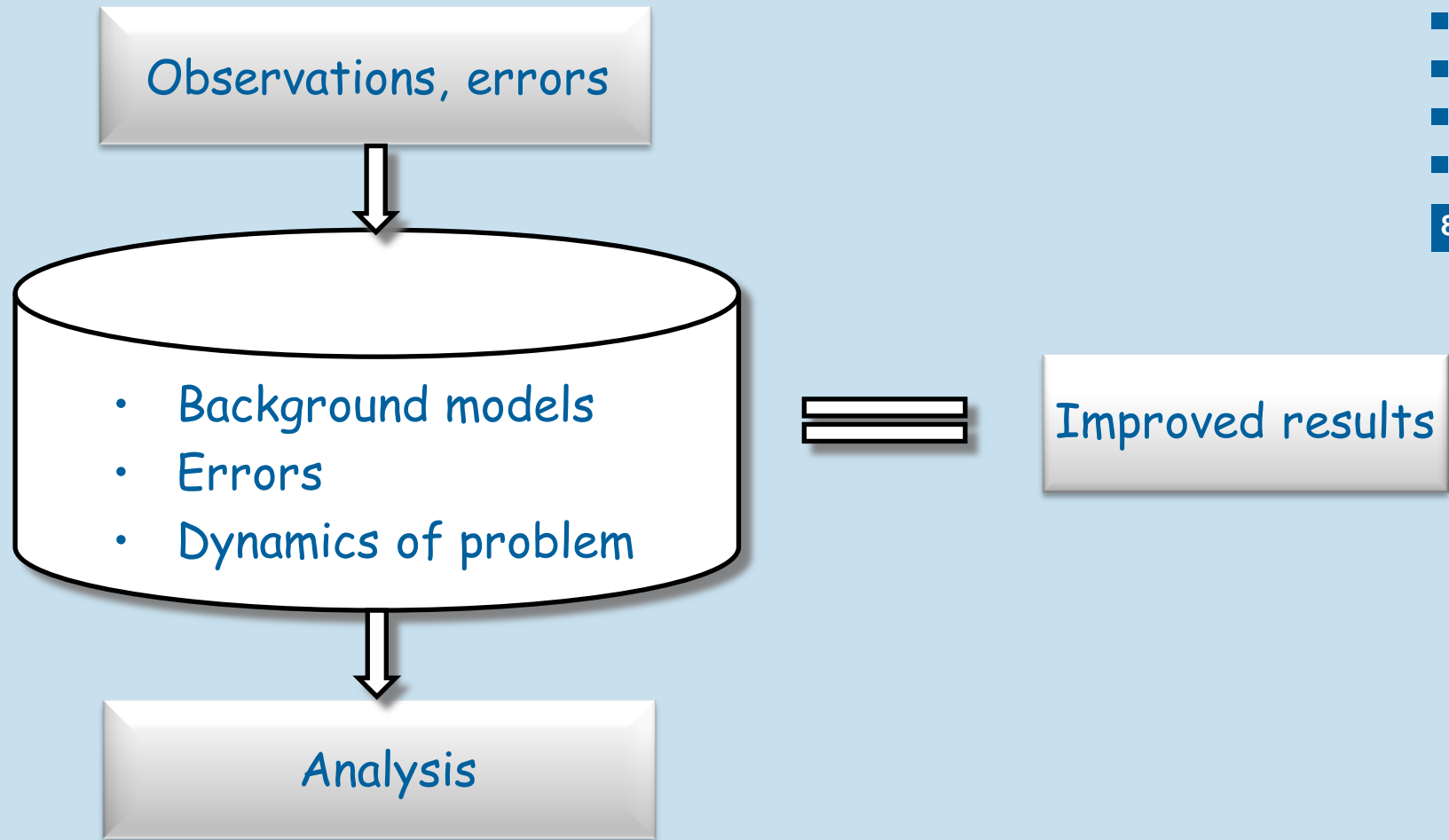
- **Spatial and temporal resolution** (e.g. Hori. resolution improved **deploying more LEOs**), trading off temp. resolution vs. spatial resolution.
- Density or number of rays (**deploying more LEOs**)

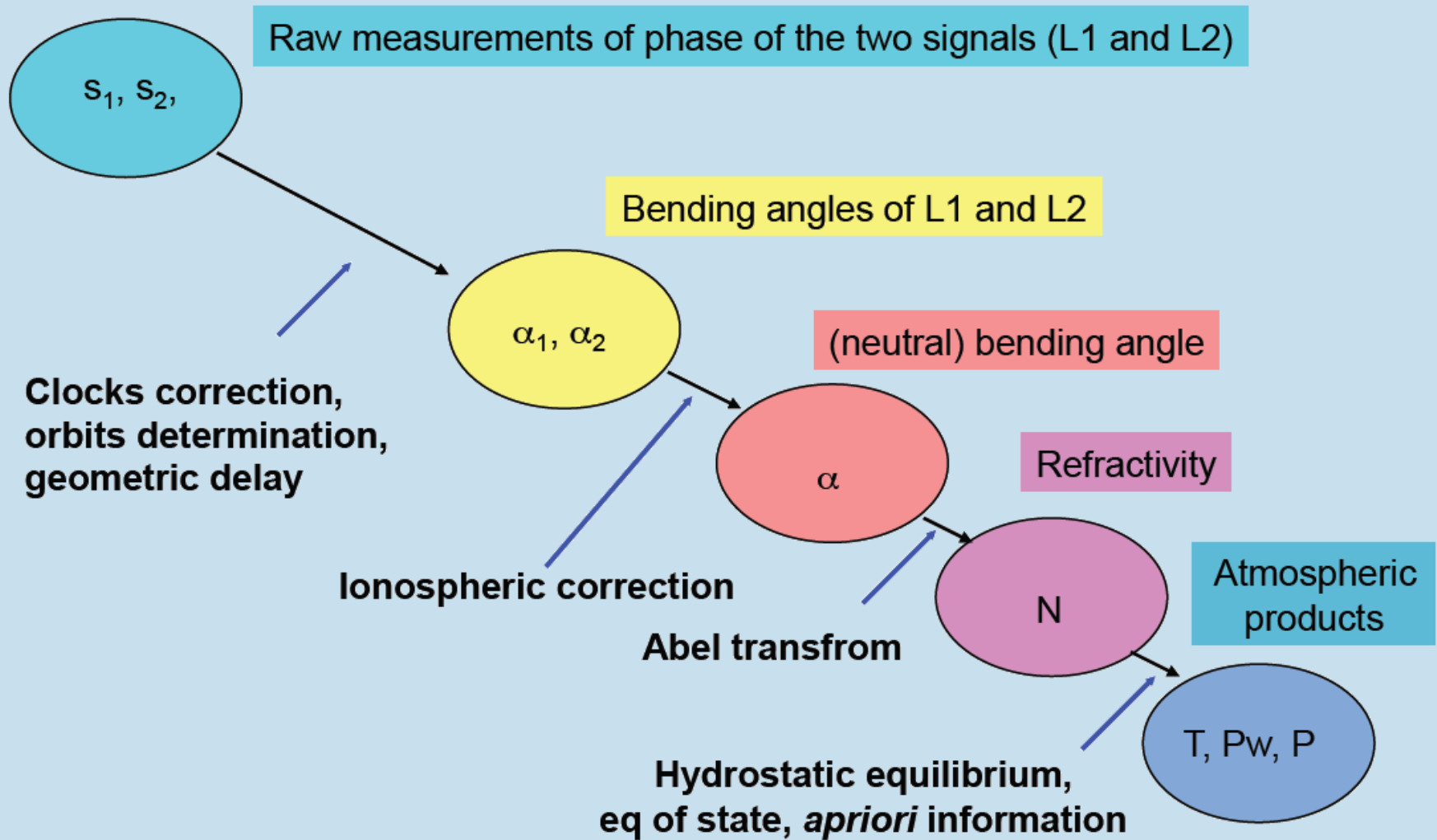


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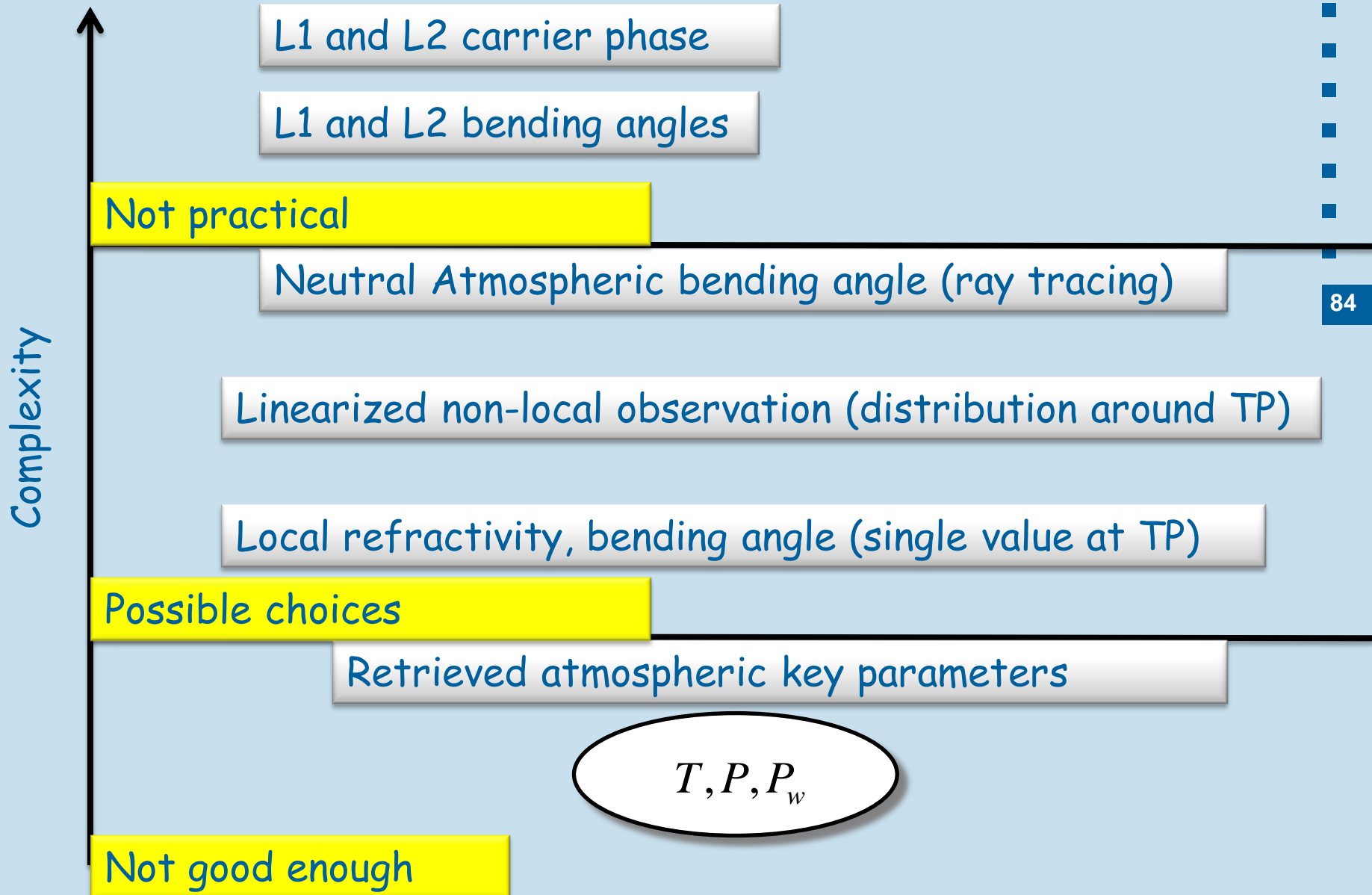
# GNSS-RO Data Assimilation (DA) in ECMWF model

- In DA, we want to **minimize the cost function!**

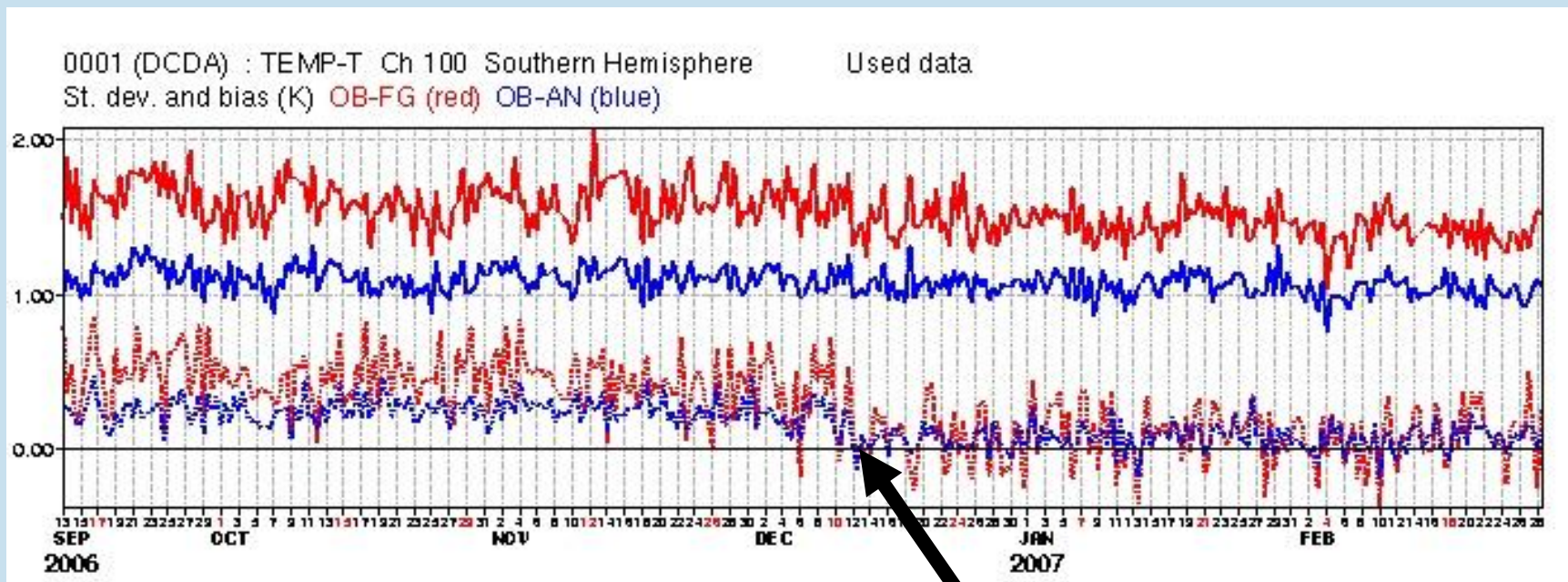




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- We would expect **improvements** in the stratospheric temperatures. The fit to radiosonde temperatures is improved.



Source: Dr. Hardy

GNSS-RO used in operations since 12th December, 2007.

Mit GPS-RO

Ohne GPS-RO



Ergebnisse von Hui-Liu, NCAR

GFZ

Source: <http://www.youtube.com/watch?v=Su3jwCG9F7Q>

✓ GNSS-RO should provide **good atmospheric key information** in the upper troposphere (UT) and **lower/mid stratosphere**. Operational assimilation of GNSS-RO supports this.

✓ GNSS-RO observations are:

✓ Global coverage, inexpensive,

✓ All weather conditions,

✓ High accuracy, high vertical resolution,

✓ Very small systematic differences vs. model.

✓ DA of GNSS-RO can improve the atmospheric state model and predictions, e.g. **weather prediction, tornado and hurricanes warning**, etc...



- ✓ Non-spherical symmetry! (**mathematical improvements**)
  - ✓ Spherical symmetry is necessary to recover bending angles from excess Doppler shift and finally refractivity from bending angles!
- ✓ **Horizontal (along track) gradients** of refractivity will affect the retrieved bending angles (less) and refractivities (more)!
- ✓ Improvement of **GNSS receiver** (software and hardware) and data processing software to overcome problems!
- ✓ An occultation event is not just a **vertical profile** (1D -> 3D).
- ✓ Capability of **DA** with GNSS-RO raw data
- ✓ **Future missions** (e.g. new horizons in 2015)

Thank you  
for your attention

