

THE EARTH SYSTEM PREDICTION SUITE:

Toward a Coordinated U.S. Modeling Capability

BY GERHARD THEURICH, C. DELUCA, T. CAMPBELL, F. LIU, K. SAINT, M. VERTENSTEIN, J. CHEN, R. OEHMKE, J. DOYLE, T. WHITCOMB, A. WALLCRAFT, M. IREDELL, T. BLACK, A. M. DA SILVA, T. CLUNE, R. FERRARO, P. LI, M. KELLEY, I. ALEINOV, V. BALAJI, N. ZADEH, R. JACOB, B. KIRTMAN, F. GIRALDO, D. MCCARREN, S. SANDGATHE, S. PECKHAM, R. DUNLAP IV

AFFILIATIONS: GERHARD THEURICH, JAMES CHEN - Science Applications International Corporation, McLean, VA; CECELIA DELUCA, ROBERT OEHMKE, RALPH DUNLAP IV - Earth System Research Laboratory, NOAA-CIRES, Boulder, CO; FEI LIU, KATHLEEN SAINT - Cherokee Services Group, Fort Collins, CO; JAMES DOYLE, TIMOTHY WHITCOMB - Naval Research Laboratory, Monterey, CA; TIM CAMPBELL, ALAN WALLCRAFT - Naval Research Laboratory, Stennis, MS; FRANK GIRALDO - Naval Postgraduate School, Monterey, CA; ARLINDO M. DA SILVA, THOMAS CLUNE - NASA Goddard Space Flight Center, Greenbelt, MD; ROBERT FERRARO, PEGGY LI - NASA Jet Propulsion Laboratory, Pasadena, CA; MAX KELLEY, IGOR ALEINOV - NASA Goddard Institute for Space Studies, New York, NY; MARK IREDELL, THOMAS BLACK - NOAA NCEP Environmental Modeling Center, College Park, MD; V. BALAJI, NIKI ZADEH - Geophysical Fluid Dynamics Laboratory and Princeton University, Princeton, NJ; MARIANA VERTENSTEIN - National Center for Atmospheric Research, Boulder, CO; ROBERT JACOB - Argonne National Laboratory, Lemont, IL; BEN KIRTMAN - University of Miami, Miami, FL; DAVID MCCARREN - Navy at Commander, Naval Meteorology and Oceanography, Silver Spring, MD; SCOTT SANDGATHE - University of Washington Applied Physics Laboratory, Seattle, WA; SCOTT

23 PECKHAM - *University of Colorado, Boulder, CO*

24 **CORRESPONDING AUTHOR:** C. DeLuca, NOAA-CIRES, 325 Broadway St., Boulder, CO

25 80305-337

26 E-mail: cecelia.deluca@noaa.gov

27 **CAPSULE SUMMARY:** Benefits from common modeling infrastructure and component

28 interface standards are being realized in a suite of national weather and climate codes.

29 **ABSTRACT**

30 The Earth System Prediction Suite (ESPS) is a collection of flagship U.S. weather and climate
31 models and model components that are being instrumented to conform to interoperability
32 conventions, documented to follow metadata standards, and made available either under open
33 source terms or to credentialed users.

34 The ESPS represents a culmination of efforts to create a common Earth system model
35 architecture, and the advent of increasingly coordinated model development activities in the U.S.
36 ESPS component interfaces are based on the Earth System Modeling Framework (ESMF),
37 community-developed software for building and coupling models, and the National Unified
38 Operational Prediction Capability (NUOPC) Layer, a set of ESMF-based component templates
39 and interoperability conventions. This shared infrastructure simplifies the process of model
40 coupling by guaranteeing that components conform to a set of technical and semantic behaviors.
41 The ESPS encourages distributed, multi-agency development of coupled modeling systems,
42 controlled experimentation and testing, and exploration of novel model configurations, such as
43 those motivated by research involving managed and interactive ensembles. ESPS codes include
44 the Navy Global Environmental Model (NavGEM), HYbrid Coordinate Ocean Model
45 (HYCOM), and Coupled Ocean Atmosphere Mesoscale Prediction System (COAMPS[®]); the
46 NOAA Environmental Modeling System (NEMS) and the Modular Ocean Model (MOM); the
47 Community Earth System Model (CESM); and the NASA ModelE climate model and GEOS-5
48 atmospheric general circulation model.

49 **BODY TEXT**

50 Earth system models enable humans to understand and make predictions about their
51 environment. People rely on them for forecasting the weather, anticipating floods, assessing the
52 severity of droughts, projecting climate changes, and countless other applications that impact
53 life, property, and commerce. To simulate complex behaviors, the models must include a range
54 of interlinked physical processes. These processes are often represented by independently
55 developed components that are coupled through software infrastructure.

56 The software infrastructure that underlies Earth system models includes workhorse utilities as
57 well as libraries generated by research efforts in computer science, mathematics, and
58 computational physics. The utilities cover tasks like time management and error handling, while
59 research-driven libraries include areas such as high performance I/O, algorithms for grid
60 remapping, and programming tools for optimizing software on emerging computer architectures.
61 Collectively, this model infrastructure represents a significant investment. As a crude
62 comparison, a comprehensive infrastructure package like the Earth System Modeling Framework
63 (ESMF; Hill et al. 2004, Collins et al. 2005), is comparable in size to the Community Earth
64 System Model (CESM; Hurrell et al. 2013), each at just under a million lines of code.¹

65 In 2002, Dickinson et al. articulated the goal of *common* model infrastructure, a code base that
66 multiple weather and climate modeling centers could share. This idea was shaped by an *ad hoc*,
67 multi-agency working group that had started meeting several years earlier, and was echoed in
68 reports on the state of U.S. climate modeling (NRC 1998, NRC 2001, Rood et al. 2000). Leads

¹ Codes compared are CESM 1.0.3, at about 820K lines of code (Alexander and Easterbrook 2011), and ESMF 6.3.0rp1, at about 920K lines of code (ESMF metrics available online at: https://www.earthsystemcog.org/projects/esmf/sloc_annual)

69 from research and operational centers posited that common infrastructure had the potential to
70 foster collaborative development and transfer of knowledge; lessen redundant code; advance
71 computational capabilities, model performance and predictive skill; and enable controlled
72 experimentation in coupled systems and ensembles. This vision of shared infrastructure has been
73 revisited in more recent publications and venues; for example, in the 2012 National Research
74 Council report entitled *A National Strategy for Advancing Climate Modeling* (NRC 2012).

75 In this article we describe how the vision of common infrastructure is being realized, and how it
76 is changing the approach to Earth system modeling in the U.S. Central to its implementation is
77 the *Earth System Prediction Suite (ESPS)*, a collection of weather and climate models and model
78 components that are being instrumented to conform to interoperability conventions, documented
79 to follow metadata standards, and made available either under open source terms or to
80 credentialed users.

81 We begin by discussing how the U.S. modeling community has evolved toward a common
82 model architecture, and explain the role of the ESMF and related projects in translating that
83 convergence into technical interoperability. We outline the behavioral rules needed to achieve
84 an effective level of interoperability, and describe the ESPS code suite and its target inclusion
85 criteria. We give examples of the adoption process for different kinds of codes, and of science
86 enabled by common infrastructure. Finally, we examine the potential role of the ESPS in model
87 ensembles, and consider areas for future work.

88 **EMERGENCE OF A COMMON MODEL ARCHITECTURE**

89 Several generations of model infrastructure development, described in the sidebar (**Linked and**
90 **Leveraged** ...) allowed for the evolution and evaluation of design strategies. A community of

91 infrastructure developers emerged, whose members exchanged ideas through a series of
92 international meetings focused on coupling techniques (e.g. Dunlap et al. 2014), comparative
93 analyses such as Valcke et al. (2012), and design reviews and working group discussions hosted
94 by community projects such as CESM and ESMF.

95 Over time, model developers from major U.S. centers implemented similar model coupling
96 approaches, based on a small set of frameworks: 1) ESMF; 2) the CESM Coupler 7 (CESM
97 CPL7; Craig et al. 2012), which uses the lower-level Model Coupling Toolkit for many
98 operations (MCT; Larson et al. 2005, Jacob et al. 2005); and 3) the Flexible Modeling System
99 (FMS; Balaji 2012). ESMF, CPL7, and FMS share several key architectural characteristics.

100 Major physical domains such as atmosphere, ocean, land, sea ice, and wave models are
101 represented as software components. Software for transforming and transferring data between
102 components, often called a coupler, is also represented as a component. They are all single
103 executable frameworks, meaning that constituent components, models and coupler, are called as
104 subroutines by a driver. The driver invokes components through initialize, run, and finalize
105 methods, which are similar in structure across frameworks. As an example, below are the
106 application programming interfaces (APIs) of the ESMF and CESM model component run
107 methods:

```
108     ESMF: ESMF_GridCompRun(gridcomp, importState, exportState, &  
109         clock, ... )
```

```
110     CESM: atm_run_mct (EClock_a, cdata_aa, x2a_aa, a2x_aa)
```

111 Both argument lists include a pointer to component information (gridcomp/cdata_aa), a
112 container structure with input fields (importState/x2a_aa), a container structure with

113 output fields (`exportState/a2x_aa`), and a clock with time step and calendar information
114 (`clock/EClock_a`).

115 This congruence in component API and overall architecture means that CESM and ESMF model
116 components are close to being able to work in either framework.² Where these and other
117 frameworks have similar component APIs, a model developer can write a separate wrapper or
118 “cap” to adapt a component written in one framework to another. Instead of calling the
119 component directly, the framework calls the component with the cap API, and the cap internally
120 calls the original component API. Writing a cap usually requires minimal changes in the
121 scientific code of the component. The changes are along the lines of passing an MPI
122 communicator into the component, or accessing additional model fields. The cap for an Earth
123 system model component usually contains assignments of input/output field data from the
124 original model data structures to those of the target framework, by reference or copy. The model
125 developer also writes code in the cap to translate the original model grids and time information
126 into the equivalent framework data types.

127 The design convergence of U.S. models created an opportunity for coordination that a new
128 program was ready to exploit. The National Unified Operational Prediction Capability (NUOPC;
129 see <http://www.nws.noaa.gov/nuopc/>), a consortium of operational weather prediction centers
130 and their research partners, was established in 2007 with goals that included creating a global
131 atmospheric ensemble weather prediction system and promoting collaborative model

² Not all coupling technologies follow these architectural patterns. For example, in the OASIS coupler (Valcke 2013) used by many European climate models, components are run as separate, linked software programs or “multiple executables” and in general do not require that fields transferred between components pass through a component interface. However, the most recent versions of the OASIS coupler now support single executables as well. Valcke et al. 2012 includes some discussion of the relative advantages of single vs. multiple executable strategies.

132 development. In support of these goals, NUOPC sought further standardization of model
133 infrastructure, and introduced the concept of a common model architecture (CMA; Sandgathe et
134 al. 2009; McCarren et al. 2013). A CMA includes the APIs of model components, the “level of
135 componentization,” and the protocols for component interaction. Given commonalities in these
136 areas, the ESMF, CPL7, and FMS frameworks can be said to share a CMA.

137 Even with a CMA, the model components running under these different frameworks still
138 required the use of a common or reference API for component interfaces in order to achieve an
139 effective level of interoperability. NUOPC defined this *effective interoperability* as the ability of
140 a model component to execute without code changes in a driver that provides the fields that it
141 requires, and to return with informative messages if its input requirements are not met. Drivers
142 are assumed to implement the reference API. Model components may utilize the reference
143 framework throughout, or just supply a cap with the reference API.

144 The definition of effective interoperability suggests that a generic test driver could be used to
145 check for compliant component behavior. The definition has other implications as well. The
146 model component needs to communicate sufficient information to the driver through the API to
147 allow the component to interact with other components (for example, which fields the model
148 component can provide). The driver must be able to either handle data communications among
149 components or to invoke additional components to perform coupling tasks. Effective
150 interoperability does not depend on the details of the coupling techniques (field merges, grid
151 remapping methods, etc.).

152 ESMF emerged as way to implement the reference API. Unlike FMS and CESM, which are
153 associated with specific coupled modeling systems (including scientific components and fully

154 defined coupling strategies), ESMF was designed to support multiple systems. Using ESMF, the
155 NUOPC consortium undertook formal codification of a CMA and its realization in widely usable
156 (e.g. portable, reliable, efficient, documented) infrastructure software.

157 **ESMF AND THE NUOPC LAYER**

158 ESMF is high performance software for building and coupling Earth system models. It includes
159 a superstructure for representing model and coupler components and an infrastructure of
160 commonly used utilities, including grid remapping, time management, model documentation,
161 and data communications (see <https://www.earthsystemcog.org/projects/esmf/>). It was
162 developed and is governed by a set of partners that includes NASA, NOAA, the Department of
163 Defense and the National Science Foundation. ESMF can be used in multiple ways: 1) to create
164 interoperable component-based coupled modeling systems; 2) as a source of libraries for
165 commonly used utilities; 3) as a file-based offline generator of interpolation weights; and 4) as a
166 Python package for grid remapping.

167 The ESMF design evolved over a period of years through weekly community reviews and
168 thousands of user support interactions. It accommodates a wide range of data structures, grids,
169 and component layout and sequencing options. Physical fields are represented using
170 `ESMF_Fields`, which are contained in import and export `ESMF_State` objects in order to be
171 passed between components. ESMF has two kinds of components: model components
172 (`ESMF_GridComp`) and coupler components (`ESMF_CplComp`). Both must be customized,
173 since ESMF does not provide scientific models or a complete coupler. The modeler fills in
174 coupling functions such as the transfer of fluxes, field merging, and handling of coastlines, or
175 can wrap an existing coupler implementation. Likewise, ESMF can serve as the primary
176 infrastructure for a scientific model component or, in a process made easier by a shared CMA,

177 the modeler can write an ESMF cap. This approach enables centers to maintain local differences
178 in coupling methodologies; longstanding coupled modeling efforts at NCAR, GFDL, and NASA
179 have established organizational preferences for such operations.³ It also enables the ESMF
180 software to co-exist with native infrastructure. The idea that a *single* common software
181 framework must replace all others, a solution advanced in the 2012 NRC report, proved
182 unnecessary and arguably undesirable.

183 Although ESMF does not provide a complete coupler component, it include tools for building
184 them. The calculation and application of interpolation weights are key operations in model
185 coupling. An ongoing collaboration between CESM and ESMF led to joint development of the
186 parallel ESMF grid remapping tools. The source and destination fields can be discretized on
187 logically rectangular grids (`ESMF_Grid`), unstructured meshes (`ESMF_Mesh`), or observational
188 data streams (`ESMF_LocStream`). The tools support 2D and 3D interpolation, regional and
189 global grids, a number of interpolation methods (e.g. bilinear, first order conservative, higher
190 order, nearest neighbor), and options for pole treatments. For conservative interpolation, ESMF
191 also supports the exchange grid (`ESMF_XGrid`) construct developed at GFDL, which enables
192 sensitive flux computations to be performed on a fine grid defined by superimposing the grids of
193 the interacting components (Balaji et al. 2007). A set of ESMF utility classes, including clocks
194 for managing model time and utilities for functions like I/O and message logging, is also
195 available.

196 ESMF provides component interfaces, data structures, and methods with few constraints about

³ The details of these operations are not reviewed here; detailed discussion of techniques is available in documents such as Craig (2014).

197 how to use them. This flexibility enabled it to be adopted by many coupled modeling systems,⁴
198 but limited the interoperability across these systems. To address this issue, the NUOPC
199 consortium developed a set of coupling conventions and generic representations of coupled
200 modeling system elements - drivers, models, connectors, and mediators - called the NUOPC
201 Layer (see <http://www.earthsystemcog.org/projects/nuopc/>).

202 NUOPC drivers are responsible for invoking and sequencing model, mediator, and connector
203 components. The NUOPC model offers a way to write caps that are not application-specific for
204 science model components. The caps provide access to fields imported, fields exported, and
205 clock information through the ESMF component APIs. Mediators contain custom coupling code,
206 for example reconciliation of masks from different model components. Mediators may leverage
207 the ESMF grid remapping capabilities or use another grid remapping package. The driver creates
208 connector components for models and mediators that need to exchange data. The connectors
209 determine which exchange fields are equivalent, usually at initialization, and use this information
210 to execute data transfers at run-time. The connectors can automatically perform simple field data
211 transformations and transfers using ESMF library calls for redistribution and grid remapping.

212 Table 1 summarizes NUOPC generic components and their roles. Since connectors can manage
213 field exchanges directly between model components, a mediator component only needs to be
214 created when custom operations are needed in the field interchange. Figure 1 is a schematic of
215 two model configurations built using NUOPC generic components, one with a mediator and one
216 without. NUOPC also support more complicated component arrangements involving ensembles
217 and component hierarchies.

⁴ ESMF components are listed here: <https://www.earthsystemcog.org/projects/esmf/components>

218 To specialize generic components, the modeler creates call backs to their own code at clear
219 specialization points.⁵ NUOPC Layer calls mainly appear in parts of a coupled modeling system
220 related to component creation and sequencing, and may be interspersed with calls to ESMF time
221 management, grid remapping, and other methods. The NUOPC generic components use the
222 ESMF component data types, and their initialize/run/finalize methods.

223 All of the generic NUOPC components carry standard metadata that describes how to operate
224 them. Perhaps the most important metadata is a specification of three maps: an
225 *InitializePhaseMap*, a *RunPhaseMap*, and a *FinalizePhaseMap*. These maps associate specific,
226 labeled phases with ESMF component initialize, run, and finalize methods. This structure,
227 together with the import/export fields and clocks passed through the ESMF component APIs,
228 provides the information needed to allow the model, mediator, and connector components to be
229 managed by a generic driver. Figure 2 shows the syntax of a sample configure file that is read by
230 a driver to invoke models, a mediator, and connectors in a run sequence.

231 While use of the NUOPC Layer cannot guarantee scientific compatibility, it does guarantee a set
232 of component behaviors related to technical interoperability. These are described in the *NUOPC*
233 *Layer Reference* (2014). Specifically, it ensures that a component will provide:

- 234 (i) A GNU makefile fragment that defines a small set of prescribed variables.⁶ Each
235 component keeps its native build system, but extends it to include make targets that
236 produce a library containing the NUOPC-capped version of the component together with

⁵ Specialization points are places where the generic code implemented in the NUOPC Layer calls back into user provided code for a specific purpose. Specialization points are indexed by system-specified string labels, such as “label_DataInitialize,” that indicate the purpose of the specialization. Some specializations are optional, and others are required.

⁶ For example, ESMF_DEP_INCPATH, the include path to find module or header files during compilation.

237 the makefile fragment file. This makefile fragment is used by the build system of the
238 coupled modeling system to link the external components into a single executable.

239 (ii) A single public entry point, called `SetServices`. Standardizing this name enables code that
240 registers components to be written generically.

241 (iii) An *InitializePhaseMap*, which describes a sequence of standard initialize phases drawn
242 from a set of *Initialize Phase Definitions*. One standard phase advertises the fields a model
243 or mediator can provide, using standard names that are checked for validity against a
244 NUOPC *Field Dictionary*. Standard names included with the *Dictionary* are drawn from
245 the Climate and Forecast conventions (CF; Eaton et al. 2011). Names that are not CF-
246 compliant can be used as aliases for CF names, or added as new dictionary entries.

247 Connectors match fields with equivalent standard names. In a later standard phase, model
248 and mediator components check the connection status of the advertised fields and realize
249 those fields that will be exchanged. There are additional standard initialization phases that
250 can be used to transfer grid information between components and to satisfy data
251 dependencies.

252 (iv) A *RunPhaseMap*, which includes labeled run phases. The modeler sets up a run sequence
253 by adding elements to a generic driver. An element in the run sequence can either be a
254 labeled phase from a specific component or source and destination component names that
255 will define a connector. As it executes, each phase must check the incoming clock of the
256 driver and the timestamps of incoming fields against its own clock for compatibility. The
257 component returns an error if incompatibilities are detected.

258 (v) Time stamps on its exported fields consistent with the internal clock of the component.

259 (vi) A *FinalizePhaseMap* that includes a method that cleans up all allocations and file handles.

260 These constraints, involving build dependencies, initialization sequencing, and run sequencing,
261 are the focus of the NUOPC Layer because they are required to satisfy the definition of effective
262 interoperability. The constraints nonetheless allow for the representation of many different model
263 control sequences. They enable contingencies, such as what to do if an import field is not
264 available, to be handled in a structured way.

265 The ESMF/NUOPC software distribution is suitable for broad use as it has an open source
266 license, comprehensive user documentation, and a user support team. It is bundled with a suite of
267 about 6500 regression tests that runs nightly on about 30 different platform/compiler
268 combinations. The regression tests include unit tests, system tests, examples, tests of realistic
269 size, and tests of performance. With a few exceptions, the NUOPC Layer API has been stable
270 and backward compatible since the ESMF v6.2.0 release in May 2013. The expectation is that
271 backward compatibility will continue to be sustained through future releases. The software has
272 about 6000 registered downloads.

273 ESMF data structures can often reference native model data structures and ESMF methods can
274 invoke model methods without introducing significant performance overhead. Performance
275 evaluation occurs on an ongoing basis, with reports posted at
276 <https://www.earthsystemcog.org/projects/esmf/performance>. Reports show that the
277 performance overhead of ESMF component wrappers are insignificant (see also Collins et al.
278 2005) and key operations such as sparse matrix multiply are comparable to native
279 implementations. The NUOPC version of CESM, still largely un-optimized, shows less than a
280 5% overhead when compared to the native CESM implementation.

281 The assessment of software ease of use depends to a large degree on the modeler's past

282 experience and preferences. ESMF and NUOPC are not based on pragma-style directives and
283 contain little auto-generated code, except for overloading interfaces for multiple data types. This
284 improves readability of the infrastructure code and makes the flow of control easier to
285 understand. Further, the capping approach to adoption keeps the infrastructure calls distinct from the
286 native model code. The NUOPC Layer uses the logging feature that comes with ESMF to put
287 backtraces into log files, which helps to make debugging easier.

288 **THE EARTH SYSTEM PREDICTION SUITE**

289 The National Earth System Prediction Capability (National ESPC; see <http://espc.oar.noaa.gov>)
290 combines the ESPC, initiated in 2010, and NUOPC, to extend the scope of the NUOPC program
291 in several ways. The National ESPC goal is a global Earth system analysis and prediction
292 system that will provide seamless predictions from days to decades, developed with
293 contributions from a broad community. Expanding on NUOPC, the National ESPC includes
294 additional research agency partners (NSF, NASA, and DOE), time scales of prediction that
295 extend beyond short term forecasts, and new modeling components (e.g. cryosphere, space).

296 In order to realize the National ESPC vision, major U.S. models must be able to share and
297 exchange model components. Thus the National ESPC project is coordinating development of an
298 *Earth System Prediction Suite (ESPS)*, a collection of NUOPC-compliant Earth system
299 components and model codes that are technically interoperable, tested, documented, and
300 available for integration and use. At this stage, ESPS focuses on *coupled modeling systems* and
301 *atmosphere, ocean, ice* and *wave* components.

302 ESPS partners are targeting the following inclusion criteria:

- 303 • ESPS components and coupled modeling systems are NUOPC-compliant.

- 304 • ESPS codes are versioned.
- 305 • Model documentation is provided for each version of the ESPS component or
306 modeling system.
- 307 • ESPS codes have clear terms of use (e.g. public domain statement, open source
308 license, proprietary status), and have a way for credentialed ESPC collaborators to
309 request access.
- 310 • Regression tests are provided for each component and coupled modeling system
311 configuration.
- 312 • There is a commitment to continued NUOPC compliance and ESPS participation for
313 new versions of the code.

314 ESPS is intended to formalize the steps in preparing codes for cross-agency application, and
315 the inclusion criteria support this objective. NUOPC compliance is the primary requirement.
316 It guarantees a well-defined, effective level of interoperability, and enables assembly of
317 codes from multiple contributors. Table 2 shows the current NUOPC compliance status of
318 ESPS components and coupled modeling systems.

319 Other ESPS inclusion criteria address aspects of code usability. Versioning is essential for
320 traceability. Structured model documentation facilitates model analysis and intercomparison.⁷
321 Clear terms of use and a way to request code access are fundamental to the exchange of
322 codes across organizations. Regression tests are needed for verification of correct operation

⁷ Initial, minimal metadata associated with each ESPS model is being collected and displayed using tools from the Earth System Documentation consortium (ES-DOC; Lawrence et al. 2012).

323 on multiple computer platforms. The commitment to continued participation establishes
324 ESPS as an ongoing, evolving capability.

325 At the time of this writing, not all of the inclusion criteria related to usability are satisfied for
326 all candidate codes. Further, these criteria themselves are likely to evolve. The extent of the
327 metadata to be collected still needs to be determined, and specific requirements for regression
328 tests have not yet been established. The process of refining the inclusion criteria and
329 completing it for all codes is likely to occur over a period of years. However, a framework is
330 now in place for moving forward. Current information is presented on the ESPS webpage,
331 see <https://www.earthsystemcog.org/projects/esps/>.

332 CODE DEVELOPMENT, COMPLIANCE CHECKING, AND TRAINING TOOLS

333 The viability of ESPS depends on there being a straightforward path to writing compliant
334 components. Several tools are available to facilitate development and compliance verification of
335 ESPS components and coupled models. These include the command line-based NUOPC
336 Compliance Checker and Component Explorer, both described in the *NUOPC Layer Reference*
337 (2014), and the graphical Cupid Integrated Development Environment (IDE) (Dunlap 2014).

338 The NUOPC Compliance Checker is an analysis tool that intercepts component actions during
339 the execution of a modeling application and assesses whether they conform to standard NUOPC
340 Layer behaviors. It is linked by default to every application that uses ESMF and can be activated
341 at run-time by setting an environment variable. When deactivated, it imposes no performance
342 penalty. The Compliance Checker produces a compliance report that includes, for each
343 component in an application, checks for presence of the required initialize, run, and finalize
344 phases, correct timekeeping, and the presence of required component and field metadata.

345 The Component Explorer is a run-time tool that analyzes a *single* model component by acting as
346 its driver. The tool offers a way of evaluating the behavior of the component outside of a coupled
347 modeling application. It steps systematically through the phases defined by the component and
348 performs checks such as whether the required makefile fragment is provided, whether a NUOPC
349 driver can link to the component, and whether error messages are generated if the required inputs
350 are not supplied. For additional information, the Compliance Checker can be turned on while the
351 Component Explorer is running. A test of NUOPC compliance is running the candidate
352 component in the Component Explorer and ensuring that it generates no warnings from the
353 Compliance Checker when it is turned on. Sample output is shown in Figure 3.

354 Cupid provides a comprehensive code editing, compilation, and execution environment with
355 specialized capabilities for working with NUOPC-based codes. It is implemented as a plugin for
356 Eclipse, a widely used IDE. A key feature of Cupid is the ability to create an outline that shows
357 the NUOPC-wrapped components in the application, their initialize, run, and finalize phases, and
358 their compliance status. The outline is presented to the developer side-by-side with a code editor,
359 and a command line interface for compiling and running jobs. Cupid provides contextual
360 guidance and can automatically generate portions of the code needed for compliance. The user
361 can select among several prototype codes as the basis for training, or can import their own model
362 code into the environment. Figure 4 shows the Cupid graphical user interface.

363 Table 3 summarizes the tools described in this section and their main uses. Static analysis mode
364 refers to the examination of code, while dynamic analysis mode refers to evaluation of
365 component behaviors during run-time.

366 **ADAPTING MODELS FOR ESPS**

367 In this section, we describe the approach to adapting different sorts of codes for ESPS. We look
368 at implementation of single model components, wholly new coupled systems, and existing
369 coupled systems.

370 Single model components are the most straightforward to wrap with NUOPC Layer interfaces.
371 The Modular Ocean Model (MOM5; Griffies 2012) and Hybrid Coordinate Ocean Model
372 (HYCOM; Halliwell et al., 1998, Halliwell et al., 2000, Bleck, 2002) are examples of this case.
373 Both ocean models had previously been wrapped with ESMF interfaces, and had the distinct
374 initialize, run, and finalize standard methods required by the framework. For NUOPC
375 compliance, a standard sequence of initialize phases was added, and conformance with the Field
376 Dictionary checked. The process of wrapping MOM5 and HYCOM with NUOPC Layer code
377 required minimal changes to the existing model infrastructure. For both MOM5 and HYCOM,
378 NUOPC changes can be switched off, and MOM5 can still run with GFDL's in-house FMS
379 framework.

380 The construction of newly coupled systems is a next step in complexity. The Navy global
381 modeling system and the NOAA Environmental Modeling System (NEMS; Iredell et al. 2014)
382 are examples in this category. Navy developers coupled the Navy Operational Global
383 Atmospheric Prediction System (NOGAPS; Rosmond 1992, Bayler and Lewit 1992) and
384 HYCOM by introducing simple NUOPC connectors between the models, and were able to easily
385 switch in the newer Navy Global Environmental Model atmosphere (NavGEM; Hogan et al.
386 2014) when it became available. This work leveraged ESMF component interfaces introduced
387 into NOGAPS as part of the Battlespace Environments Institute (BEI; Campbell et al. 2010). The
388 NUOPC-based HYCOM code from this coupled system was a useful starting point for coupling
389 HYCOM with components in NEMS and the CESM.

390 NEMS is an effort to organize a growing set of operational models at the National Centers for
391 Environmental Prediction under a unifying framework. The first coupled application in NEMS
392 connects the Global Spectral Model or GSM (previously the Global Forecast System or GFS;
393 EMC 2003) to HYCOM and MOM5 ocean components and the CICE sea ice model (Hunke and
394 Lipscomb 2008). The NUOPC mediator manages a fast atmosphere and ice coupling loop and a
395 slower ocean coupling loop (visible in Figure 2). Components that are capped with NUOPC and
396 in the process of being introduced into NEMS include the WaveWatch 3 model (Tolman 2002),
397 the Ionosphere-Plasmasphere Electrodynamics (IPE) model (based on an earlier model described
398 in Fuller-Rowell et al. 1996 and Millward et al. 1996), and a hydraulic component implemented
399 using the WRF-Hydro model (Gochis et al. 2013).⁸ Figure 5 shows NEMS components, current
400 and planned.

401 Adapting an existing coupled modeling system for NUOPC compliance is most challenging,
402 since adoption must work around the native code. The CESM, the Coupled Ocean Atmosphere
403 Mesoscale Prediction System (COAMPS; Hodur 1997, Chen et al. 2003), and ModelE (Schmidt
404 et al. 2006) are examples of this. In CESM, a fully coupled model that includes atmosphere,
405 ocean, sea ice, land ice, land, river and wave components, ESMF interfaces have been supported
406 at the component level since 2010, when it was known as the Community Climate System Model
407 4.0. However, the CESM driver was based on the MCT data type. Recently, the driver was
408 rewritten to accommodate the NUOPC Layer. By introducing a new component data type in the
409 driver, either NUOPC component interfaces or the original component interfaces that use MCT

⁸ Other components in the process of being wrapped in NUOPC interfaces for use with NEMS include the Non-Hydrostatic Mesoscale Model (NMMB; Janjic et al. 2012) and the Princeton Ocean Model (POM; Blumberg and Mellor 1987), to be coupled for a regional system, and e an alternate ice model, KISS (Grumbine 2013).

410 data types can be invoked. These changes did not require significant modifications to the
411 internals of the model components themselves.

412 Incorporating the NUOPC Layer into COAMPS involved refactoring the existing ESMF layer in
413 each of its constituent model components and implementing a new top-level driver/coupler layer.
414 As with the global Navy system, ESMF component interfaces had been introduced as part of
415 BEI. The COAMPS system includes the non-hydrostatic COAMPS atmosphere model coupled
416 to the Navy Coastal Ocean Model (NCOM; Martin et al. 2009) and the Simulating Waves
417 Nearshore model (SWAN; Booij et al. 1999). Refactoring to introduce the NUOPC Layer into
418 each model component involved changing the model ESMF initialize method into multiple
419 standard phases. The representation of import/export fields was also changed to use the NUOPC
420 Field Dictionary. These changes were straightforward and limited to the model ESMF wrapper
421 layer. An effort that is just beginning involves wrapping the NEPTUNE [Navy Environmental
422 Prediction system Utilizing the NUMA (Nonhydrostatic Unified Atmospheric Model) CorE]
423 atmosphere, a non-hydrostatic model which uses an adaptive grid scheme (Kelly and Giraldo
424 2012, Kopera et al. 2014, Giraldo et al. 2013), with a NUOPC Layer interface, as a candidate for
425 the Navy's next-generation regional and global prediction systems..

426 When NUOPC Layer implementation began in ModelE, the degree of coarse-grained
427 modularization was sufficiently complete that the ModelE atmosphere could be run with four
428 different ocean models (data, mixed-layer, and two dynamic versions), and the two dynamic
429 oceans could both be run with a data atmosphere. At this time, atmosphere and mixed layer
430 ocean models are wrapped as NUOPC components, and can be driven using a NUOPC driver.
431 Specification of the multi-phase coupled run sequence was easily handled via NUOPC
432 constructs. Mediators will provide crucial flexibility to apply nontrivial field transformations as

433 more complex coupled configurations are migrated.

434 Developers of the GEOS-5 atmospheric model (Molod et al. 2012) incorporated ESMF into the
435 model design from the start, using the framework to wrap both major components and many sub-
436 processes. In order to fill in gaps in ESMF functionality, the GEOS-5 development team
437 developed software called the Modeling Analysis and Prediction Layer, or MAPL. A challenge
438 for bringing GEOS-5 into ESPS is translating the MAPL rules for components into NUOPC
439 components, and vice versa. A joint analysis by leads from the MAPL and NUOPC groups
440 revealed that the systems are fundamentally similar in structure and capabilities (da Silva et al.
441 2013). The feature that most contributes to this compatibility is that neither NUOPC nor MAPL
442 introduces new component data types - both are based on components that are native ESMF data
443 types (`ESMF_GridComp` and `ESMF_CplComp`). MAPL has been integrated into the
444 ESMF/NUOPC software distribution, and set up so that refactoring can reduce redundant code in
445 the two packages. Although the GEOS-5 model is advanced with respect to its adoption of
446 ESMF, most of the work in translating between MAPL and NUOPC still lies ahead.

447 **RESEARCH AND PREDICTION WITH COMMUNITY INFRASTRUCTURE**

448 Community-developed ESMF and NUOPC Layer infrastructure supports scientific research and
449 operational forecasting. This section describes examples of scientific advances that ESPS and
450 related infrastructure have facilitated at individual modeling centers, and the opportunities they
451 bring to the management of multi-model ensembles.

452 **MODELING AND DATA CENTER IMPACTS**

453 This section provides examples of how the use of ESMF and NUOPC Layer software has
454 benefited modeling efforts.

- 455 • ***Navy NavGEM-HYCOM-CICE***: The NavGEM-HYCOM-CICE modeling system, coupled
456 using NUOPC Layer infrastructure, is being used for research at the Naval Research
457 Laboratory. An initial study, using just NavGEM and HYCOM, examined the onset of a
458 Madden-Julien Oscillation (MJO) event in 2011 (Peng, 2011). For standalone NavGEM,
459 the onset signature was basically absent. The coupled system was able to reasonably
460 simulate the onset signature compared with TRMM (Tropical Rainfall Measuring
461 Mission) measurements. With the addition of the CICE ice model, this system is now
462 being used to explore the growing and melting of sea ice over the Antarctic and Arctic
463 regions.
- 464 • ***COAMPS and COAMPS-TC***: The COAMPS model is run in research and operations by the
465 Defense Department and others for short-term numerical weather prediction. COAMPS-
466 TC is a configuration of COAMPS specifically designed to improve tropical cyclone
467 (TC) forecasts (Doyle et al. 2014). Both use ESMF and NUOPC software for component
468 coupling. The coupled aspects of COAMPS and COAMPS-TC were recently evaluated
469 using a comprehensive observational data set for Hurricane Ivan (Smith et al. 2013).
470 This activity allowed for the evaluation of model performance based on recent
471 improvements to the atmospheric, oceanic, and wave physics, while gaining a general but
472 improved understanding of the primary effects of ocean–wave model coupling in high-
473 wind conditions. The new wind input and dissipation source terms (Babanin et al. 2010;
474 Rogers et al. 2012) and wave drag coefficient formulation (Hwang, 2011), based on field
475 observations, significantly improved SWAN’s wave forecasts for the simulations of
476 Hurricane Ivan conducted in this study. In addition, the passing of ocean current
477 information from NCOM to SWAN further improved the TC wave field.

- 478 • **GEOS-5:** The NASA GEOS-5 atmosphere-ocean general circulation model is designed to
479 simulate climate variability on a wide range of time scales, from synoptic time scales to
480 multi-century climate change. Projects underway with the GEOS-5 AOGCM include
481 weakly coupled ocean-atmosphere data assimilation, seasonal climate predictions and
482 decadal climate prediction tests within the framework of Coupled Model Intercomparison
483 Project Phase 5 (CMIP5; Taylor et al. 2012). The decadal climate prediction experiments
484 are being initialized using the weakly coupled atmosphere-ocean data assimilation based
485 on MERRA (Rienecker et al. 2011). All components are coupled together using ESMF
486 interfaces.
- 487 • **NEMS:** The NEMS modeling system under construction at NOAA is intended to
488 streamline development and create new knowledge and technology transfer paths. NEMS
489 will encompass multiple coupled models, including future implementations of the
490 Climate Forecast System (CFS; Saha 2014), the Next Generation Global Prediction
491 System (NGGPS; Lapenta 2015), and regional hurricane forecast models. The new CFS
492 will couple global atmosphere, ocean, sea ice and wave components through the NUOPC
493 Layer for advanced probabilistic seasonal and monthly forecasts. NGGPS is being
494 designed to improve and extend weather forecasts to 30 days, and will include ocean and
495 other components coupled to an atmosphere. The NEMS hurricane forecasting capability
496 will have nested mesoscale atmosphere and ocean components coupled through the
497 NUOPC Layer for advanced probabilistic tropical storm track and intensity prediction.
498 Early model outputs from the atmosphere (GSM), ocean (MOM5), and sea ice (CICE)
499 three-way coupled system in NEMS are currently being evaluated.
- 500 • **CESM:** The CESM coupled global climate model enables state-of-the art simulations of

501 Earth's past, present and future climate states and is one of the primary climate models
502 used for national and international assessments. A recent effort involves coupling
503 HYCOM to CESM components using NUOPC Layer interfaces. A scientific goal of the
504 HYCOM-CESM coupling is to assess the impact of hybrid versus depth coordinates in
505 the representation of our present-day climate and climate variability. The project
506 leverages an effort to couple HYCOM to an earlier version of CESM, CCSM3 (Lu et al.
507 2013; Michael et al. 2013).

508 ESPS OPPORTUNITIES FOR MANAGED AND INTERACTIVE ENSEMBLES

509 In the weather and climate prediction communities ensemble simulations are used to separate
510 signal from noise, reduce some of the model-induced errors and improve forecast skill.

511 Uncertainty and errors come from several sources:

- 512 (i) Initial condition uncertainty associated with errors in our observing systems or in how
513 the observational estimates are used to initialize prediction systems (model
514 uncertainty/errors play a significant role here);
- 515 (ii) Uncertainty or errors in the observed and modeled external forcing. This can be either
516 natural (changes in solar radiation reaching the top of the atmosphere, changes in
517 atmospheric composition due to natural forcing such as volcanic explosions, changes
518 in the shape and topography of continents or ocean basins), or anthropogenic
519 (changes in the atmospheric composition and land surface properties due to human
520 influences);
- 521 (iii) Uncertainties or errors in the formulation of the models used to make the predictions
522 and to assimilate the observations. These uncertainties and errors are associated with
523 a discrete representation of the climate system and the parameterization of sub-grid

524 physical processes. The modeling infrastructure development described here is ideally
525 suited to quantify uncertainty due to errors in model formulation, and where possible
526 reduce this uncertainty.

527 To account for initial condition uncertainty it is standard practice to perform a large ensemble of
528 simulations with a single model by perturbing the initial conditions. The ensemble mean or
529 average is typically thought of as an estimate of the signal and the ensemble spread or even the
530 entire distribution is used to quantify the uncertainty (or noise) due to errors in the initial
531 conditions. In terms of uncertainty in external forcing, the model simulations that are used to
532 inform the Intergovernmental Panel on Climate Change (IPCC) use a number of different
533 scenarios for projected greenhouse gas forcing to bracket possible future changes in the climate.
534 In both of the examples above, it is also standard practice to use multiple models to quantify
535 uncertainty in model formulation and to reduce model-induced errors.

536 The use of multi-model ensembles falls into two general categories both of which are easily
537 accommodated by ESPS. The first category is an *a posteriori* approach where ensemble
538 predictions from different models are combined, after the simulation or prediction has been run,
539 into a multi-model average or probability distribution that takes advantage of complementary
540 skill and errors. This approach is the basis of several international collaborative prediction
541 research efforts (e.g., National Multi-Model Ensemble, ENSEMBLES) and climate change
542 projection (CMIP) efforts, and there are numerous examples of how this multi-model approach
543 yields superior results compared to any single model (e.g., Kirtman et al. 2013). In this case, the
544 multi-model average estimates the signal that is robust across different model formulations and
545 initial condition perturbations. The distribution of model states is used to quantify uncertainty
546 due to model formulation and initial condition errors. While this approach has proven to be quite

547 effective, it is generally *ad hoc* in the sense that the chosen models are simply those that are
548 readily available. The ESPS development described here allows for a more systematic approach
549 in that individual component models (e.g., exchanging atmospheric components CAM5 for
550 GEOS-5) can easily be interchanged within the context of the same coupling infrastructure thus
551 making it possible to isolate how the individual component models contribute to uncertainty and
552 complementary skill and errors. For simplicity we refer to the interchanging or exchanging
553 component models as managed ensembles.

554 The second category can be viewed as an *a priori* technique in the sense that the model
555 uncertainty is “modeled” as the model evolves. This approach recognizes that the dynamic and
556 thermodynamic equations have irreducible uncertainty and that this uncertainty should be
557 included as the model evolves. This argument is the scientific underpinning for the multi-model
558 interactive ensemble approach. The basic idea is to take advantage of the fact that the multi-
559 model approach can reduce some of the model-induced error, but with the difference being that
560 this is incorporated as the coupled system evolves. In ESPS we can use the atmospheric
561 component model from say CAM5 and GEOS-5 *simultaneously* as the coupled system evolves,
562 and for example, combine the fluxes (mean or weighted average) from the two atmospheric
563 models to communicate with the single ocean component model. Moreover, it is even possible to
564 sample the atmospheric fluxes in order to introduce state dependent and non-local stochasticity
565 into the coupled system to model the uncertainty due to model formulation. Forerunners of the
566 approach have been implemented within the context of CCSM to study how atmospheric weather
567 noise impacts climate variability (Kirtman et al. 2009, Kirtman et al. 2011) and seasonal
568 forecasts in the NOAA operational prediction system (Stan and Kirtman 2008).

569 **FUTURE DIRECTIONS**

570 Next steps include continued development of NUOPC-based coupled modeling systems, ongoing
571 improvements to ESPS metadata and user access information, exploration of the opportunities
572 ESPS affords in creating new ensemble systems, and addition of capabilities to the infrastructure
573 software itself. Whether to extend the ESPS to other types of components is an open question.
574 Developers have already implemented NUOPC Layer interfaces on components that do not fall
575 into the initial ESPS model categories, including the WRF-Hydro hydrology model, the
576 Community Land Model (CLM), and the Ionosphere-Plasmasphere Electrodynamics (IPE)
577 model.

578 The continued incorporation of additional processes into models, the desire for more seamless
579 prediction across temporal scales, and the demand for more information about the local impacts
580 of climate change are some of the motivations for linking frameworks from multiple disciplines.
581 The NSF-funded Earth System Bridge project is building converters that will enable NUOPC
582 codes to be run within the Community Surface Dynamics Modeling System (CSDMS), which
583 contains many smaller models representing local surface processes, and CSDMS codes to be run
584 within ESMF. The ESMF infrastructure is also being used to develop web service coupling
585 approaches in order to link weather and climate models to frameworks that deliver local and
586 regional information products (Goodall et al. 2013).

587 A critical aspect of future work is the evaluation and evolution of NUOPC and ESMF software
588 for emerging computing architectures. A primary goal is for common infrastructure such as the
589 NUOPC Layer to do no harm, and allow for optimizations within component models. However,
590 NUOPC infrastructure also offers new optimization opportunities for coupled systems. The
591 formalization of initialize and run phases allows components to send information to the driver
592 about their ability to exploit heterogeneous computing resources. The driver has the potential to

593 negotiate an optimal layout by invoking a mediator or other component that does resource
594 mapping. This holds great potential in dealing with systems that have an increasing number of
595 components, and will benefit from running efficiently on accelerator-based compute hardware.

596 Among the planned extensions to NUOPC protocols are hardware resource management
597 between components and the negotiation of data placement of distributed objects. Both
598 extensions leverage the ESMF “virtual machine” or hardware interface layer, already extended
599 under an ESPC initiative to be co-processor aware. The awareness of data location can also be
600 used to minimize data movement and reference data where possible during coupling. Finally,
601 there is interest in optimizing the grid remapping operation between component grids in the
602 mediator by choosing an optimal decomposition of the transferred model grid. This optimization
603 requires extra negotiation between the components which could be made part of the existing
604 NUOPC component interactions.

605 **CONCLUSION**

606 Through the actions of a succession of infrastructure projects in the Earth sciences over the last
607 two decades, a common model architecture (CMA) has emerged in the U.S. modeling
608 community. This has enabled high-level model components to be wrapped in community-
609 developed ESMF and NUOPC interfaces with few changes to the model code inside, in a way
610 that retains much of the native model infrastructure. The components in the resulting systems
611 possess a well-defined measure of technical interoperability. The ESPS, a collection of multi-
612 agency coupled weather and climate systems that complies with these standard interfaces, is a
613 tangible outcome of this coordination. It is a direct response to the recommendations of a series
614 of National Research Council and other reports recommending common modeling infrastructure,
615 and a national asset resulting from commitment of the agencies involved in Earth system

616 modeling to work together to address global challenges.

617 **ACKNOWLEDGMENTS**

618 The National Aeronautics and Space Administration's Computational Modeling Algorithms and
619 Cyberinfrastructure Program provides support for ESMF, the Cupid Integrated Development
620 Environment, and integration of ESMF and the NUOPC Layer with ModelE. The National
621 Aeronautics and Space Administration Modeling Analysis and Prediction Program supports
622 ESMF and integration of ESMF and the NUOPC Layer with the GEOS-5 model. The National
623 Oceanic and Atmospheric Administration Climate Program Office provides support for ESMF
624 and development of the Climate Forecast System using NUOPC Layer tools. The National
625 Weather Service supports ESMF and NUOPC Layer development, and development of the Next
626 Generation Global Prediction System using NUOPC Layer tools. The Department of Defense
627 Office of Naval Research supports ESMF and NUOPC development, including adaption for
628 emerging computer architectures, and the integration of the NUOPC Layer into the Community
629 Earth System Model and Navy models. The High Performance Computing Modernization
630 Program is providing support for development of asynchronous I/O capabilities in ESMF. The
631 National Science Foundation provided support for early development of ESMF. Computing
632 resources for testing infrastructure and implementing it in applications were provided by the
633 National Center for Atmospheric Research Computational and Information Systems Laboratory
634 (CISL), sponsored by the National Science Foundation and other agencies, the Oak Ridge
635 Leadership Computing Facility, located in the National Center for Computational Sciences at
636 Oak Ridge National Laboratory, which is supported by the Office of Science (BER) of the
637 Department of Energy, the NASA Center for Climate Simulation, and the NOAA Environmental
638 Security Computer Center. V. Balaji is supported by the Cooperative Institute for Climate

639 Science, Princeton University, under Award NA08OAR4320752 from the National Oceanic and
640 Atmospheric Administration, U.S. Department of Commerce. The statements, findings,
641 conclusions, and recommendations are those of the authors and do not necessarily reflect the
642 views of Princeton University, the National Oceanic and Atmospheric Administration, or the
643 U.S. Department of Commerce. The authors thank Richard Rood and Anthony Craig for their
644 insightful comments on the original manuscript, and Matthew Rothstein for his contributions to
645 understanding the performance of NUOPC modeling applications.

646 **SIDEBAR I:**

647 **LINKED AND LEVERAGED:**

648 **THE EVOLUTION OF COUPLED MODEL INFRASTRUCTURE**

649 **First generation (1996-2001)** Model coupling technologies were initially targeted for
650 specific coupled modeling systems, often within a single organization. Infrastructure that arose
651 out of model development during this period included the Flexible Modeling System (FMS) at
652 the Geophysical Fluid Dynamics Laboratory, the Goddard Earth Modeling System (GEMS;
653 NASA GSFC 1997), and the Climate System Model (CSM; Boville and Gent 1998) and Parallel
654 Climate Model (PCM; Washington et al. 2000) flux couplers at NCAR. Each of these systems
655 coordinated functions such as timekeeping and I/O across model components contributed by
656 domain specialists, and implemented component interfaces for field transformations and
657 exchanges.

658 **Second generation (2002-2006)** Recognizing similar functions and strategies across first
659 generation model infrastructures, a multi-agency group formed a consortium to jointly develop
660 an Earth System Modeling Framework (ESMF). ESMF was intended to limit redundant code

661 and enable components to be exchanged between modeling centers. Also at this time, within
662 DOE, the Common Component Architecture (CCA; Bernholdt et al. 2006) consortium
663 introduced a more precise definition of components into the high performance computing
664 community, and members of the Model Coupling Toolkit (MCT) project worked with CSM
665 (now CCSM - the Community CSM) to abstract low-level coupling functions into the MCT
666 general-purpose library and develop a new CCSM coupler (CPL7).

667 **Third generation (2007-2014)** A third generation of development began as multi-agency
668 infrastructures began to mature and refactor code, assess their successes and deficiencies, and
669 encounter new scientific and computational challenges. Both NASA, with the Modeling Analysis
670 and Prediction Layer (MAPL; Suarez et al. 2007) and the National Unified Operational
671 Prediction Capability (NUOPC), a group of NOAA, Navy and Air Force operational weather
672 prediction centers and their research partners, added conventions to ESMF to increase
673 component interoperability. Similar refactoring efforts took place in other communities such as
674 surface dynamics (Peckham et al. 2013) and agriculture (David et al. 2010). The demands of
675 high resolution modeling and the advent of unstructured grids pushed ESMF to develop new
676 capabilities and products, and MCT and CCSM – now CESM - to introduce new communication
677 options. In this wave of development, the capabilities of shared infrastructure began to equal or
678 outperform those developed by individual organizations.

679 **What next? (2015 -)** Although some infrastructure projects have disappeared or merged,
680 projects from all three generations of development are still in use, and increasingly their
681 interfaces may coexist in the same coupled modeling system. Future development is likely to
682 include more cross-disciplinary projects like the Earth System Bridge (see Peckham et al. 2014),
683 which is defining a formal characterization of framework elements and behaviors (an Earth

684 System Framework Description Language, or ES-FDL), and using it to explore how to link
685 components that come from different communities that have their own infrastructures (e.g.
686 climate, hydrology, ecosystem modeling).

687 **SIDEBAR II**

688 **LIMITS OF COMPONENT INTEROPERABILITY**

689 NUOPC Layer compliance guarantees certain aspects of technical interoperability, but it does
690 not guarantee that all components of the same type, for instance all NUOPC-wrapped
691 atmosphere models, will be scientifically viable in a given coupled modeling system. A simple
692 example of scientific incompatibility is one in which the exported fields available do not match
693 the imported fields needed for a component to run. Other incompatibilities can originate in how
694 the scope of the component is defined (i.e., which physical processes are included), and in
695 assumptions about how the component will interact with other components.⁹ For example, some
696 coupled modeling systems implement an implicit interaction between atmosphere and land
697 models while others take a simpler explicit approach. Whether or not a component can adapt to a
698 range of configurations and architectures is determined as well by whether scientific
699 contingencies are built into it by the developer. The components in the ESPS are limited to major
700 physical domains since many of the models in this category, such as CAM, CICE, and HYCOM,
701 have been built with the scientific flexibility needed to operate in multiple coupled modeling
702 systems and coupling configurations.

⁹ Alexander and Easterbrook 2011 provide a high-level look at variations in the component architecture of climate models.

703 **REFERENCES**

- 704 Alexander, K. and S. Easterbrook, 2011: The Software Architecture of Global Climate Models.
705 AGU Fall Meeting, San Francisco, CA.
- 706 Babanin, A.V., K.N. Tsagareli, I.R. Young, and D.J. Walker, 2010: Numerical investigation of
707 spectral evolution of wind waves. Part 2: Dissipation function and evolution tests. *J. Phys.*
708 *Oceanogr.*, **40**, 667–683. doi: <http://dx.doi.org/10.1175/2009JPO4370.1>
- 709 Balaji, V., J. Anderson, I. Held, M. Winton, S. Malyshev, and R. Stouffer, 2007: The FMS
710 Exchange Grid: a mechanism for data exchange between Earth System components on
711 independent grids. Available online at: <http://www.gfdl.noaa.gov/~vb/pdf/xgridpaper.pdf>
- 712 Balaji, V., 2012: The Flexible Modeling System. *Earth System Modelling - Volume 3*, S. Valcke,
713 R. Redler, and R. Budich, Eds., Springer Berlin Heidelberg, SpringerBriefs in Earth System
714 Sciences, 33–41.
- 715 Bayler, G. and H. Lewit, 1992: The Navy Operational Global and Regional Atmospheric
716 Prediction System at the Fleet Numerical Oceanography Center, *Weather and Forecasting*, **7**(2),
717 273-279.
- 718 Bernholdt, D.E., B.A. Allan, R. Armstrong, F. Bertrand, K. Chiu, T.L. Dahlgren, K. Damevski,
719 W.R. Elwasif, T.G.W. Epperly, M. Govindaraju, D.S. Katz, J.A. Kohl, M. Krishnan, G. Kumfert,
720 J.W. Larson, S. Lefantzi, M.J. Lewis, A.D. Malony, L.C. McInnes, J. Nieplocha, B. Norris, S.G.
721 Parker, J. Ray, S. Shende, T.L. Windus, and S. Zhou, 2006: A Component Architecture for High-
722 Performance Scientific Computing, *Int. J. High Perform. Comp. Appl.*, **20**(2), 163-202.
- 723 Bleck, R., 2002: An oceanic general circulation model framed in hybrid isopycnic-Cartesian

724 coordinates. *Ocean Modelling* **4**(1), 55-88.

725 Blumberg, A.F., and G.L. Mellor, 1987: A description of a three-dimensional coastal ocean
726 circulation model, in *Three-Dimensional Coastal Ocean Models*, Vol. 4, edited by N. Heaps,
727 American Geophysical Union, Washington, D.C., 208 pp.

728 Booij, N., R.C. Ris and L.H. Holthuijsen, 1999: A third-generation wave model for coastal
729 regions, Part I, Model description and validation, *J. Geophys. Res.* C4, 104, 7649-7666.

730 Boville, B. A., and P. R. Gent, 1998: The NCAR Climate System Model, Version 1. *J. Climate*,
731 **11**, 1115-1130.

732 Campbell, T., R. Allard, R. Preller, L. Smedstad, A. Wallcraft, S. Chen, J. Hao, S. Gaberšek, R.
733 Hodur, J. Reich, C. D. Fry, V. Eccles, H.-P. Cheng, J.-R.C. Cheng, R. Hunter, C. DeLuca, G.
734 Theurich, 2010: Integrated Modeling of the Battlespace Environment, *Comp. in Science and*
735 *Engineering*, **12**(5), 36-45.

736 Chen, S., J. Cummings, J. Doyle, R. Hodur, T. Holt, C. Liou, M. Liu, J. Ridout, J. Schmidt, W.
737 Thompson, A. Mirin and G. Sugiyama, 2003: COAMPS™ Version 3 Model Description -
738 General Theory and Equations. NRL Publication NRL/PU/7500--03-448, 141 pp.

739 Collins, N., G. Theurich, C. DeLuca, M. Suarez, A. Trayanov, V. Balaji, P. Li, W. Yang, C. Hill,
740 and A. da Silva, 2005: Design and Implementation of Components in the Earth System Modeling
741 Framework. *Int. J. High Perform. Comp. Appl.*, **19**(3), 341-350.

742 Craig, A. P., 2014: CPL7 User's Guide (updated for CESM version 1.0.6). Available online at:
743 <http://www.cesm.ucar.edu/models/cesm1.2/cpl7/doc/book1.html>

744 Craig, A. P., M. Vertenstein, and R. Jacob, 2012: A new flexible coupler for earth system

745 modeling developed for CCSM4 and CESM1. *Int. J. High Perform. Comp. Appl*, 26(1), 31–42,
746 <http://dx.doi.org/doi:10.1177/1094342011428141>

747 da Silva, A., M. Suarez, G. Theurich/SAIC, C. DeLuca, 2013: Analysis of the relationship
748 between two ESMF Usability Layers: MAPL and NUOPC. Available online at:
749 http://www.earthsystemcog.org/site_media/projects/nuopc/paper_1401_nuopc_mapl.docx

750 David, O., J.C. Ascough II, G.H. Leavesley, L. Ahuja, 2010: Rethinking Modeling Framework
751 Design: Object Modeling System 3.0. *International Environmental Modelling and Software*
752 *Society (iEMSs) 2010 International Congress on Environmental Modelling and Software*
753 *Modelling for Environment's Sake*, Fifth Biennial Meeting, Ottawa, Canada. David A. Swayne,
754 Wanhong Yang, A. A. Voinov, A. Rizzoli, T. Filatova (Eds.). Available online at:
755 <http://www.iemss.org/iemss2010/index.php?n=Main.Proceeding>

756 Dickinson, R., S. Zebiak, J. L. Anderson, M. L. Blackmon, C. DeLuca, T. F. Hogan, M. Iredell,
757 M. Ji, R. B. Rood, M. J. Suarez, K. E. Taylor, 2002: How Can We Advance Our Weather and
758 Climate Models as a Community? *Bull. Amer. Meteor. Soc.*, **83**, 431-434.

759 Doyle, J.D., Y. Jin, R. Hodur, S. Chen. Y. Jin. J. Moskaitis, S. Wang, E.A. Hendricks, H. Jin,
760 T.A. Smith, 2014: Tropical cyclone prediction using COAMPS-TC. *Oceanography*, **27**, 92-103.

761 Dunlap, R., 2014: The Cupid Integrated Development Environment for Earth System Models
762 Feature Overview and Tutorial. Available online at:
763 https://www.earthsystemcog.org/site_media/projects/cupid/cupid_0.1beta.pdf

764 Dunlap, R., M. Vertenstein, S. Valcke, and A. Craig, 2014: Second Workshop on Coupling
765 Technologies for Earth System Models. *Bull. Amer. Meteor. Soc.*, **95**, ES34–ES38. doi:
766 <http://dx.doi.org/10.1175/BAMS-D-13-00122.1>

767 Eaton, B., J. Gregory, R. Drach, K. Taylor, S. Hankin, J. Caron, R. Signell, P. Bentley, G. Rappa,
768 H. Höck, A. Pamment, M. Juckes, 2011: NetCDF Climate and Forecast Conventions Version
769 1.6. Available online at: <http://cfconventions.org/>

770 Environmental Modeling Center, 2003: The GFS Atmospheric Model. *NCEP Office Note 442*,
771 *Global Climate and Weather Modeling Branch, EMC, Camp Springs, Maryland*. Available
772 online at: <http://www.emc.ncep.noaa.gov/officenotes/newernotes/on442.pdf>

773 Fuller-Rowell, T.J., D. Rees, S. Quegan, R.J. Moffett, M.V. Codrescu, and G.H. Millward, 1996:
774 STEP Handbook on Ionospheric Models (ed. R.W. Schunk), Utah State University.

775 Giraldo, F.X., J.F. Kelly and E.M. Constantinescu, 2013: Implicit-Explicit Formulations for a 3D
776 Nonhydrostatic Unified Model of the Atmosphere (NUMA). *SIAM J. Sci. Comp.* **35**(5), B1162-
777 B1194.

778 Goodall, J. L., K. D. Saint, M. B. Ercan, L. J. Baily, S. Murphy, C. DeLuca, R. B. Rood, (2013):
779 Coupling climate and hydrological models: Interoperability through Web services.,
780 *Environmental Modelling & Software*, **46**, 250-259. doi:
781 <http://dx.doi.org/10.1016/j.envsoft.2013.03.019>

782 Gochis, D.J., W. Yu, D.N. Yates, 2013: The WRF-Hydro model technical description and user's
783 guide, version 1.0. NCAR Technical Document. 120 pages. Available online at:
784 http://www.ral.ucar.edu/projects/wrf_hydro/

785 Goddard Space Flight Center, 1997: The GEOS-3 Data Assimilation System. *DAO Office Note*
786 *97-06, Office Note Series on Global Modeling and Data Assimilation*.

787 Griffies, S., 2012: Elements of the Modular Ocean Model. *GFDL Ocean Group Technical*

788 *Report No. 7.* Available online at: <http://mom-ocean.org/web>

789 Grumbine, R, 2013: Keeping Ice's Simplicity: A Modeling Start. Technical Note. Available
790 online at: http://polar.ncep.noaa.gov/mmab/papers/tn314/MMAB_314.pdf

791 Halliwell Jr., G.R., R. Bleck, and E.P. Chassignet, 1998: Atlantic ocean simulations performed
792 using a new Hybrid Coordinate Ocean Model (HYCOM). *EOS*, AGU Fall Meeting.

793 Halliwell, Jr., G.R., R. Bleck, E.P. Chassignet, and L.T Smith, 2000: Mixed layer model
794 validation in Atlantic ocean simulations using the Hybrid Coordinate Ocean Model (HYCOM).
795 *EOS*, **80**, OS304.

796 Hill, C., C. DeLuca, V. Balaji, M. Suarez, and A. da Silva, 2004: Architecture of the Earth
797 System Modeling Framework. *IEEE Comput. Sci. Eng.*, **6**(1), 18-28.

798 Hodur, R.M., 1997: The Naval Research Laboratory's Coupled Ocean/Atmosphere Mesoscale
799 Prediction System (COAMPS). *Mon. Wea. Rev.*, **125**, 1414–1430.

800 Hogan, T.F., M. Liu, J.A. Ridout, M.S. Peng, T.R. Whitcomb, B.C. Ruston, C.A. Reynolds, S.D.
801 Eckermann, J.R. Moskaitis, N.L. Baker, J.P. McCormack, K.C. Viner, J.G. McLay, M.K. Flatau,
802 L. Xu, C. Chen, and S.W. Chang, 2014: The Navy Global Environmental Model. *Oceanography*
803 **27**(3), 116-125, doi: <http://dx.doi.org/10.5670/oceanog.2014.73>

804 Hunke, E. C. and W. H. Lipscomb, 2008: *CICE: The Los Alamos Sea Ice Model. Documentation*
805 *and Software User's Manual. Version 4.0.* T-3 Fluid Dynamics Group, Los Alamos National
806 Laboratory, Tech. Rep. LA-CC-06-012.

807 Hurrell, J.W., M.M. Holland, P.R. Gent, S. Ghan, J.E. Kay, P.J. Kushner, J.-F. Lamarque, W.G.
808 Large, D. Lawrence, K. Lindsay, W.H. Lipscomb, M.C. Long, N. Mahowald, D.R. Marsh, R.B.

809 Neale, P. Rasch, S. Vavrus, M. Vertenstein, D. Bader, W. D. Collins, J. J. Hack, J. Kiehl, and S.
810 Marshall, 2013: The Community Earth System Model. *Bull. Amer. Meteor. Soc.*, **94**, 1339–1360,
811 doi: <http://dx.doi.org/10.1175/BAMS-D-12-00121.1>

812 Iredell, M, T. Black and W. Lapenta, 2014: The NOAA Environmental Modeling System at
813 NCEP, *Amer. Meteor. Soc. Annual Meeting*, Atlanta, GA.

814 Jacob, R. , J. Larson, E. Ong, 2005: MxN Communication and Parallel Interpolation in CCSM3
815 Using the Model Coupling Toolkit. *Int. J. High Perform. Comp. Appl.*, **19**(3), 293-307.

816 Janjic, Z., and R.L. Gall, 2012: Scientific documentation of the NCEP nonhydrostatic multiscale
817 model on the B grid (NMMB). Part 1 Dynamics. NCAR Technical Note NCAR/TN-489+STR,
818 doi: <http://dx.doi.org/10.5065/D6WH2MZX>

819 Kelly, J. F. and F.X. Giraldo, 2012: Continuous and Discontinuous Galerkin Methods for a
820 Scalable 3D Nonhydrostatic Atmospheric Model: limited-area mode, *J. Comp. Phys.*, **231**, 7988-
821 8008.

822 Kirtman, B. P., and co-authors, 2013: The North American Multi-Model Ensemble (NMME):
823 Phase-1 Seasonal-to-Interannual Prediction, Phase-2 Toward Developing Intra-Seasonal
824 prediction. *Bull. Amer. Meteor. Soc.*, doi: <http://dx.doi.org/10.1175/BAMS-D-12-00050.1>

825 Kirtman, B. P., E. K. Schneider, D. M. Straus, D. Min, R. Burgman, 2011: How weather impacts
826 the forced climate response. *Clim. Dyn.*, doi: 10.1007/s00382-011-1084-3.

827 Kirtman, B. P., D. M. Straus, D. Min, E. K. Schneider and L. Siqueira, 2009: Understanding the
828 link between weather and climate in CCSM3.0. *Geophys. Res. Lett.*, doi:
829 <http://dx.doi.org/10.1029/2009GL038389>

830 Kopera, M. A. and F.X. Giraldo, 2014: Analysis of Adaptive Mesh Refinement for IMEX
831 Discontinuous Galerkin Solutions of the Compressible Euler Equations with Application to
832 Atmospheric Simulations, *J. Comp. Phys.*, **275**, 92-117.

833 Lapenta, W., 2015: The Next Generation Global Prediction System. *Amer. Meteor. Soc. Annual*
834 *Meeting*, Phoenix, AZ.

835 Larson, J., R. Jacob, and E. Ong, 2005: The Model Coupling Toolkit: A New Fortran90 Toolkit
836 for Building Multiphysics Parallel Coupled Models. *Int. J. High Perform. Comp. Appl.*, **19**(3),
837 277-292.

838 Lawrence, B.N., V. Balaji, P. Bentley, S. Callaghan, C. DeLuca, S. Denvil, G. Devine, M.
839 Elkington, R. W. Ford, E. Guilyardi, M. Lautenschlager, M. Morgan, M.-P. Moine, S. Murphy,
840 C. Pascoe, H. Ramthun, P. Slavin, L. Steenman-Clark, F. Toussaint, A. Treshansky, and S.
841 Valcke, 2012: Describing Earth System Simulations with the Metafor CIM. *Geosci. Model Dev.*
842 *Discuss.*, **5**, 1669–1689.

843 Lu, J., E.P. Chassignet, J. Yin, V. Misra, and J.-P. Michael, 2013: Comparison of HYCOM and
844 POP models in the CCSM3.0 Framework. Part I: Modes of climate variability beyond ENSO.
845 *Climate Dyn.*, submitted.

846 Michael, J.-P., V. Misra, E.P. Chassignet, and J. Lu, 2013: Comparison of HYCOM and POP
847 models in the CCSM3.0 Framework. Part II: ENSO fidelity. *Climate Dyn.*, submitted.

848 Martin, P.J., C. N. Barron, L.F. Smedstad, T. J. Campbell, A.J. Wallcraft, R. C. Rhodes, C.
849 Rowley, T. L. Townsend, and S. N. Carroll, 2009: User’s Manual for the Nvay Coastal Ocean
850 Model (NCAOM) version 4.0. NRL Report NRL/MR/7320-09-9151, 68 pp.

851 McCarren, D., C. Deluca, G. Theurich, and S. A. Sandgathe, 2013: National Unified Operational
852 Prediction Capability(NUOPC), Common Model Architecture: Interoperability in operational
853 weather prediction. *Amer. Meteor. Soc. Annual Meeting*, Austin, Texas. Available online at:
854 <https://ams.confex.com/ams/93Annual/webprogram/Paper217354.html>

855 Millward, G. H., R. J. Moffett, S. Quegan, and T. J. Fuller-Rowell, 1996: STEP
856 Handbook on Ionospheric Models (ed. R.W. Schunk), Utah State University.

857 Molod, A., L. Takacs, M. Suarez, J. Bacmeister, I.-S. Song, and A. Eichmann, 2012: The
858 GEOS-5 Atmospheric General Circulation Model: Mean Climate and Development from
859 MERRA to Fortuna. Technical Report Series on Global Modeling and Data Assimilation, 28.

860 National Research Council, 1998: Capacity of U.S. Climate Modeling to Support Climate
861 Change Assessment Activities. *The National Academies Press*, Washington, DC.

862 National Research Council, 2001: Improving the Effectiveness of U.S. Climate Modeling. *The*
863 *National Academies Press*, Washington, DC.

864 National Research Council, 2012: A National Strategy for Advancing Climate Modeling. *The*
865 *National Academies Press*, Washington, DC.

866 National Unified Operational Prediction Capability Content Standards Committee, 2014:
867 NUOPC Layer Reference, ESMF v7.0.0*. Available online at:
868 <https://www.earthsystemcog.org/projects/nuopc/refmans>

869 Peckham, S., E., W.H. Hutton, B. Norris, 2013: A component-based approach to integrated
870 modeling in the geosciences: the design of CSDMS. *Comput. Geosci.*, **53**, 3-12.

871 Peckham, S. E., C. DeLuca, D. Gochis, J. Arrigo, A. Kelbert, E. Choi, R. Dunlap, 2014: Earth

872 System Bridge: Spanning Scientific Communities with Interoperable Modeling Frameworks,
873 AGU Fall Meeting, San Francisco, CA.

874 Rienecker, M.M., M.J. Suarez, R. Gelaro, R. Todling, J. Bacmeister, E. Liu, M.G. Bosilovich,
875 S.D. Schubert, L. Takacs, G.-K. Kim, S. Bloom, J. Chen, D. Collins, A. Conaty, A. da Silva, et
876 al., 2011: MERRA: NASA's Modern-Era Retrospective Analysis for Research and Applications.
877 *J. Climate*, **24**, 3624-3648. doi: <http://dx.doi.org/doi:10.1175/JCLI-D-11-00015.1>

878 Rogers, W.E., A.V. Babanin, and D.W. Wang. 2012: Observation-consistent input and
879 whitecapping-dissipation in a model for wind-generated surface waves: Description and simple
880 calculations. *Journal of Atmospheric Oceanic Technology* **29**(9):1,329–1,346.doi:
881 <http://dx.doi.org/10.1175/JTECH-D-11-00092.1>

882 Rood, R. B., J. L. Anderson, D. C. Bader, M. L. Blackmon, T. F. Hogan, P. K. Esborg, 2000:
883 High-End Climate Science: Development of Modeling and Related Computing Capabilities.
884 Technical Report to the Office of Science and Technology Policy.

885 Rosmond, T., 1992: The Design and Testing of the Navy Operational Global Atmospheric
886 Prediction System. *Wea. and Forecasting*, **7**(2), 262-272. doi: [http://dx.doi.org/10.1175/1520-0434\(1992\)007<0262:TDATOT>2.0.CO;2](http://dx.doi.org/10.1175/1520-0434(1992)007<0262:TDATOT>2.0.CO;2)

887

888 Sandgathe, S., D. Sedlacek, M. Iredell, T.L. Black, T.B. Henderson, S.G. Benjamin, V. Balaji,
889 J.D. Doyle, M. Peng, R. Stocker, T.J. Campbell, L.P. Riishojgaard, M.J. Suarez, C. DeLuca, W.
890 Skamarock, W.P. O'Connor, 2009: Final Report From the National Unified Operational
891 Prediction Capability (NUOPC) Interim Committee On Common Model Architecture (CMA).
892 Available online at:
893 http://www.nws.noaa.gov/nuopc/CMA_Final_Report_1%20Oct%2009_baseline.pdf

894 Saha, S., S. Moorthi, X. Wu, J. Wang, S. Nadiga, P. Tripp, D. Behringer, Y. Hou, H. Chuang, M.
895 Iredell, M. Ek, J. Meng, R. Yang, M.P. Mendez, H. van den Dool, Q. Zhang, W. Wang, M.
896 Chen, and E. Becker, 2014: The NCEP Climate Forecast System Version 2. *J. Climate*, **27**,
897 2185–2208.

898 Schmidt, G.A., R. Ruedy, J.E. Hansen, I. Aleinov, N. Bell, M. Bauer, S. Bauer, B. Cairns, V.
899 Canuto, Y. Cheng, A. Del Genio, G. Faluvegi, A.D. Friend, T.M. Hall, Y. Hu, M. Kelley, N.Y.
900 Kiang, D. Koch, A.A. Lacis, J. Lerner, K.K. Lo, R.L. Miller, L. Nazarenko, V. Oinas, J.P.
901 Perlwitz, Ju. Perlwitz, D. Rind, A. Romanou, G.L. Russell, Mki. Sato, D.T. Shindell, P.H. Stone,
902 S. Sun, N. Tausnev, D. Thresher, and M.-S. Yao, 2006: Present day atmospheric simulations
903 using GISS ModelE: Comparison to in-situ, satellite and reanalysis data. *J. Climate* **19**, 153-192.

904 Smith, T.A., S. Chen, T. Campbell, P. Martin, W. E. Rogers, S. Gaberšek, D. Wang, S. Carroll,
905 R. Allard, 2013: Ocean–wave coupled modeling in COAMPS-TC: A study of Hurricane Ivan
906 (2004). *Ocean Modelling*, 69, 181–194. doi: <http://dx.doi.org/10.1016/j.ocemod.2013.06.003>

907 Stan, C., B. P. Kirtman, 2008: The influence of atmospheric noise and uncertainty in ocean
908 initial conditions on the limit of predictability in a coupled GCM. *J. Climate* **21**(14), 3487-3503.

909 Suarez, M., A. Trayanov, A. da Silva, C. Hill, 2007: An introduction to MAPL. Available online
910 at: https://modelingguru.nasa.gov/servlet/JiveServlet/download/1118-9-1053/MAPL_Intro.pdf

911 Taylor, K.E., R.J. Stouffer, G.A. Meehl, 2012: An Overview of CMIP5 and the experiment
912 design. *Bull. Amer. Meteor. Soc.*, **93**, 485-498, doi: [http://dx.doi.org/10.1175/BAMS-D-11-](http://dx.doi.org/10.1175/BAMS-D-11-00094.1)
913 [00094.1](http://dx.doi.org/10.1175/BAMS-D-11-00094.1)

914 Tolman, H., 2002: User manual and system documentation of WAVEWATCH-III version 2.22.
915 NOAA / NWS / NCEP / MMAB Technical Note 222, 133 pp.

916 Valcke, S., V. Balaji, A. Craig, C. DeLuca, R. Dunlap, R. W. Ford, R. Jacob, J. Larson, R.
917 O’Kuinghttons, G.D. Riley, and M. Vertenstein, 2012: Coupling technologies for Earth System
918 Modelling, *Geosci. Model Dev.*, 5, 1589–1596, <http://dx.doi.org/10.5194/gmd-5-1589-2012>

919 Valcke, S., 2013: The OASIS3 coupler: a European climate modelling community software,
920 *Geosci. Model Dev.*, 6, 373-388, doi: <http://dx.doi.org/10.5194/gmd-6-373-2013>

921 Washington, W.M., J.W. Weatherly, G.A. Meehl, A.J. Semtner Jr., T.W. Bettge, A.P. Craig,
922 W.G. Strand Jr., J. Arblaster, V.B. Wayland, R. James, and Y. Zhang, 2000: Parallel climate
923 model (PCM) control and transient simulations. *Clim. Dyn.*, **16**, 755-774.

924

925 **FIGURE CAPTION LIST**



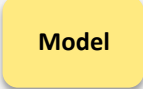

926 Figure 1. Image a shows a simple atmosphere-ocean coupling; image b shows a coupled wave
927 application based on the Navy COAMPS model, with a direct connection between ocean and
928 wave components. In codes implemented using NUOPC Layer generic components, a driver
929 (blue box) executes a run sequence that invokes models (yellow boxes), mediators (red box), and
930 connectors (green arrows).

931 Figure 2. Sample NEMS configure file. This configure file is read by the NEMS driver as a way
932 of setting up the run sequence. The layout of components on hardware resources is given at the
933 top of the file. The run sequence invokes connectors, mediators, and models, and can
934 accommodate multiple coupling timesteps. This file format is currently specific to NEMS and is
935 not part of the NUOPC specification.

936 Figure 3. Excerpt of output from HYCOM running in the Component Explorer with the
937 Compliance Checker turned on. This snippet shows the initialize and run phases of the driver,
938 and fields that it expects to import.

939 Figure 4. A screenshot of Eclipse with the Cupid plugin. The blue box highlights the Project
940 Explorer, which shows the directory structure of the model application and its associated files.
941 The green box highlights the Fortran code editor. The red box highlights the NUOPC View,
942 which shows the outline of the code in the editor, including NUOPC components and
943 specialization points. The NUOPC View shows any NUOPC compliance issues found and
944 allows the developer to generate NUOPC code templates. Finally, the orange box highlights the
945 console, which displays output from model compilation and execution.

946 Figure 5. NEMS will include both regional and global models, and modeling components
947 representing atmosphere, ocean, sea ice, wave, the ionosphere/plasmasphere, and hydraulics.
948 Land is currently part of the atmosphere component.

Table 1. NUOPC GENERIC COMPONENTS	
	Harness that initializes components according to an <i>Initialization Phase Definition</i> , and drives their Run() methods according to a customizable run sequence.
	Implements field matching based on standard metadata and executes simple transforms (e.g. grid remapping, redistribution). It can be plugged into a generic Driver component to connect Models and/or Mediators.
	Wraps model code so it is suitable to be plugged into a generic Driver component.
	Wraps custom coupling code (flux calculations, averaging, etc.) so it is suitable to be plugged into a generic Driver component.

955

Table 2. ESPS COUPLED MODELING SYSTEMS

	NEMS	COAMPS	NavGEM	GEOS-5	ModelE	CESM
Model Driver	●	●	●	●	●	●
ATMOSPHERE MODELS						
GSM	●					
NMMB	●					
CAM						●
FIM	●					
GEOS-5 Atmosphere				●		
ModelE Atmosphere					●	
COAMPS Atmosphere		●				
NavGEM			●			
NEPTUNE			●			
OCEAN MODELS						
MOM5	●			●		
HYCOM	●		●		●	
NCOM		●				
POP						●
POM	●					
SEA ICE MODELS						
CICE	●		●	●	●	
KISS	●					
OCEAN WAVE MODELS						
WW3	●	●		●		
SWAN		●				

LEGEND

- Components are NUOPC compliant and the technical correctness of data transfers in a coupled system has been validated.
- Components and coupled systems are partially NUOPC compliant.

Abbreviations:

- CAM:** Community Atmosphere Model
- CESM:** Community Earth System Model
- CICE:** Los Alamos Community Ice CodE
- COAMPS:** Coupled Atmosphere-Ocean Mesoscale Prediction - System
- FIM:** Flow-Following Finite volume Icosahedral Model
- GEOS-5:** Goddard Earth Observing System Model, Version 5
- GSM:** Global Spectral Model
- HYCOM:** HYbrid Coordinate Ocean Model
- KISS:** Keeping Ice'S Simplicity
- MOM5:** Modular Ocean Model 5
- NavGEM:** Navy Global Environmental Model
- NCOM:** Navy Coastal Ocean Model
- NEMS:** NOAA Environmental Modeling System
- NEPTUNE:** Navy Environmental Prediction sysTem Utilizing the NUMA corE
- NMMB:** Non-hydrostatic Multiscale Model (B grid)
- POM:** Princeton Ocean Model
- POP:** Parallel Ocean Program model
- SWAN:** Simulating Waves Nearshore
- WW3:** WaveWatch III

Table 3. ESMF AND NUOPC DEVELOPMENT TOOLS

	Acts on	Analysis mode	Main uses
Compliance Checker	One or multiple components	Dynamic	Analyze interactions of components during run.
Component Explorer	One component	Dynamic	Assess compliance of a candidate component.
Cupid IDE	One or multiple components	Static	User training and interactive assistance with creating compliant components.

1002

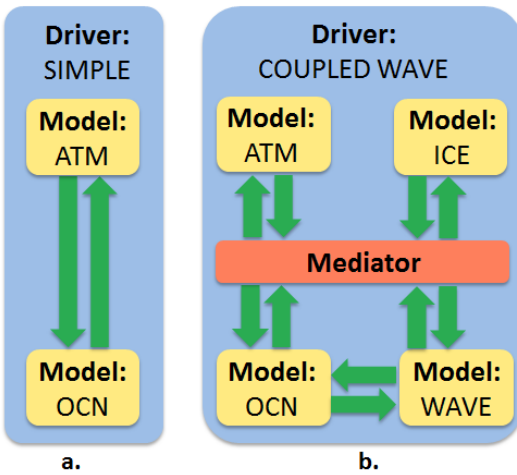


Figure 1. Image a shows a simple atmosphere-ocean coupling; image b shows a coupled wave application modeled on the Navy COAMPS model, with a direct connection between ocean and wave components. In codes implemented using NUOPC Layer generic components, a driver (blue box) executes a run sequence that invokes models (yellow boxes), mediators (red box), and connectors (green arrows).

```

#####
# NEMS Run-Time Configuration File #
#####
# MED #
med_model:      nems
med_petlist_bounds: 60 65

#ATM#
atm_model:      gsm
atm_petlist_bounds: 0 31

# OCN #
ocn_model:      mom5
ocn_petlist_bounds: 32 55

# ICE #
ice_model:      cice
ice_petlist_bounds: 56 59

# Run Sequence #
runSeq::
  @7200.0
  OCN -> MED
  MED MedPhase_slow
  MED -> OCN
  OCN
  @3600.0
  MED MedPhase_fast_before
  MED -> ATM
  MED -> ICE
  ATM
  ICE
  ATM -> MED
  ICE -> MED
  MED MedPhase_fast_after
  @
  @
  ::

```

Processor layout

Colors show actions performed by:
 • Connectors (->)
 • Mediator (MED)
 • Models
 (@) indicates coupling timesteps

Figure 2. Sample NEMS configure file. This configure file is read by the NEMS driver as a way of setting up the run sequence. The layout of components on hardware resources is given at the top of the file. The run sequence invokes connectors, mediators, and models, and can accommodate multiple coupling timesteps. This file format is currently specific to NEMS and is not part of the NUOPC specification.

```

327 INFO PET0 explorerApp STARTING
365 INFO PET0 COMPLIANCECHECKER:|->:explorerDriver:>START register compliance check.
365 INFO PET0 COMPLIANCECHECKER:|->:explorerDriver: phase ZERO for Initialize registered.
373 INFO PET0 COMPLIANCECHECKER:|->:explorerDriver: 2 phase(s) of Initialize registered.
373 INFO PET0 COMPLIANCECHECKER:|->:explorerDriver: 1 phase(s) of Run registered.
373 INFO PET0 COMPLIANCECHECKER:|->:explorerDriver: 1 phase(s) of Finalize registered.
373 INFO PET0 COMPLIANCECHECKER:|->:explorerDriver:>STOP register compliance check.
380 INFO PET0 explorerDriver - Creating model component Component without petList.
421 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState name: modelComp 1 Import State
421 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState stateintent: ESMF_STATEINTENT_IMPORT
421 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: State level attribute check: convention: 'NUOPC',
purpose: 'General'.
421 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: State level attribute: <Namespace> present and set:
Component
421 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState itemCount:                22
421 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState item #  1 [FIELD] name:friction_speed
422 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState item #  6 [FIELD] name:mean_prec_rate
422 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState item #  7 [FIELD]
name:sea_ice_temperature
422 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState item #  8 [FIELD] name:sea_ice_thickness
422 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState item #  9 [FIELD]
name:sea_ice_x_velocity
422 INFO PET0 COMPLIANCECHECKER:|<-:HYCOM: importState item # 10 [FIELD]
name:sea_ice_y_velocity

```

Figure 3. Excerpt of output from HYCOM running in the Component Explorer with the Compliance Checker turned on. This snippet shows the initialize and run phases of the driver, and fields that it expects to import.

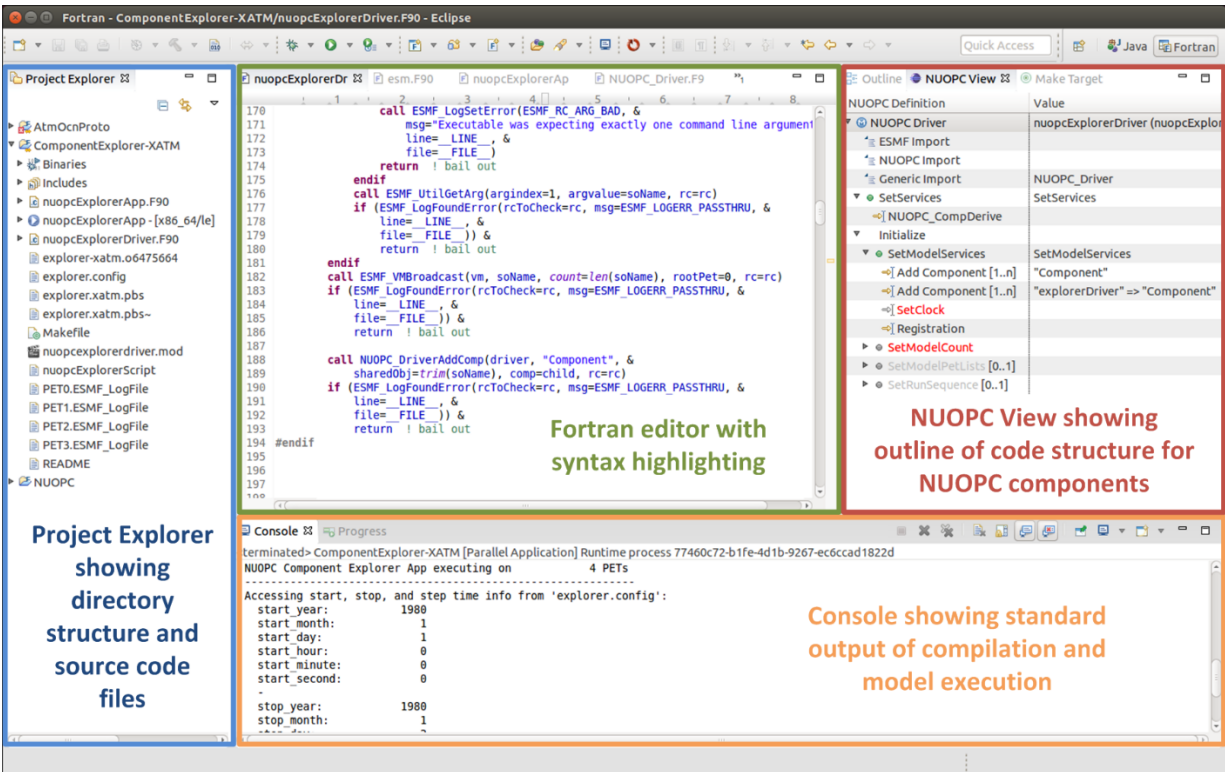


Figure 4. A screenshot of Eclipse with the Cupid plugin. The blue box highlights the Project Explorer, which shows the directory structure of the model application and all its files. The green box highlights the Fortran code editor. The red box highlights the NUOPEC View, which shows the outline of the code in the editor, including NUOPEC components and specialization points. The NUOPEC View shows any NUOPEC compliance issues found and allows the developer to generate NUOPEC code templates. Finally, the orange box highlights the console, which displays output from model compilation and execution.

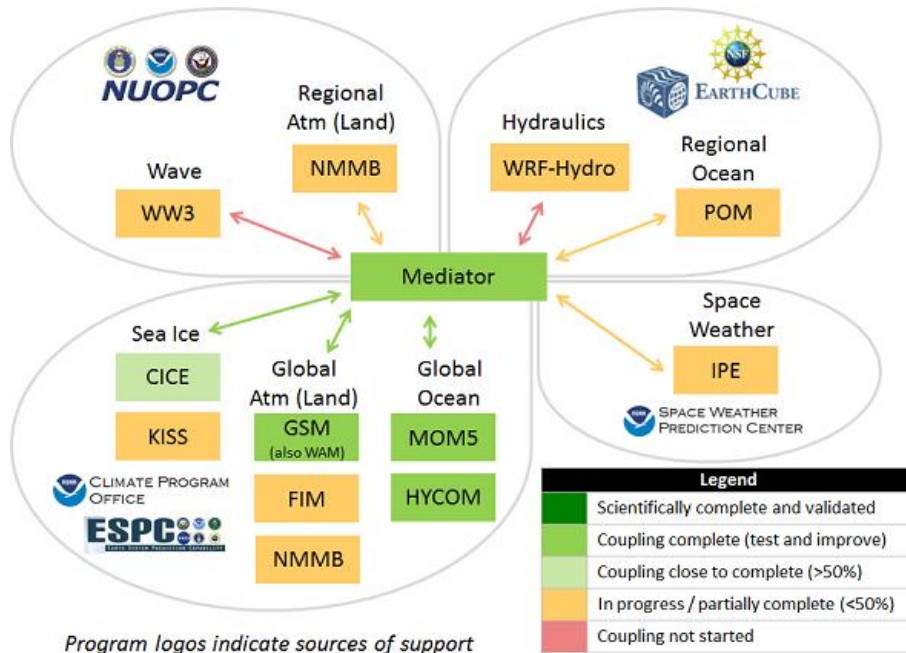


Figure 5. NEMS will include both regional and global models, and modeling components representing atmosphere, ocean, sea ice, wave, the ionosphere/plasmasphere, and hydraulics. Land is currently part of the atmosphere component.

1008