

## A Note on Practical Evaluation of Budgets in ECCO Version 4 Release 3

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<sup>1</sup>Note that this document updates an [earlier version](#) by including more up-to-date links.

# 1 Introduction

[Estimating the Circulation and Climate of the Ocean](#) Version 4 (ECCOv4) is a new-generation estimate of the global ocean and sea-ice state (Forget et al. 2015). The estimate constitutes a solution to an ocean general circulation model, constrained to most available ocean data (altimetry, floats, etc.) using advanced inverse techniques. The ocean model solution describes the full-depth, three-dimensional, time-evolving oceanic state, including its changing sea level, heat, and salt content, among other state variables. The new ECCOv4 Release 3 solution covers the 1992–2015 period. See Forget et al. (2015) for more details on the ECCOv4 framework.

An important aspect is that, while constrained to data, the state estimate retains physical consistency. In other words, the solution exactly obeys conservation laws encoded in the model, and there are no nonphysical sources or sinks of volume, heat, salt, etc. This feature of the state estimate solution facilitates meaningful analysis of property budgets on the model grid, allowing changes in sea level, heat, salt content, etc., to be attributed unambiguously to the underlying causal mechanisms. For a recent example of budget studies using ECCOv4, see Thompson et al. (2016) for heat content in the Indian Ocean.

## 1.1 Scope

In what follows, we provide a basic outline, giving practical guidance for evaluating property budgets offline using available monthly ECCOv4 model diagnostic output. Importantly, note that methods described here are intended for analysis of model output on its native spatial grid (see sections 2 and A.1). Such methods are not appropriate for analysis of spatially interpolated model diagnostics, which are provided for convenience but not usable to evaluated budgets.

We emphasize that the (continuous and discretized) forms of the conservation equations presented here reflect the particular model configuration choices employed in ECCOv4 and described below in section 3. Therefore, the methods given below may not be appropriate for closing budgets under different model configuration choices. For example, a separate memo ([Heat\\_Salt\\_Budget\\_MITgcm.pdf](#)) discusses budgets for an earlier setup model setup (i.e., using different choices for the free surface condition and vertical coordinate).

## 2 Obtaining ECCOv4 Release 3

The ECCOv4 Release 3 solution can be downloaded from the [ECCO Drive](#) hosted by the Jet Propulsion Laboratory Physical Oceanography Distributed Active Archive Center. These files are also available from the [Texas Advanced Computing Center](#) of the University of Texas at Austin. The solution is in the form of monthly diagnostics, including basic ocean state variables (temperatures, salinities, velocities, etc.), surface forcing fields (e.g., wind stresses, heat fluxes), as well as other quantities needed for more advanced calculations and applications (advection and diffusion of temperature and salinity, bolus transport streamfunction, etc.). Specific model diagnostics needed for closing budgets for heat, salt, volume, etc., can be downloaded from the following two subdirectories—

- [/nctiles\\_monthly/](#)
- [/nctiles\\_monthly\\_snapshots/](#)

Note that model diagnostics can have large file sizes. For example, the full monthly potential temperature solution (THETA) is  $\sim 10$  GB.

Output diagnostics are provided in the form of NetCDF tiles, or `nctiles`. For a particular state variable (e.g., salinity, temperature, velocity), there are 13 such `nctiles`, each holding a horizontal “tile” of the full state estimate solution. The full solution is thus reconstituted by concatenating the `nctiles` together. The rationale for using this form of diagnostics is discussed in Appendix C of Forget et al. (2015).

## 3 Model Configuration

In the sections that follow, we introduce the conservation equations (budgets) used in ECCOv4, and how these budgets can be evaluated using model output in the context of offline analyses. However, the reader should note that the nature of the tracer conservation equations and surface boundary conditions used in ocean models can be sensitive to the details of model configuration. Thus, it is necessary first to discuss some details of the ECCOv4 model setup. Here we provide a brief outline. More detailed discussion is found in Section 3 of Forget et al. (2015).

The ECCOv4 state estimates are solutions to the MIT general circulation model, or `MITgcm` (Marshall et al. 1997). The particular configuration solves the primitive equations for the case

Parameter choice	Explanation
<code>implicitDiffusion=.TRUE.,</code>	Implicit vertical diffusion
<code>useRealFreshWaterFlux=.TRUE.,</code>	Real surface freshwater exchange
<code>select_rStar=2,</code>	Choice of rescaled vertical coordinate
<code>nonlinFreeSurf=4,</code>	Choice of nonlinear free surface
<code>implicitFreeSurface=.TRUE.,</code>	Implicit free surface
<code>exactConserv=.TRUE.,</code>	Exact conservation of global ocean volume
<code>tempAdvScheme=30,</code>	Multidimensional temperature advection
<code>saltAdvScheme=30,</code>	Multidimensional salt advection
<code>tempVertAdvScheme=3,</code>	Third-order vertical temperature advection
<code>saltVertAdvScheme=3,</code>	Third-order vertical salt advection
<code>tempImplVertAdv=.TRUE.,</code>	Implicit vertical temperature advection
<code>saltImplVertAdv=.TRUE.,</code>	Implicit vertical salt advection
<code>staggerTimeStep=.TRUE.,</code>	Staggered time step
<code>vectorInvariantMomentum=.TRUE.,</code>	Vector invariant momentum equations

Table 1: Model parameters (PARM01) in MITgcm configuration data file. See the [MITgcm user manual](#) for more general details.

71 of a Boussinesq, hydrostatic ocean. The model uses a nonlinear free surface and real freshwater  
72 exchanges. The model also uses a staggered time step, a vector-invariant form of the momentum  
73 equations, third-order Adams-Bashforth time-stepping (for advection and Coriolis terms in the  
74 momentum budget), direct space time (multidimensional) scheme for tracer advection, implicit  
75 tracer vertical advection and diffusion, and third-order vertical tracer advection. Key parameter  
76 choices related to this model configuration are given in Table 1.

77 The primitive equations are expressed in terms of a rescaled height coordinate,

$$z^* = \frac{z - \eta(x, y, t)}{H(x, y) + \eta(x, y, t)} H(x, y). \quad (1)$$

78 Here  $z$  is the unscaled vertical coordinate,  $\eta$  is surface height (at the air-sea or ice-sea interface),  
79 and  $H$  is ocean depth (Adcroft and Campin 2004). Note that the range of this rescaled height  
80 coordinate is  $z^* \in [-H, 0]$ . That is, the upper surface boundary in  $z^*$  is time invariant.

Diagnostic	Temporal	Description (Units)
ETAN	Snapshot	Surface height anomaly (m)
oceFWflx	Average	Net surface freshwater flux into the ocean ( $\text{kg m}^{-2} \text{s}^{-1}$ )
UVELMASS	Average	Zonal mass-weighted component of velocity ( $\text{m s}^{-1}$ )
VVELMASS	Average	Meridional mass-weighted component of velocity ( $\text{m s}^{-1}$ )
WVELMASS	Average	Vertical mass-weighted component of velocity ( $\text{m s}^{-1}$ )

Table 2: MITgcm diagnostics required to evaluate the vertically integrated volume budget.

## 4 Budgets Evaluated for Extensive Quantities

### 4.1 Volume Conservation

The equation for volume conservation (continuity) in the  $z^*$  reference frame is, in its continuous form (see equation 3 in Forget et al. 2015),

$$\underbrace{\frac{1}{H} \frac{\partial \eta}{\partial t}}_{G^{\eta, tot}} = \underbrace{-\nabla_{z^*} (s^* \mathbf{v}) - \frac{\partial w}{\partial z^*}}_{G^{\eta, conv}} + \underbrace{s^* \mathcal{F}}_{G^{\eta, forc}}, \quad (2)$$

Here  $s^* = 1 + \eta/H$  is a scale factor,  $\nabla_{z^*}$  and  $\partial/\partial z^*$  are horizontal and vertical divergences in the  $z^*$  frame, respectively,  $\mathbf{v} = (u, v)$  and  $w$  are the resolved horizontal and vertical velocities, respectively, and  $\mathcal{F}$  is proportional to the volumetric freshwater flux forcing.

Taking into account time stepping scheme (Table 1), the discretized version of equation (2) diagnosed by the model and relating the updated state ( $\eta^{n+1}, \mathbf{v}^{n+1}, w^{n+1}$ ) at time  $t + \Delta t$  to the current state ( $\eta^n, \mathbf{v}^n, w^n$ ) at time  $t$  is (see equation B4 in Forget et al. 2015),

$$\frac{1}{H} \frac{\eta^{n+1} - \eta^n}{\Delta t} = -\nabla_{z^*} (s^{*n} \mathbf{v}^{n+1}) - \frac{\partial w^{n+1}}{\partial z^*} + s^{*n} \mathcal{F}^{n+1/2}, \quad (3)$$

where superscript denotes the time step corresponding to the particular variable.

Note that the forms of budgets (2) and (3) here for volume (and below for heat and salt) are that of total tendency ( $G^{\eta, tot}$ ) on the left hand side (LHS) being balanced by the sum of ocean transport convergences ( $G^{\eta, conv}$ ) and sea surface forcing ( $G^{\eta, forc}$ ) on the right hand side (RHS). In the context of offline analysis, given a particular time period of interest, LHS tendency terms are evaluated based on *temporal snapshot* (or instantaneous) model output corresponding to the beginning and end of that time period, while RHS convergence and forcing terms are assessed using *temporal average* model output taken over the time interval.

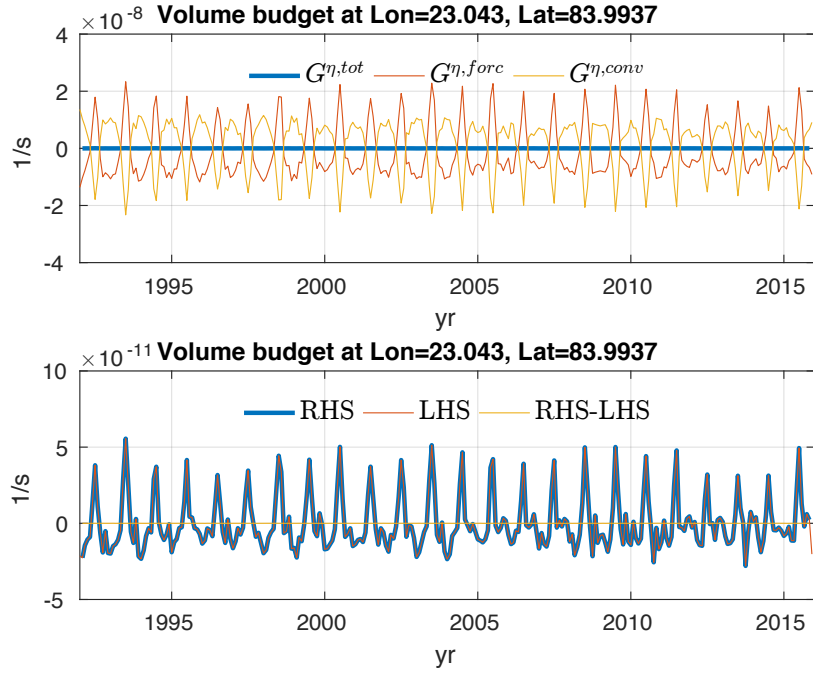


Figure 1: Volume budget for an arbitrary surface grid cell. Top panel shows the individual terms in the budget equation (2). Bottom panel shows the LHS, RHS, and difference between LHS and RHS terms in the budget. The good agreement between RHS and LHS (e.g., the ratio of the standard deviation of the residual to the standard deviation of the tendency here is  $\mathcal{O}(10^{-3})$ ) demonstrates practical closure of the budget.

99 Table 2 lists the MITgcm diagnostics needed to evaluate the volume budget in offline analysis,  
 100 while Algorithm (1) provides example pseudocode for closing the budget. (We give more specific  
 101 Matlab code for evaluation of the volume budget in the Appendix.) An example volume budget  
 102 for an arbitrary grid cell based on output in Table 2 is shown in Figure 1.

103 Note that there is very good agreement between the independently evaluated LHS tendency  
 104 term and the sum of RHS convergence and forcing terms in Figure 1. More quantitatively,  
 105 averaged over the global ocean surface in the first vertical layer ( $k = 1$ ), the ratio of the  
 106 standard deviation of the residual (LHS–RHS) to the tendency (LHS) in equation (2) using  
 107 methods presented here is  $\mathcal{O}(10^{-2})$ . [Note that budget closure checks are routinely carried out  
 108 as part of the “standard analysis” described in the supplement to Forget et al. (2015).] Similar  
 109 results are seen for the cases of example heat and salt budgets shown below in Figures 2 and 3.  
 110 This shows that, provided they are evaluated correctly, the RHS fluxes computed from monthly  
 111 averages should match the LHS tendency calculated from instantaneous snapshots. (Indeed,  
 112 the instantaneous snapshots are made available precisely to facilitate such offline consistency  
 113 checks.)

---

**Algorithm 1 : Evaluating the volume budget.** Subscripts  $i, j, k$  denote spatial positions in  $x, y, z$ , respectively (except for the Kronecker delta  $\delta_{a,b}$ ). The other terms are grid parameters:  $H$  is water column depth (Depth),  $h$  is grid cell relative thickness (**hFacC**),  $\Delta x$  is horizontal thickness of grid cell southern edge (**DXG**),  $\Delta y$  is horizontal thickness of grid cell western edge (**DYG**), and  $\Delta z$  is grid cell vertical thickness (**DRF**). For more general details on grid parameters, see [MITgcm user manual](#) Chapter 2. NetCDF files of grid parameters for ECCOV4 can be downloaded from the [ECCO Drive](#).

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```

1.  1: for  $t = t_1, t_2, \dots, t_{T-1}, t_T$  do                                ▷ Loop over  $T$  time steps (months)  $t$ 
2:       $F_{i,j} = \text{oceFWflx} \{t\}$                                           ▷ 2-D average freshwater flux over month  $t$ 
3:       $U_{i,j,k} = \text{UVELMASS} \{t\}$                                        ▷ 3-D average zonal velocity over month  $t$ 
4:       $V_{i,j,k} = \text{VVELMASS} \{t\}$                                        ▷ 3-D average meridional velocity over month  $t$ 
5:       $W_{i,j,k} = \text{WVELMASS} \{t\}$                                        ▷ 3-D average vertical velocity over month  $t$ 
6:       $N_{i,j}^{(0)} = \text{ETAN} \{t - \Delta t\}$                                ▷ 2-D surface height snapshot at start of month  $t$ 
7:       $N_{i,j}^{(f)} = \text{ETAN} \{t\}$                                          ▷ 2-D surface height snapshot at end of month  $t$ 
8:       $\rho_0 = 1029$                                                        ▷ Reference density ( $\text{kg m}^{-3}$ )
9:      for  $i = i_1, i_2, \dots, i_{I-1}, i_I$  do                             ▷ Loop over  $I$  longitude cells  $i$ 
10:         for  $j = j_1, j_2, \dots, j_{J-1}, j_J$  do                       ▷ Loop over  $J$  latitude cells  $j$ 
11:            for  $k = k_1, k_2, \dots, k_{K-1}, k_K$  do                   ▷ Loop over  $K$  vertical cells  $k$ 
12:                $G_{i,j,k}^{\eta, \text{tot}} = (N_{i,j}^{(f)} - N_{i,j}^{(0)}) / (H_{i,j} \Delta t)$ 
13:                $G_{i,j,k}^{\eta, \text{forc}} = \delta_{k,1} F_{i,j} / (\rho_0 h_{i,j,k} \Delta z_k)$ 
14:                $G_{i,j,k}^{\eta, \text{conv}H} = [(U_{i,j,k} \Delta y_{i,j} - U_{i+1,j,k} \Delta y_{i+1,j}) + (V_{i,j,k} \Delta x_{i,j} - V_{i,j+1,k} \Delta x_{i,j+1})] / (A_{i,j} h_{i,j,k})$ 
15:                $G_{i,j,k}^{\eta, \text{conv}V} = [(1 - \delta_{k,K}) W_{i,j,k+1} - (1 - \delta_{k,1}) W_{i,j,k}] / (h_{i,j,k} \Delta z_k)$ 
16:                $G_{i,j,k}^{\eta, \text{conv}} = G_{i,j,k}^{\eta, \text{conv}H} + G_{i,j,k}^{\eta, \text{conv}V}$ 
17:            end for
18:         end for
19:     end for
20: end for

```

---

## 4.2 Heat Conservation

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The heat conservation equation in  $z^*$  is (see equation 4 in Forget et al. 2015),

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$$\underbrace{\frac{\partial (s^* \theta)}{\partial t}}_{G^{\theta, \text{tot}}} = \underbrace{-\nabla_{z^*} (s^* \theta \mathbf{v}_{res}) - \frac{\partial (\theta w_{res})}{\partial z^*}}_{G^{\theta, \text{adv}}} + \underbrace{s^* \mathcal{F}_\theta}_{G^{\theta, \text{forc}}} + \underbrace{s^* D_\theta}_{G^{\theta, \text{diff}}}. \quad (4)$$

Here  $\theta$  is potential temperature,  $\mathbf{v}_{res} = (u_{res}, v_{res})$  and  $w_{res}$  are the total horizontal and vertical velocities, respectively,  $\mathcal{F}_\theta$  is total local forcing by surface heat exchanges, and  $D_\theta$  symbolizes

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parameterized diffusive mixing processes. Total velocities  $\mathbf{v}_{res}$  and  $w_{res}$  are sometimes called “residual mean” velocities. They contain both the resolved (Eulerian) flow field, as well as the “bolus” velocity, parameterizing unresolved eddy effects after Gent and McWilliams (1990). The diffusion term  $D_\theta$  contains both diapycnal and isopycnal components, as well as turbulence in the mixed layer (Gaspar et al. 1990) and convection. Forcing  $\mathcal{F}_\theta$  contains the latent, sensible, longwave, and shortwave components. Importantly, the shortwave radiative heat flux penetrates the water column vertically (see below).

Given the model time stepping, the discrete version of equation (4) relating the updated state  $(\eta^{n+1}, \mathbf{v}^{n+1}, w^{n+1}, \theta^{n+3/2})$  at time  $t + \Delta t$  to the current state  $(\eta^n, \mathbf{v}^n, w^n, \theta^{n+1/2})$  at time  $t$  is (see equation B5 in Forget et al. 2015),

$$\frac{s^{*n+1}\theta^{n+3/2} - s^{*n}\theta^{n+1/2}}{\Delta t} = \mathcal{A}(\theta, \mathbf{u}^{n+1} + \mathbf{u}_b^{n+1}) + s^{*n} \left( \mathcal{F}_\theta^{n+1} + D_{\sigma,\theta}^{n+1/2} + D_{\perp,\theta}^{n+3/2} \right). \quad (5)$$

Here  $\mathcal{A}()$  symbolizes the advection term,  $\mathbf{u} = (u, v, w)$  the full three-dimensional velocity,  $\mathbf{u}_b$  the bolus velocity, and subscripts  $\sigma$  and  $\perp$  are the isopycnal and diapycnal components of the diffusion term  $D_\theta$ , respectively.

Table 3 lists MITgcm diagnostics needed for evaluating monthly heat budgets with ECCOv4. Given the nature of the surface forcing term, we demonstrate evaluation of the heat budget in two parts. First, we deal with the total tendency term and ocean transport convergences. The operations sketched in Algorithm (2) for the tendency and transport terms in the heat budget are very similar to those given in Algorithm (1) for the analogous terms in the volume budget. (Note that we provide specific Matlab code for evaluation of the heat budget in the Appendix.)

Second, we tackle local surface heat flux forcing. To follow the relevant pseudocode outlined in Algorithm (3), one needs to understand how the MITgcm setup represents the local surface forcing term. In ECCOv4, shortwave radiation penetrates the water column vertically over the top 200 m as exponentially decaying Jerlov Type IA-2 water (Paulson and Simpson 1977),

$$Q^{sw}(z) = Q^{sw}(0) \frac{q_1 - q_2}{\Delta z}. \quad (6)$$

Here  $Q^{sw}(z)$  is the shortwave radiation penetrating to depth  $z$ ,  $\Delta z$  is the vertical thickness of



---

**Algorithm 2 : Evaluating the tendency and transport terms in the heat budget.** See Algorithm (1) caption for description of subscript indices, grid parameters, and other symbols. Readers interested in the details of these calculations as performed by the model are referred to the MITgcm subroutines `gad_calc_rhs.F` and `impldiff.F`.

---

```

1. 1: for  $t = t_1, t_2, \dots, t_{T-1}, t_T$  do                                ▷ Loop over  $T$  time steps (months)  $t$ 
2:    $U_{i,j,k} = \text{ADVx\_TH} \{t\}$                                           ▷ 3-D average zonal advection over month  $t$ 
3:    $V_{i,j,k} = \text{ADVy\_TH} \{t\}$                                           ▷ 3-D average meridional advection over month  $t$ 
4:    $W_{i,j,k} = \text{ADVr\_TH} \{t\}$                                           ▷ 3-D average vertical advection over month  $t$ 
5:    $\mathcal{U}_{i,j,k} = \text{DFxE\_TH} \{t\}$                                        ▷ 3-D average zonal diffusion over month  $t$ 
6:    $\mathcal{V}_{i,j,k} = \text{DFyE\_TH} \{t\}$                                        ▷ 3-D average meridional diffusion over month  $t$ 
7:    $\mathcal{W}_{i,j,k}^E = \text{DFyE\_TH} \{t\}$                                        ▷ 3-D average vertical diffusion (explicit) over month  $t$ 
8:    $\mathcal{W}_{i,j,k}^I = \text{DFyI\_TH} \{t\}$                                        ▷ 3-D average vertical diffusion (implicit) over month  $t$ 
9:    $N_{i,j}^{(0)} = \text{ETAN} \{t - \Delta t\}$                                     ▷ 2-D surface height snapshot at start of month  $t$ 
10:   $N_{i,j}^{(f)} = \text{ETAN} \{t\}$                                              ▷ 2-D surface height snapshot at end of month  $t$ 
11:   $T_{i,j,k}^{(0)} = \text{THETA} \{t - \Delta t\}$                                 ▷ 3-D temperature snapshot at start of month  $t$ 
12:   $T_{i,j,k}^{(f)} = \text{THETA} \{t\}$                                          ▷ 3-D temperature snapshot at end of month  $t$ 
13:   $v_{i,j,k} = h_{i,j,k} A_{i,j} \Delta z_k$                                   ▷ Grid volume
14:  for  $i = i_1, i_2, \dots, i_{I-1}, i_I$  do                                ▷ Loop over  $I$  longitude cells  $i$ 
15:    for  $j = j_1, j_2, \dots, j_{J-1}, j_J$  do                                ▷ Loop over  $J$  latitude cells  $j$ 
16:       $s_{i,j}^{*(0)} = \left( 1 + N_{i,j}^{(0)} / H_{i,j} \right)$ 
17:       $s_{i,j}^{*(f)} = \left( 1 + N_{i,j}^{(f)} / H_{i,j} \right)$ 
18:      for  $k = k_1, k_2, \dots, k_{K-1}, k_K$  do                                ▷ Loop over  $K$  vertical cells  $k$ 
19:         $G_{i,j,k}^{\theta,tot} = \left( T_{i,j,k}^{(f)} s_{i,j}^{*(f)} - T_{i,j,k}^{(0)} s_{i,j}^{*(0)} \right) / \Delta t$ 
20:         $G_{i,j,k}^{\theta,advH} = (U_{i,j,k} - U_{i+1,j,k} + V_{i,j,k} - V_{i,j+1,k}) / v_{i,j,k}$ 
21:         $G_{i,j,k}^{\theta,diffH} = (\mathcal{U}_{i,j,k} - \mathcal{U}_{i+1,j,k} + \mathcal{V}_{i,j,k} - \mathcal{V}_{i,j+1,k}) / v_{i,j,k}$ 
22:         $G_{i,j,k}^{\theta,advV} = [(1 - \delta_{k,K}) W_{i,j,k+1} - W_{i,j,k}] / v_{i,j,k}$ 
23:         $G_{i,j,k}^{\theta,diffV} = [(1 - \delta_{k,K}) (\mathcal{W}_{i,j,k+1}^E + \mathcal{W}_{i,j,k+1}^I) - \mathcal{W}_{i,j,k}^E - \mathcal{W}_{i,j,k}^I] / v_{i,j,k}$ 
24:         $G_{i,j,k}^{\theta,adv} = G_{i,j,k}^{\theta,advH} + G_{i,j,k}^{\theta,advV}$ 
25:         $G_{i,j,k}^{\theta,diff} = G_{i,j,k}^{\theta,diffH} + G_{i,j,k}^{\theta,diffV}$ 
26:      end for
27:    end for
28:  end for
29: end for

```

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Diagnostic	Time	Description (Units)
ETAN	Snapshot	Surface height anomaly (m)
THETA	Snapshot	Potential temperature ( $^{\circ}\text{C}$ )
TFLUX	Average	Total heat flux ( $\text{W m}^{-2}$ )
oceQsw	Average	Net shortwave radiation ( $\text{W m}^{-2}$ )
ADVr_TH	Average	Vertical advective flux of pot. temp. ( $^{\circ}\text{C m}^3 \text{s}^{-1}$ )
ADVx_TH	Average	Zonal advective flux of pot. temp. ( $^{\circ}\text{C m}^3 \text{s}^{-1}$ )
ADVy_TH	Average	Meridional advective flux of pot. temp. ( $^{\circ}\text{C m}^3 \text{s}^{-1}$ )
DFrI_TH	Average	Implicit vertical diffusive flux of pot. temp. ( $^{\circ}\text{C m}^3 \text{s}^{-1}$ )
DFrE_TH	Average	Explicit vertical diffusive flux of pot. temp. ( $^{\circ}\text{C m}^3 \text{s}^{-1}$ )
DFxE_TH	Average	Explicit zonal diffusive flux of pot. temp. ( $^{\circ}\text{C m}^3 \text{s}^{-1}$ )
DFyE_TH	Average	Explicit meridional diffusive flux of pot. temp. ( $^{\circ}\text{C m}^3 \text{s}^{-1}$ )

Table 3: MITgcm diagnostics required to evaluate the grid cell heat budget. In addition, to evaluate the globally averaged or deep ocean heat budget, the user needs the geothermal flux forcing file, as described below in section 4.2.1.

142 the grid cell centered on  $z$ , and  $q_1$  and  $q_2$  are functions of depth given by,

$$q_i = 0.62 \exp\left(\frac{z_i}{0.6}\right) + (1 - 0.62) \exp\left(\frac{z_i}{20}\right), \quad i \in \{1, 2\}, \quad z_i < 0 \quad (7)$$

143 where  $z_1$  ( $z_2$ ) is the depth of the “top” (“bottom”) of the vertical grid cell. Thus, to properly  
 144 evaluate the forcing term, the shortwave contribution (the `oceQsw` diagnostic) must be removed  
 145 from the total flux (the `TFLUX` diagnostic) and redistributed in the vertical following equations  
 146 (6) and (7).

147 Figure 2 shows an example heat budget at an arbitrary grid cell using output in Table 3.  
 148 Averaged over the global ocean surface in the first vertical layer ( $k = 1$ ), the ratio of the  
 149 standard deviation of the residual (LHS–RHS) to the tendency (LHS) in equation (4) using  
 150 methods presented here is  $\mathcal{O}(10^{-5})$ .

#### 151 4.2.1 Geothermal Flux

152 A final detail with respect to the heat budget is that, for grid cells on the seafloor,  $\mathcal{F}_\theta$  contains  
 153 a contribution from geothermal flux (Piecuch et al. 2015). This detail is of particular relevance  
 154 to readers interested in globally integrated or abyssal ocean heat budgets. This geothermal flux  
 155 contribution is not accounted for in any of the standard model diagnostics provided as output.  
 156 Rather, this term, which is time invariant, is provided in the input file `geothermalFlux.bin`  
 157 (and downloadable from [the ECCO directory listing](#)).

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**Algorithm 3 : Evaluating the forcing term in the heat budget.** See Algorithm (1) caption for description of subscript indices, grid parameters, and other symbols. Readers more interested in the details of these calculations as performed by the model are referred to the MITgcm subroutines `external_forcing.F` and `swfrac.F`.

---

```

1. 1: for  $t = t_1, t_2, \dots, t_{T-1}, t_T$  do                                ▷ Loop over  $T$  time steps (months)  $t$ 
2:    $Q_{i,j} = \text{TFLUX} \{t\}$                                              ▷ 2-D average total heat flux over month  $t$ 
3:    $S_{i,j} = \text{oceQsw} \{t\}$                                            ▷ 2-D average shortwave radiation over month  $t$ 
4:    $\rho_0 = 1029$                                                          ▷ Reference density ( $\text{kg m}^{-3}$ )
5:    $c_p = 3994$                                                            ▷ Heat capacity ( $\text{J kg}^{-1} \text{ }^\circ\text{C}^{-1}$ )
6:    $R = 0.62$                                                              ▷ Constant (cf. Paulson and Simpson 1977 Table 2)
7:    $\zeta_1 = 0.6$                                                          ▷ Constant (cf. Paulson and Simpson 1977 Table 2)
8:    $\zeta_2 = 20$                                                            ▷ Constant (cf. Paulson and Simpson 1977 Table 2)
9:   for  $k = k_1, k_2, \dots, k_{K-1}, k_K$  do                            ▷ Loop over  $K$  vertical cells  $k$ 
10:    if  $0 > z_k > -200$  then                                           ▷ If above 200 m depth
11:      $q_{1,k} = R \exp(z_{1,k}/\zeta_1) + (1 - R) \exp(z_{1,k}/\zeta_2)$ 
12:      $q_{2,k} = R \exp(z_{2,k}/\zeta_1) + (1 - R) \exp(z_{2,k}/\zeta_2)$ 
13:    else
14:      $q_{1,k} = 0$ 
15:      $q_{2,k} = 0$ 
16:    end if
17:  end for
18:  for  $i = i_1, i_2, \dots, i_{I-1}, i_I$  do                                ▷ Loop over  $I$  longitude cells  $i$ 
19:    for  $j = j_1, j_2, \dots, j_{J-1}, j_J$  do                            ▷ Loop over  $J$  latitude cells  $j$ 
20:      for  $k = k_1, k_2, \dots, k_{K-1}, k_K$  do                            ▷ Loop over  $K$  vertical cells  $k$ 
21:        if  $k = 1$  then
22:           $G_{i,j,k}^{\theta,forc} = \langle Q_{i,j} - [1 - (q_{1,k} - q_{2,k})] S_{i,j} \rangle / (\rho_0 c_p h_{i,j,k} \Delta z_k)$ 
23:        else
24:           $G_{i,j,k}^{\theta,forc} = [(q_{1,k} - q_{2,k}) S_{i,j}] / (\rho_0 c_p h_{i,j,k} \Delta z_k)$ 
25:        end if
26:      end for
27:    end for
28:  end for
29: end for

```

---

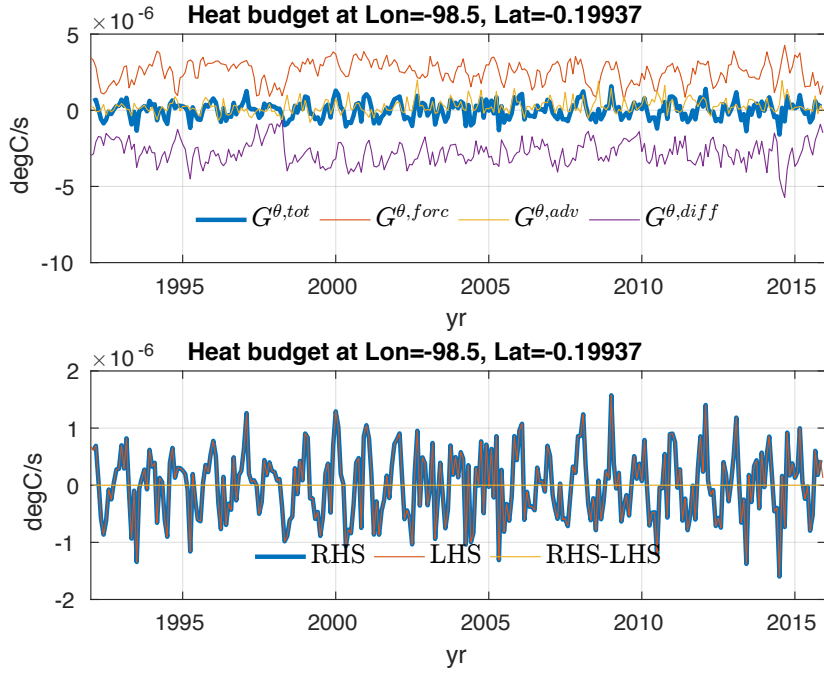


Figure 2: Heat budget for an arbitrary surface grid cell. Top panel shows the individual terms in the budget equation (4). Bottom panel shows the LHS, RHS, and difference between LHS and RHS terms in the budget. The good agreement between RHS and LHS (e.g., the ratio of the standard deviation of the residual to the standard deviation of the tendency here is  $\mathcal{O}(5 \times 10^{-6})$ ) demonstrates practical closure of the budget.

158 To demonstrate the relevance of this term in the global ocean heat budget, the horizontally  
 159 averaged value of the geothermal heating is  $0.095 \text{ W m}^{-2}$ . This is not negligible relative to the  
 160 average heating of the ocean in the ECCOv4 Release 3 solution over 1992–2015 ( $0.237 \text{ W m}^{-2}$ ).

161 To incorporate the geothermal contribution into the heat budget, one simply considers the  
 162 ocean bottom grid cells, and normalizes the heat flux by reference density, specific heat capacity,  
 163 and the vertical thickness of the bottom grid cell, as sketched in Algorithm (4).

### 164 4.3 Salt Conservation

165 The salt conservation equation in  $z^*$  is (see equation 5 in Forget et al. 2015),

$$\underbrace{\frac{\partial (s^* S)}{\partial t}}_{G^S, \text{tot}} = \underbrace{-\nabla_{z^*} (s^* S \mathbf{v}_{res}) - \frac{\partial (S w_{res})}{\partial z^*}}_{G^S, \text{adv}} + \underbrace{s^* \mathcal{F}_S}_{G^S, \text{forc}} + \underbrace{s^* D_S}_{G^S, \text{diff}}, \quad (8)$$

166 where  $S$  is salinity, and, in analogy with the heat budget equation (4),  $\mathcal{F}_S$  and  $D_S$  are surface  
 167 forcing and diffusive mixing of salt.

---

**Algorithm 4 : Including geothermal flux in the heat budget.** See Algorithm (1) caption for description of subscript indices, grid parameters, and other symbols.

---

```

1. 1:  $Q_{i,j}^{geo} = \text{geothermalFlux.bin}$  ▷ 2-D time-invariant geothermal flux
   2: for  $t = t_1, t_2, \dots, t_{T-1}, t_T$  do ▷ Loop over  $T$  time steps (months)  $t$ 
   3:   for  $i = i_1, i_2, \dots, i_{I-1}, i_I$  do ▷ Loop over  $I$  longitude cells  $i$ 
   4:     for  $j = j_1, j_2, \dots, j_{J-1}, j_J$  do ▷ Loop over  $J$  latitude cells  $j$ 
   5:       for  $k = k_1, k_2, \dots, k_{K-1}, k_K$  do ▷ Loop over  $K$  vertical cells  $k$ 
   6:         if  $k = k_{i,j}^{bot}$  then ▷ Do iff  $k$  is bottom cell at horizontal position  $(i, j)$ 
   7:            $G_{i,j,k}^{\theta,forc} = Q_{i,j}^{geo} / (\rho_0 c_p h_{i,j,k} \Delta z_k)$ 
   8:         end if
   9:       end for
  10:     end for
  11:   end for
  12: end for

```

---

Given the time stepping, and again similar to the case of temperature, the discretized 168  
version of equation (8) relating the updated and current states  $(\eta^{n+1}, \mathbf{v}^{n+1}, w^{n+1}, S^{n+3/2})$  and 169  
 $(\eta^n, \mathbf{v}^n, w^n, S^{n+1/2})$  is (see equation B6 in Forget et al. 2015), 170

$$\frac{s^{*n+1} S^{n+3/2} - s^{*n} S^{n+1/2}}{\Delta t} = \mathcal{A} (S, \mathbf{u}^{n+1} + \mathbf{u}_b^{n+1}) + s^{*n} \left( \mathcal{F}_S^{n+1} + D_{\sigma,S}^{n+1/2} + D_{\perp,S}^{n+3/2} \right). \quad (9)$$

Table 4 lists MITgcm diagnostics needed for evaluating monthly salt budgets with ECCOV4. 171  
Evaluation of the total tendency and transport convergences in the salt budget (8) and (9) is 172  
performed in exactly the same manner as with the temperature budget (4) and (5). Therefore, 173  
we do not provide a separate pseudocode algorithm, but rather refer the reader to Algorithm (2), 174  
with appropriate replacements made between model diagnostics in Table 3 and those in Table 4 175  
(e.g., SALT snapshots in place of THETA snapshots, and advection and diffusion diagnostics with 176  
suffix `_SLT` instead of `_TH`). 177

The local forcing term  $G^{S,forc}$  reflects surface salt exchanges. As shown in Table 4, there 178  
are two relevant model diagnostics here, namely the total salt exchange at the surface (`SFLUX`), 179  
which is nonzero only when sea ice melts or freezes, and the salt plume tendency (`oceSPtnd`), 180  
which vertically redistributes surface salt input by sea ice formation following Duffy et al. 181  
(1999). A pseudocode sketch of an evaluation of the salt forcing term is given in Algorithm (5). 182

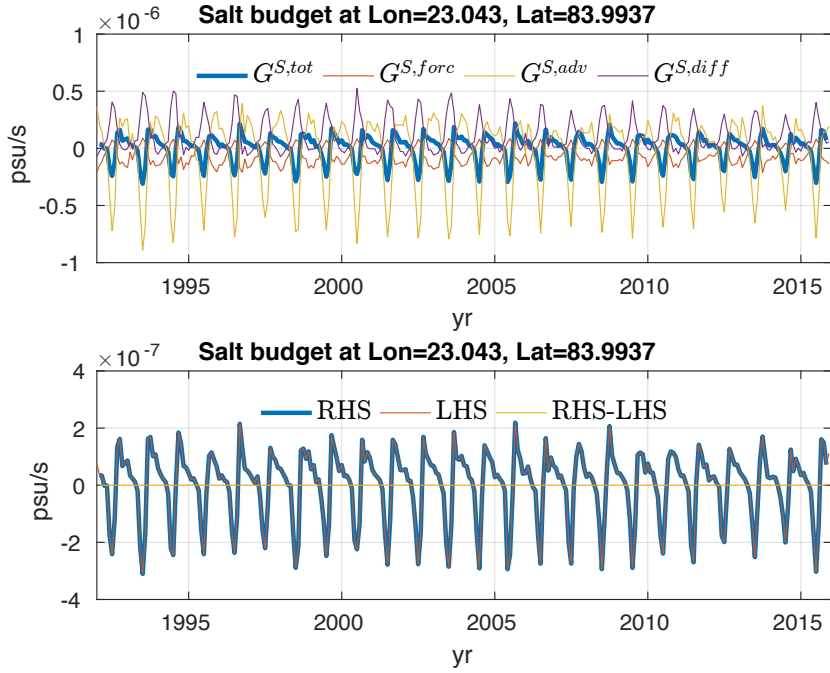


Figure 3: Salt budget for an arbitrary surface grid cell. Top panel shows the individual terms in the budget equation (8). Bottom panel shows the LHS, RHS, and difference between LHS and RHS terms in the budget. The good agreement between RHS and LHS (e.g., the ratio of the standard deviation of the residual to the standard deviation of the tendency here is  $\mathcal{O}(2 \times 10^{-5})$ ) demonstrates practical closure of the budget.

183 (As before, we give specific Matlab code for evaluation of all terms in the salt budget in the  
 184 Appendix.)

185 Figure 3 shows an example salt budget at an arbitrary grid cell using output in Table 4.  
 186 Averaged over the global ocean surface in the first vertical layer ( $k = 1$ ), the ratio of the  
 187 standard deviation of the residual (LHS–RHS) to the tendency (LHS) in equation (8) using  
 188 methods presented here is  $\mathcal{O}(10^{-4})$ .

189 An important point here is that, given the nonlinear free surface condition, budgets for  
 190 *salt content* (an extensive quantity) are not the same as budgets for *salinity* (an intensive  
 191 quantity). The attentive reader will have noticed that surface freshwater exchanges do not  
 192 enter into salt budget equations, since such fluxes do not affect the overall salt content, but  
 193 rather make it more or less concentrated. However, a budget for salinity can be derived based  
 194 on the conservation equations for salt (8) and volume (2), and estimated using diagnostic model  
 195 output. Such details are given in immediately below.

Diagnostic	Time	Description (Units)
ETAN	Snapshot	Surface height anomaly (m)
SALT	Snapshot	Salinity (psu)
SFLUX	Average	Total salt flux ( $\text{g m}^{-2} \text{s}^{-1}$ )
oceSPtnd	Average	Salt tendency due to salt plume flux ( $\text{g m}^{-2} \text{s}^{-1}$ )
ADVr_SLT	Average	Vertical advective flux of salinity ( $\text{psu m}^3 \text{s}^{-1}$ )
ADVx_SLT	Average	Zonal advective flux of salinity ( $\text{psu m}^3 \text{s}^{-1}$ )
ADVy_SLT	Average	Meridional advective flux of salinity ( $\text{psu m}^3 \text{s}^{-1}$ )
DFrI_SLT	Average	Implicit vertical diffusive flux of salinity ( $\text{psu m}^3 \text{s}^{-1}$ )
DFrE_SLT	Average	Explicit vertical diffusive flux of salinity ( $\text{psu m}^3 \text{s}^{-1}$ )
DFxE_SLT	Average	Explicit zonal diffusive flux of salinity ( $\text{psu m}^3 \text{s}^{-1}$ )
DFyE_SLT	Average	Explicit meridional diffusive flux of salinity ( $\text{psu m}^3 \text{s}^{-1}$ )

Table 4: MITgcm diagnostics required to evaluate the grid cell salt budget.

---

**Algorithm 5 : Evaluating the forcing term in the salt budget.** See Algorithm (1) caption for description of subscript indices, grid parameters, and other symbols.

---

- 1: **for**  $t = t_1, t_2, \dots, t_{T-1}, t_T$  **do** ▷ Loop over  $T$  time steps (months)  $t$
  - 2:      $Q_{i,j} = \text{SFLUX} \{t\}$  ▷ 2-D **average** total surface salt flux over month  $t$
  - 3:      $P_{i,j,k} = \text{oceSPtnd} \{t\}$  ▷ 3-D **average** salt plume tendency over month  $t$
  - 4:      $\rho_0 = 1029$  ▷ Reference density ( $\text{kg m}^{-3}$ )
  - 5:     **for**  $i = i_1, i_2, \dots, i_{I-1}, i_I$  **do** ▷ Loop over  $I$  longitude cells  $i$
  - 6:         **for**  $j = j_1, j_2, \dots, j_{J-1}, j_J$  **do** ▷ Loop over  $J$  latitude cells  $j$
  - 7:             **for**  $k = k_1, k_2, \dots, k_{K-1}, k_K$  **do** ▷ Loop over  $K$  vertical cells  $k$
  - 8:                  $G_{i,j,k}^{S,forc} = 0$
  - 9:                 **if**  $k=1$  **then**
  - 10:                      $G_{i,j,k}^{S,forc} = G_{i,j,k}^{S,forc} + Q_{i,j} / (\rho_0 h_{i,j,k} \Delta z_k)$
  - 11:                 **end if**
  - 12:                  $G_{i,j,k}^{S,forc} = G_{i,j,k}^{S,forc} + P_{i,j,k} / (\rho_0 h_{i,j,k} \Delta z_k)$
  - 13:             **end for**
  - 14:         **end for**
  - 15:     **end for**
  - 16: **end for**
-

## 5 Budgets Estimated for Intensive Quantities

Above, we walked through the model conservation equations for the extensive quantities volume, heat, and salt content, and demonstrated their offline evaluation. However, oftentimes interest is in an intensive quantity, such as salinity or density. As examples, below we derive a conservation equation for salinity in the rescaled height coordinate, and demonstrate how to estimate this budget offline using output from the ECCOv4 solution.

Yet, it is important to note at the outset that the budget derived and presented below does not correspond to a conservation equation diagnosed online by the model. As a result, there are some nonlinear product terms that appear in the equation that do not have corresponding available model diagnostics. Therefore, unlike with evaluation of the extensive property budgets above, small residual errors can be incurred in the offline estimation of the intensive property budget below.

### 5.1 Salinity Budget

Here we derive the salinity budget in the  $z^*$  coordinate, give a pseudocode sketch of evaluation of the budget using monthly model output. (Concrete Matlab code is given in the Appendix.)

We partition the LHS tendency in the salt conservation equation (8) using the product rule,

$$\frac{\partial (s^* S)}{\partial t} = s^* \frac{\partial S}{\partial t} + S \frac{\partial s^*}{\partial t}. \quad (10)$$

Substituting the sum of terms on the RHS of equation (10) for the LHS term in equation (8) and solving for  $\partial S / \partial t$  gives an expression for the salinity tendency,

$$\frac{\partial S}{\partial t} = -\frac{1}{s^*} \left[ S \frac{\partial s^*}{\partial t} + \nabla_{z^*} (s^* S \mathbf{v}_{res}) + \frac{\partial (S w_{res})}{\partial z^*} \right] + \mathcal{F}_S + D_S. \quad (11)$$

Noting that  $\partial s^* / \partial t \equiv H^{-1} \partial \eta / \partial t$ , we use the continuity equation (2) to cast equation (11) as,

$$\underbrace{\frac{\partial S}{\partial t}}_{G^{\dagger, tot}} = \frac{1}{s^*} \underbrace{\left[ S \nabla_{z^*} (s^* \mathbf{v}) + S \frac{\partial w}{\partial z^*} - \nabla_{z^*} (s^* S \mathbf{v}_{res}) - \frac{\partial (S w_{res})}{\partial z^*} \right]}_{G^{\dagger, adv}} + \underbrace{\mathcal{F}_S - S \mathcal{F}}_{G^{\dagger, forc}} + \underbrace{D_S}_{G^{\dagger, diff}}. \quad (12)$$

Notice here that, in contrast to the salt content conservation equation (8), the surface forcing



term in the salinity equation (12) comprises both surface salt fluxes as well as surface freshwater fluxes (converted to appropriate units through multiplication by salinity).

Estimation of the salinity budget involves diagnostics given in Tables 2 and 4, with the addition of the monthly means of salinity (SALT) and surface height (ETAN). Budget evaluation roughly follows on from the basic steps outlined in Algorithms (1), (2), and (5), as sketched in Algorithm (6). Figure 4 shows an example salinity budget at an arbitrary sea surface grid cell. (Example Matlab code appears in the Appendix.) Averaged over the global ocean surface in the first vertical layer ( $k = 1$ ), the ratio of the standard deviation of the residual (LHS–RHS) to the tendency (LHS) in equation (12) using methods presented here is  $\mathcal{O}(10^{-3})$ .

---

**Algorithm 6 : Evaluating the salinity budget.** See Algorithm (1) caption for description of subscript indices, grid parameters, and other symbols. This algorithm assumes that operations performed in Algorithm (1) for the volume budget and Algorithms (2) and (5) in the salt budget are still valid here (and are not repeated to save space).

---

- 1: **for**  $t = t_1, t_2, \dots, t_{T-1}, t_T$  **do** ▷ Loop over  $T$  time steps (months)  $t$
  - 2:      $S_{i,j,k} = \text{SALT} \{t\}$  ▷ 3-D **average** salinity over month  $t$
  - 3:      $N_{i,j} = \text{ETAN} \{t\}$  ▷ 2-D **average** surface height over month  $t$
  - 4:     **for**  $i = i_1, i_2, \dots, i_{I-1}, i_I$  **do** ▷ Loop over  $I$  longitude cells  $i$
  - 5:         **for**  $j = j_1, j_2, \dots, j_{J-1}, j_J$  **do** ▷ Loop over  $J$  latitude cells  $j$
  - 6:              $s_{i,j}^* = (1 + N_{i,j}/H_{i,j})$
  - 7:             **for**  $k = k_1, k_2, \dots, k_{K-1}, k_K$  **do** ▷ Loop over  $K$  vertical cells  $k$
  - 8:                  $G_{i,j,k}^{\dagger,tot} = \left( S_{i,j,k}^{(f)} - S_{i,j,k}^{(0)} \right) / \Delta t$
  - 9:                  $G_{i,j,k}^{\dagger,adv} = \left( G_{i,j,k}^{S,adv} - S_{i,j,k} G_{i,j,k}^{\eta,conv} \right) / s_{i,j}^*$
  - 10:                  $G_{i,j,k}^{\dagger,diff} = \left( G_{i,j,k}^{S,forc} - S_{i,j,k} G_{i,j,k}^{\eta,forc} \right) / s_{i,j}^*$
  - 11:                  $G_{i,j,k}^{\dagger,forc} = G_{i,j,k}^{S,diff} / s_{i,j}^*$
  - 12:             **end for**
  - 13:         **end for**
  - 14:     **end for**
  - 15: **end for**
-

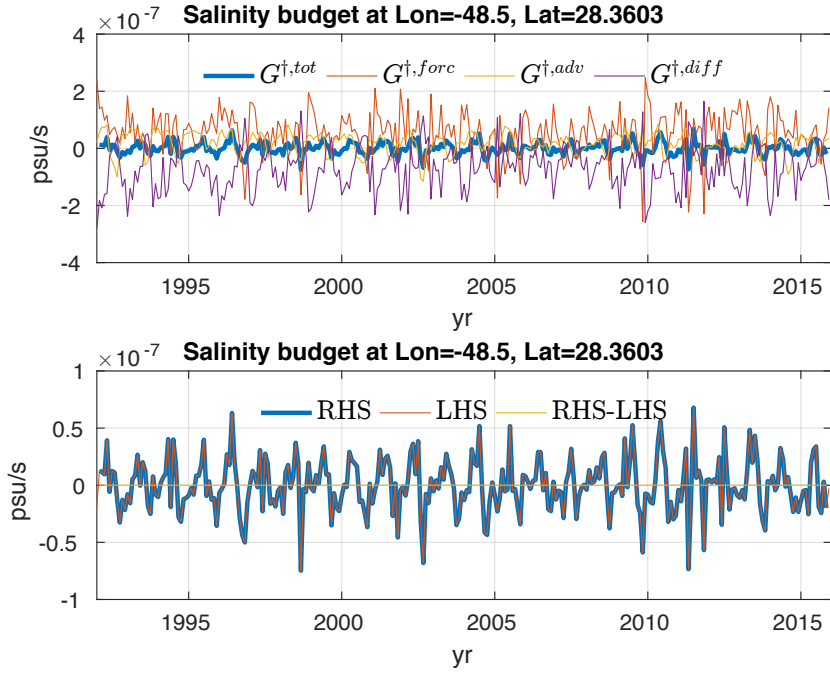


Figure 4: Salinity budget for an arbitrary surface grid cell. Top panel shows the individual terms in the budget equation (12). Bottom panel shows the LHS, RHS, and difference between LHS and RHS terms in the budget. The good agreement between RHS and LHS (e.g., the ratio of the standard deviation of the residual to the standard deviation of the tendency here is  $\mathcal{O}(10^{-4})$ ) demonstrates practical closure of the budget.

## 225 A Example Matlab Code and the gcmfaces Framework

### 226 A.1 The gcmfaces Framework

227 The ECCOv4 estimates are provided on a native longitude-latitude-cap (LLC) grid topology.  
 228 To allow for easy manipulation of the ECCOv4 output on the LLC grid and MITgcm output  
 229 on all other grids, Gaël Forget at MIT has produced a suitable Matlab class and framework,  
 230 called `gcmfaces`.

231 A current version of `gcmfaces` suitable for use with ECCOv4 can be found [here](#). If they  
 232 have not already done so, we recommend that the user download and read the [gcmfaces.pdf](#)  
 233 document, which describes getting started with `gcmfaces`, including how to download, initialize,  
 234 and update.

## A.2 Example Matlab code

Here we provide example Matlab code for evaluating budgets, explaining our steps along the way, and relating to the conservation equations given above.

We assume the working directory is `/myDirectory/`. Within `/myDirectory/`, we assume the user has downloaded and initialized `gcmfaces` (as described in [gcmfaces.pdf](#)), and that the user has downloaded the relevant model diagnostics and stored them respectively in subdirectories `/nctiles_monthly/` and `/nctiles_monthly_snapshots/`. (See Tables 2, 3, and 4 above for the diagnostics.) Also, the user should have downloaded the ECCOv4 grid files, which are found [here](#), and stored them in a subdirectory called `/nctiles_grid/` within `/myDirectory/gcmfaces/`. Further, we assume that the subdirectories `/budget_volume/`, `/budget_heat/`, `/budget_salt/`, and `/budget_salinity/` exist (and are empty) within `/myDirectory/`. Lastly, we assume that the reader has downloaded the `geothermalFlux.bin` from the [ECCO directory listing](#), and placed this file in the subdirectory `/myDirectory/input_init/`.

1. The user begins by instantiating the `gcmfaces` framework and loading the ECCOv4 grid parameters, contained in the global `mygrid` structure (Box 1).

```

1  %%%%%%%%%%%
2  % initialize workspace
3  clear all , close all , clc
4  cd /myDirectory/gcmfaces/
5  %%%%%%%%%%%
6
7  %%%%%%%%%%%
8  % instantiate gcmfaces and load grid
9  gcmfaces_global
10 global mygrid; mygrid = [];
11 grid_load;
12 %%%%%%%%%%%

```

Box 1. Instantiation of `gcmfaces` and loading of model grid.

2. Next, for computing property tendencies from snapshot output, it can be helpful to define a number of parameters related to the time steps of the model output. ECCOv4 Release 3

254 is provided for the  $nn = 288$  months over the period 1992-01-01 12:00:00 through 2015-12-31  
 255 12:00:00. The convention here is to define the time of a particular month of output ( $tt$ ) as the  
 256 end of the corresponding averaging period (in hr from the initial time). So, the first difference  
 257 of the time ( $dt$ ) is the number of hours in every month (Box 2). For example, for January 1994,  
 258 the first difference of the time is  $dt = 744$  hr.

```

1  %%%%%%%%%%%
2  % define monthly times over
3  % 1992-01-01 12:00:00 to 2015-12-31 12:00:00
4  nn=288;
5  tt=[1992*ones(nn,1) [2:(nn+1)]' [1*ones(nn-1,1); 0.5]];
259 6  tt=24*(datenum(tt)-datenum([1992 1 1 12 0 0]));
7  dt=diff([0 tt']);
8  ttUnits='hours_since_1992-1-1_12:00:00';
9  secPerHour=3600;
10 %%%%%%%%%%%

```

260 Box 2. Definition of time parameters.

261 3. In addition to parameters related to time, it is also helpful for the user to define several  
 262 quantities related to the grid's spatial geometry. In Box 3, after defining strings for the direc-  
 263 tories housing the nctiles output, we define several three-dimensional `gcmfaces`-class objects  
 264 related to the depth (`dzMat`, `dzMatF`), surface area (`RACMat`), and volume (`VVV`) of each model  
 265 spatial grid cell. These objects are used in subsequent computations of spatial integrals and  
 266 averages. The `nLevels` variable, which is the number of vertical levels on the grid (here 50), is  
 267 used in evaluations of the vertically penetrating shortwave radiation forcing in the heat budget.  
 268 Additionally, we load in the geothermal flux forcing file and convert to a `gcmfaces` object.

```

1 %%%%%%%%%%%
2 % define directories and other useful fields
3 dir1='/myDirectory/nctiles_monthly/';
4 dir2='/myDirectory/nctiles_monthly_snapshots/';
5 dir3='/myDirectory/input_init/';
6 dzMatF=mk3D(mygrid.DRF, mygrid.hFacC);
7 dzMat=dzMatF.*mygrid.hFacC;
8 RACMat=mk3D(mygrid.RAC, mygrid.hFacC);
9 VVV=mygrid.mskC.*RACMat.*dzMat;
10 nLevels=numel(mygrid.RC);
11 %%%%%%%%%%%
12
13 %%%%%%%%%%%
14 % load 2d geothermal flux and make 3d
15
16 % load, reshape, and make gcmfaces
17 fid=fopen([dir3,'geothermalFlux.bin'],'r','b');
18 geoflx2d=fread(fid,'float32'); fclose(fid);
19 geoflx2d=reshape(geoflx2d,90,1170);
20 geoflx2d=convert2gcmfaces(geoflx2d);
21
22 % create 3d version
23 mskc=mygrid.mskC;
24 mskc(isnan(mskc))=0;
25 mskcp1=mskc;
26 mskcp1(:,:,nLevels+1)=0;
27 mskcp1(:,:,1)=[];
28 mskb=mskc-mskcp1;
29 geoflx3d=mk3D(geoflx2d,mskc).*mskb.*mygrid.mskC;
30 clear mskc mskcp1 mskb geoflx2d
31 %%%%%%%%%%%

```

269

Box 3. Definition of directories and space parameters.

270

4. ECCOV4 Release 3 file sizes can be large. To make it more feasible to load multiple state variables needed for budget calculations, we loop over the time steps, evaluating one month of output at a time (Box 4).

271

272

273

```

1 %%%%%%%%%%%
274 2 % loop through time steps
3   for ii=1:nn, disp(num2str(ii))

```

275 Box 4. Begin loop over  $nn$  time steps (i.e., months of output).

276 5. For each  $ii$ , we use the `read_nctiles.m` function provided with `gcmfaces` to concatenate  
 277 the nctiles and load into the Matlab workspace the monthly average diagnostic output needed  
 278 for computing RHS transport-convergence and surface-forcing terms in the budgets of volume  
 279 (Box 5), ...

```

1 %%%%%%%%%%%
2 % load 2-d monthly surface height and volume forcing
3 oceFWflx=read_nctiles([dir1,'oceFWflx'],'oceFWflx',ii);
4 ETAN=read_nctiles([dir1,'ETAN'],'ETAN',ii);
5
280 6 %%%%%%%%%%%
7 % load 3-d monthly volume-related fields
8 UVELMASS=read_nctiles([dir1,'UVELMASS'],'UVELMASS',ii);
9 VVELMASS=read_nctiles([dir1,'VVELMASS'],'VVELMASS',ii);
10 WVELMASS=read_nctiles([dir1,'WVELMASS'],'WVELMASS',ii);

```

281 Box 5. Loading monthly averaged variables for volume budget.

282 6. ... heat (Box 6), ...

```

1  %%%%%%%%%%%
2  % load 2-d monthly surface heat forcing
3  TFLUX=read_nctiles ([ dir1 , 'TFLUX' ], 'TFLUX' , ii );
4  oceQsw=read_nctiles ([ dir1 , 'oceQsw' ], 'oceQsw' , ii );
5
6  %%%%%%%%%%%
7  % load 3-d monthly heat-related fields
8  ADVr_TH=read_nctiles ([ dir1 , 'ADVr_TH' ], 'ADVr_TH' , ii );
9  ADVx_TH=read_nctiles ([ dir1 , 'ADVx_TH' ], 'ADVx_TH' , ii );
10 ADVy_TH=read_nctiles ([ dir1 , 'ADVy_TH' ], 'ADVy_TH' , ii );
11 DFrL_TH=read_nctiles ([ dir1 , 'DFrL_TH' ], 'DFrL_TH' , ii );
12 DFrE_TH=read_nctiles ([ dir1 , 'DFrE_TH' ], 'DFrE_TH' , ii );
13 DFxE_TH=read_nctiles ([ dir1 , 'DFxE_TH' ], 'DFxE_TH' , ii );
14 DFyE_TH=read_nctiles ([ dir1 , 'DFyE_TH' ], 'DFyE_TH' , ii );

```

Box 6. Loading monthly averaged variables for heat budget.

283

284

7. ... and salt (Box 7).

285

```

1  %%%%%%%%%%%
2  % load 2-d monthly surface salt forcing
3  SFLUX=read_nctiles ([ dir1 , 'SFLUX' ], 'SFLUX' , ii );
4
5  %%%%%%%%%%%
6  % load 3-d monthly salt-related fields
7  SALT=read_nctiles ([ dir1 , 'SALT' ], 'SALT' , ii );
8  ADVr_SLT=read_nctiles ([ dir1 , 'ADVr_SLT' ], 'ADVr_SLT' , ii );
9  ADVx_SLT=read_nctiles ([ dir1 , 'ADVx_SLT' ], 'ADVx_SLT' , ii );
10 ADVy_SLT=read_nctiles ([ dir1 , 'ADVy_SLT' ], 'ADVy_SLT' , ii );
11 DFrL_SLT=read_nctiles ([ dir1 , 'DFrL_SLT' ], 'DFrL_SLT' , ii );
12 DFrE_SLT=read_nctiles ([ dir1 , 'DFrE_SLT' ], 'DFrE_SLT' , ii );
13 DFxE_SLT=read_nctiles ([ dir1 , 'DFxE_SLT' ], 'DFxE_SLT' , ii );
14 DFyE_SLT=read_nctiles ([ dir1 , 'DFyE_SLT' ], 'DFyE_SLT' , ii );
15 oceSPtnd=read_nctiles ([ dir1 , 'oceSPtnd' ], 'oceSPtnd' , ii );

```

Box 7. Loading monthly averaged variables for salt budget.

286

287

8. We also load the monthly snapshot diagnostic outputs for the start ( $ii - 1$ ) and end ( $ii$ )

288

289 of month  $ii$  needed for computing LHS tendency terms (Box 8). A note here is that, for the  
 290 start of the first month ( $ii = 1$ ), and the end of the last month ( $ii = 288$ ), no snapshots are  
 291 available. While this precludes calculation of the tendency terms for the first and last months  
 292 based using snapshots, because the budgets close (for all practical purposes), as will be shown  
 293 below, tendency terms for these months are in principle “recoverable” by summing up the  
 294 various RHS convergence and forcing terms, as described previously.

```

1  %%%%%%%%%%%
2  % load snapshots for computing tendencies
3  if ii==1|ii==nn % no initial or final snapshots
4      ETAN_SNAP=convert2gcmfaces(nan*ones(90,1170,2));
5      THETA_SNAP=convert2gcmfaces(nan*ones(90,1170,nLevels,2));
295 6      SALT_SNAP=convert2gcmfaces(nan*ones(90,1170,nLevels,2));
7  else
8      THETA_SNAP=read_nctiles([dir2,'THETA'],'THETA',[(ii-1) ii]);
9      SALT_SNAP=read_nctiles([dir2,'SALT'],'SALT',[(ii-1) ii]);
10     ETAN_SNAP=read_nctiles([dir2,'ETAN'],'ETAN',[(ii-1) ii]);
11 end

```

296 Box 8. Loading monthly snapshots for volume, heat, and salt budgets.

297 9. With the model diagnostics loaded into the Matlab workspace, we assess terms in the volume  
 298 budget equation (2). The tendency is computed by differencing ETAN snapshots corresponding  
 299 to the start and end of the averaging period, dividing by the temporal “width” of the averaging  
 300 period ( $dt$ ), and scaling by a reference density, so units are  $\text{kg m}^{-2}$  (Box 9). The surface forcing  
 301 term is simply the `oceFWflx` diagnostic. The horizontal transport convergence is computed  
 302 by vertically integrating mass-weighted zonal and meridional velocity fields (`UVELMASS` and  
 303 `VVELMASS`) and using the `gcmfaces` function `calc_UV_conv.m` to compute their convergence,  
 304 whereas the vertical convergence is computed by taking the difference between `WVELMASS` values  
 305 from one layer vertical interface to the next. The result is scaled by density and surface area.  
 306 These tendency, forcing, and convergence fields are then saved out to file.



```

1  %%%%%%%%%%%
2  % volume budget
3  % useful quantities
4  rhoconst=1029;
5  heatcap=3994;
6  rcp=rhoconst*heatcap;
7
8  % total tendency
9      tendV=(1./mk3D(mygrid.Depth,mygrid.mskC)).*...
10      mk3D((ETAN_SNAP(:,:,2)-ETAN_SNAP(:,:,1)))/...
11      (secPerHour*dt(ii),mygrid.mskC);
12
13 % horizontal convergence
14      hConvV=mygrid.mskC.*calc_UV_conv(UVELMASS,VVELMASS,...
15      {'dh'})./(RACMat.*hFacC);
16
17 % vertical divergence
18      vConvV=0*hConvV;
19      for nz=1:nLevels, %disp(num2str(nz))
20          nzp1=min([nz+1,nLevels]);
21          vConvV(:,:,nz)=squeeze(WVELMASS(:,:,nzp1).*...
22          double(nz~=nLevels)-WVELMASS(:,:,nz).*...
23          double(nz~=1))./(dzMat(:,:,nz));
24      end
25
26 % forcing
27      forcV=mygrid.mskC.*mk3D(oceFWflx,mygrid.mskC)/...
28      (dzMat*rhoconst);
29      forcV(:,:,2:nLevels)=0*mygrid.mskC(:,:,2:nLevels);
30
31 % save output
32      DT=dt(ii);
33      save(['/myDirectory/budget_volume/',num2str(ii),'.mat'],...
34          'tendV','*ConvV','forcV','DT')
35  %%%%%%%%%%%

```

307

Box 9. Evaluating terms in the vertically integrated volume budget.

308

309 10. Next we evaluate the heat budget (4) on the model grid cell. Evaluation of the heat  
 310 budget is somewhat more complicated than the volume budget, and we breakdown the steps  
 311 in detail. First, we evaluate the LHS tendency (Box 10). For the beginning and end of the  
 312 averaging period, we use the ETAN and THETA snapshots to evaluate the  $s^*\theta$  term (within the  
 313 partial derivative) on the LHS of equation (4). Next, we then take the difference between their  
 314 product at the start and end of the averaging period, and divide by the time difference between  
 315 them, giving units of  $^{\circ}\text{C s}^{-1}$ .

```

1  %%%%%%%%%%%
2  % grid cell heat budget
3  % total tendency
4  HC_snap=0*THETA_SNAP;
5  for jj=1:2
6      HC_snap (:, :, :, jj)=(THETA_SNAP (:, :, :, jj) .* ...
7          (1+mk3D(ETAN_SNAP (:, :, jj) ./ mygrid.Depth, dzMat)));
8  end
9  tendH=(HC_snap (:, :, :, 2)-HC_snap (:, :, :, 1)) / ...
10     (secPerHour*dt(ii));

```

317 Box 10. Evaluating the tendency in the heat budget.

318 11. Second, we evaluate the ocean heat transport convergences on the RHS of equation  
 319 (4), involving horizontal and vertical advective and diffusive fluxes (Box 11). We again use  
 320 `calc_UV_conv.m` to compute the convergences of the explicit horizontal heat advection (`ADVx_TH`  
 321 and `ADVy_TH`) and diffusion (`DFxE_TH` and `DFyE_TH`). Note that together `ADVx_TH` and `ADVy_TH`  
 322 constitute the  $s^*\theta_{v_{res}}$  term within the divergence operator on the RHS of equation (4) (Box 11).  
 323 We loop through each level, computing the convergence in vertical heat advection (`ADVr_TH`)  
 324 and diffusion (`DFrE_TH` and `DFrI_TH`). Note that `ADVr_TH` is the  $\theta w_{res}$  term on the RHS of (4)  
 325 (Box 11).<sup>2</sup> All convergences are normalized by grid volume, `VVV`, giving units of  $^{\circ}\text{C s}^{-1}$ .

<sup>2</sup>For interested readers, these calculations mirror online computations performed in the MITgcm subroutine `gad_calc_rhs.F`. Also, note that, for the vertical diffusion, there are two relevant model diagnostics, one computed *explicitly* (see `gad_calc_rhs.F`), the other *implicitly* (see MITgcm subroutine `impldiff.F`).

```

1  % horizontal convergence
2  adv_hConvH=calc_UV_conv(ADVx_TH,ADVy_TH)./VVV;
3  dif_hConvH=calc_UV_conv(DFxE_TH,DFyE_TH)./VVV;
4
5  % vertical convergence
6  adv_vConvH=0*tendH;
7  dif_vConvH=0*tendH;
8  for nz=1:nLevels, %disp(num2str(nz))
9      nzp1=min([nz+1,nLevels]);
10     adv_vConvH(:,:,nz)=squeeze(ADVr_TH(:,:,nzp1)*...
11     double(nz~=nLevels)-ADVr_TH(:,:,nz));
12     dif_vConvH(:,:,nz)=squeeze(DFrL_TH(:,:,nzp1)*...
13     double(nz~=nLevels)-DFrL_TH(:,:,nz)+...
14     DFrE_TH(:,:,nzp1)*double(nz~=nLevels)-...
15     DFrE_TH(:,:,nz));
16 end
17 adv_vConvH=adv_vConvH./VVV;
18 dif_vConvH=dif_vConvH./VVV;

```

326

Box 11. Evaluating the transport convergences in the heat budget.

327

12. Third, and finally, we evaluate the local forcing term due to surface heat exchanges and geothermal fluxes. For the surface contribution, there are two relevant model diagnostics here, the total heat flux (TFLUX) and its shortwave component (oceQsw). Given the penetrating nature of the shortwave term, to properly evaluate the local forcing term in Matlab, oceQsw must be removed from TFLUX (which contains the net latent, sensible, longwave, and shortwave contributions) and redistributed vertically following (6) and (7).

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In Box 12, we take the first steps, defining the relevant constants in equations (6) and (7). Note that the values of  $q_1$  and  $q_2$  are “zeroed out” below 200 m depth, as the shortwave radiation does not penetrate below this depth.

334

335

336

```

1  % surface heat flux
2  % note that shortwave penetrates the top 200 m
3  % constants
4  c_p=3994;
5  rho0c_p=rho0*c_p;
6  R=0.62;
7  zeta1=0.6;
8  zeta2=20;
337 9  q1=R*exp(1/zeta1*mygrid.RF(1:nLevels))+...
10      (1-R)*exp(1/zeta2*mygrid.RF(1:nLevels));
11  q2=R*exp(1/zeta1*mygrid.RF(2:(nLevels+1)))+...
12      (1-R)*exp(1/zeta2*mygrid.RF(2:(nLevels+1)));
13
14  % correction for the 200m cutoff
15  zCut=find(mygrid.RC<-200,1);
16  q1(zCut:nLevels)=0;
17  q2((zCut-1):nLevels)=0;

```

338 Box 12. Defining terms needed for evaluating surface heat forcing.

339 13. Having defined the necessary constants, we loop through each level, subtracting `oceQsw`  
340 from `TFLUX` at the surface and redistributing `oceQsw` vertically (Box 13). After the geothermal  
341 component at the seafloor is added in, the local forcing term is normalized by the grid cell  
342 vertical thickness and the product of density and heat capacity, giving units of  $^{\circ}\text{C s}^{-1}$ , and the  
343 output saved to file (Box 13).

```

1  % compute vertically penetrating flux
2  forcH=0*tendH;
3  msk=mygrid.mskC; msk(isnan(msk))=0;
4  for nz=1:nLevels, %disp(num2str(nz))
5      if nz==1
6          forcH(:,:,nz)=TFLUX(:,:,1) -...
7          (1-(q1(nz)-q2(nz)))*oceQsw;
8      else
9          nzp1=min([nz+1,nLevels]);
10         forcH(:,:,nz)=forcH(:,:,nz) +...
11         ((mygrid.mskC(:,:,nz)==1).*q1(nz) -...
12         (mygrid.mskC(:,:,nzp1)==1).*...
13         q2(nz)).*oceQsw;
14     end
15 end
16 % add geothermal
17 forcH=forcH+geoflx3d;
18 forcH=mygrid.mskC.*forcH./(rho0c_p*dzMat);
19
20 % save output
21 save([' /myDirectory/budget_heat/' , num2str(ii) , '.mat' ] , ...
22     'tendH' , '*ConvH' , 'forcH' , 'DT')
23 %%%%%%%%%%

```

344

Box 13. Evaluating the local forcing term in the heat budget.

345

14. Next, we evaluate the salt budget equation (8). We again walk through the evaluation of the tendency, convergence, and forcing terms step by step. These steps to the salt budget are very similar to the steps to the heat budget. First, we assess the LHS tendency (Box 14). We use ETAN and SALT snapshots from the start and end of the averaging period to evaluate the  $s^*S$  term on the LHS of (8). We take the difference between their product at the start and end of the averaging period, and divide by time difference, yielding units of  $\text{psu s}^{-1}$ .

346

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351

```

1  %%%%%%%%%%%
2  % grid cell salt budget
3  % total tendency
4  HC_snap=0*SALT_SNAP;
5  for jj=1:2
352      HC_snap (:, :, :, jj)=(SALT_SNAP (:, :, :, jj) .* ...
7      (1+mk3D(ETAN_SNAP (:, :, jj) ./ mygrid.Depth , ...
8      dzMat)));
9  end
10  tendS=(HC_snap (:, :, :, 2)-HC_snap (:, :, :, 1)) / ...
11      (secPerHour*dt(ii));

```

353 Box 14. Evaluating the tendency in the salt budget.

354 15. Second, we evaluate ocean salt transport convergences on the RHS of (8), involving hori-  
355 zontal and vertical advective and diffusive fluxes (Box 15). We use `calc_UV_conv.m` to compute  
356 the convergences of explicit horizontal heat advection (`ADVx_SLT` and `ADVy_SLT`) and diffusion  
357 (`DFxE_SLT` and `DFyE_SLT`). As before, together `ADVx_SLT` and `ADVy_SLT` constitute the  $s^*S\mathbf{v}_{res}$   
358 term on the RHS of (8) (Box 15). We loop through each level, computing the convergence in  
359 vertical salt advection (`ADVr_SLT`) and diffusion (`DFrE_SLT` and `DFrI_SLT`). `ADVr_SLT` is  $Sw_{res}$   
360 on the RHS of (8). All convergences are normalized by grid volume, `VVV`, giving units of  $\text{psu}$   
361  $\text{s}^{-1}$ .

```

1  % horizontal divergences
2  adv_hConvS=calc_UV_conv(ADVx_SLT,ADVy_SLT)./VVV;
3  dif_hConvS=calc_UV_conv(DFxE_SLT,DFyE_SLT)./VVV;
4
5  % vertical divergences
6  adv_vConvS=0*tendS;
7  dif_vConvS=0*tendS;
8  for nz=1:nLevels, %disp(num2str(nz))
9      nzp1=min([nz+1,nLevels]);
10     adv_vConvS(:,:,nz)=squeeze(ADVr_SLT(:,:,nzp1)*...
11     double(nz~=nLevels)-ADVr_SLT(:,:,nz));
12     dif_vConvS(:,:,nz)=squeeze(DFrI_SLT(:,:,nzp1)*...
13     double(nz~=nLevels)-DFrI_SLT(:,:,nz)+...
14     DFrE_SLT(:,:,nzp1)*double(nz~=nLevels)-...
15     DFrE_SLT(:,:,nz));
16 end
17 adv_vConvS=adv_vConvS./VVV;
18 dif_vConvS=dif_vConvS./VVV;

```

362

Box 15. Evaluating the transport convergences in the salt budget.

363

13. Third, and finally, we evaluate the local forcing term due to surface salt exchanges (Box 364  
 16). There are two relevant model diagnostics here, the total salt flux (*SFLUX*), which is nonzero 365  
 only when sea ice melts or freezes, and the salt plume tendency (*oceSPtnd*), which vertically 366  
 redistributes salt rejected by sea-ice formation, following Duffy et al. (1999) and Nguyen et 367  
 al. (1999). The local forcing term is normalized by the grid cell vertical thickness and density, 368  
 giving units of  $\text{psu s}^{-1}$ , and the output is saved (Box 16). An example of the budget from these 369  
 calculations at an arbitrary grid cell is shown in Figure 3. 370

```

1  % surface salt flux
2  % note that salt (plume) flux penetrates vertically
3  forcS=0*tendS;
4  for nz=1:nLevels
5      if nz==1
6          forcS (:, :, nz)=SFLUX/rho0;
7      end
8      forcS (:, :, nz)=forcS (:, :, nz) + ...
9      oceSPtnd (:, :, nz)/rho0;
10 end
11 forcS=forcS./(dzMat);
12
13 % save output
14 save([' /myDirectory/budget_salt/', num2str(ii), '.mat' ], ...
15      'tendS', '*ConvS', 'forcS', 'DT')
16 %%%%%%%%%%%

```

372 Box 16. Evaluating the local forcing term in the salt budget.

373 17. Based on the above volume and salt budgets, the salinity budget can be evaluated as per  
374 equation (12), as shown in Box 17.



```

1 % salinity budget based on salt and volume budgets
2 % scale factor
3 rstarfac=(mygrid.Depth+ETAN)./mygrid.Depth;
4
5 % tendency
6 tendSln=(SALT_SNAP(:,:, :, 2)-SALT_SNAP(:,:, :, 1))/...
7     (secPerHour*(dt(ii)));
8
9 % advection
10 adv_vConvSln=(-SALT.*vConvV+adv_vConvS)./rstarfac;
11 adv_hConvSln=(-SALT.*hConvV+adv_hConvS)./rstarfac;
12
13 % diffusion
14 dif_vConvSln=(dif_vConvS)./rstarfac;
15 dif_hConvSln=(dif_hConvS)./rstarfac;
16
17 % forcing
18 forcSln=(-SALT.*forcV+forcS)./rstarfac;
19
20 % save output
21 save([' /myDirectory/budget_salinity/' , num2str(ii) , ...
22     '.mat' ], 'tendSln', '*ConvSln', 'forcSln', 'DT')

```

375

Box 17. Evaluating the salinity budget.

376

18. Finally, the end of the loop is reached, and some variables cleared.

377

```

1 % clear tendencies, convergences, and forcing
2 clear tend* *Conv* forc*
3 end

```

378

Box 18. end loop and clear tendencies, convergences, and forcing.

379

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380

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381

382

383

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