A taxonomy-based approach to shed light on the babel of mathematical models for rice simulation

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34 **Abstract**

35 For most biophysical domains, differences in model structures are seldom quantified. Here, we used a
36 taxonomy-based approach to characterise thirteen rice models. Classification keys and binary attributes for each
37 key were identified, and models were categorised into five clusters using a binary similarity measure and the
38 unweighted pair-group method with arithmetic mean. Principal component analysis was performed on model
39 outputs at four sites. Results indicated that (i) differences in structure often resulted in similar predictions and (ii)
40 similar structures can lead to large differences in model outputs. User subjectivity during calibration may have
41 hidden expected relationships between model structure and behaviour. This explanation, if confirmed, highlights
42 the need for shared protocols to reduce the degrees of freedom during calibration, and to limit, in turn, the risk
43 that user subjectivity influences model performance.

44

45 **Keywords**

46 Model classification, model parameterisation, model ensemble, model structure, rice, uncertainty.

47

48 1. Introduction

49 “The sciences do not try to explain, they hardly even try to interpret, they mainly make models.” This is one of
50 the most famous of John von Neumann’s quotes (von Neumann, 1955) and, despite its apparently provocative
51 nature, presents a valuable perspective on how users or developers should view modelling. A mathematical
52 model is a simplified representation of our knowledge about a real system, and of the way this knowledge is
53 formalised (Malinvaud, 1964). During the second half of the 20th century, the crisis of the unitary reductionist
54 conception of classical mathematical physics led scientists to gradually switch to a new paradigm in the way
55 mathematics can be applied to the life sciences, largely based on the use of mathematical analogies (i.e., models)
56 to describe real systems (Israel, 1993). A direct consequence of this transition is that mathematical models are by
57 definition not unique (Israel, 1993), since none is capable of reproducing the underlying systems exactly, nature
58 not being written in the language of mathematics, as per Galileo’s thought.

59 The crop modelling community is increasingly conscious of the limitations of models, as demonstrated by the
60 progressive abandonment of the expression *mechanistic models* in favour of *process-based models* (Dubitzky et
61 al., 2013), which is a more suitable way to describe mathematical representations where empirical elements are
62 used to describe processes that originate in cells and/or organelles but are observed at a higher hierarchical level
63 (i.e., at crop canopy level; Acock and Acock, 1991). Our models are thus mathematical analogies useful for
64 describing crop behaviour and derived from hypotheses for describing processes (e.g., photosynthesis or
65 assimilate partitioning) that scientists verify using experimental data. Moreover, these models are strictly
66 dependent on the context (agro-climatic, cultural, and social) in which such hypotheses are formulated, as well
67 as on the specific objectives of their developers, which can range from improving our understanding of the
68 interactions between plants and environment to supporting decision making (Passioura, 1996).

69 Of the models for rice simulation evaluated by Li et al. (2015) within the Rice Team of the Agricultural Model
70 Intercomparison and Improvement Project (AgMIP, Rosenzweig et al., 2013), some (e.g., ORYZA2000,
71 Bouman and van Laar, 2006) were originally proposed to formalise available knowledge and to draw attention to
72 gaps in understanding (van Ittersum et al., 2003). Other models were developed targeting potential productivity

(SIMRIW, Horie et al., 1995), management/decision support (CERES-Rice, Singh et al., 1993; H/H, Hasegawa and Horie, 1997; STICS, Brisson et al., 1998; APSIM, Holzworth et al., 2014), or ideotyping studies (GECROS, Yin and van Laar, 2005; GEMRICE, Yoshida et al., 2010, 2011; SAMARA, Kumar et al., 2016). Still others were designed to integrate knowledge from different domains, such as biogeochemistry (DNDC-Rice, Fumoto et al., 2008), microbiology (Gaydon et al., 2012a), and phytopathology (WARM, Confalonieri et al., 2009). To a certain extent, these different primary objectives reflect differences in the ways that processes are formalized in models.

The existence of differences in formalisation is further demonstrated by the (at least partial) coherence in the way we describe the states of domain in which crop dynamics are observed (e.g., aboveground biomass has a universally accepted meaning) compared to the range of meanings we give to model parameters to represent how crops behave within that domain. As an example, radiation use efficiency (RUE, biomass accumulated per unit solar radiation absorbed by the crop canopy) is a parameter included in five of the 13 models evaluated by Li et al. (2015). But the meaning of RUE varies among the models. In the CERES-Rice model, for instance, it is defined relative to total biomass, whereas in the WARM and STICS models it relates to aboveground biomass. In other models, such as SAMARA, radiation use efficiency is used to estimate gross photosynthesis, from which maintenance and growth respiration are subtracted. Thus, radiation use efficiency does not represent something belonging, in itself, to the real domain but is *just* a parameter of some of the possible representations we have constructed for what happens in that domain and, in turn, it has a precise meaning only within a specific model analogy. However, despite differences in definition and structure, crop models are expected to represent real systems with reasonable accuracy, and in most cases they actually do, thus – returning to von Neumann’s perspective – justifying their existence and use in research and operational contexts.

Here, we analysed the relationships between the structures of mathematical analogies used for rice simulations and their outputs and, in the case of poor relationships, attempted to elucidate their causes. The work was made possible by a recent study performed within the activities of the AgMIP Rice Team (Li et al., 2015), where protocols for multi-model ensembles were applied.

99 **2. Materials and methods**

100 **2.1. Rice models**

101 The rice models used in this study were recently reviewed and evaluated by Li et al. (2015) and include both
102 generic and rice-specific models. The generic models consisted of GECROS (Yin and van Laar, 2005),
103 MCWLA (Tao and Zhang, 2013), and STICS (Brisson et al., 1998). These models, several of which have been
104 used by other AgMIP teams (e.g., Asseng et al., 2013), were evaluated for different crop species (e.g., Biernath
105 et al., 2011). The rice-specific models consisted of APSIM-Oryza (Gaydon et al., 2012b), CERES-Rice (Singh et
106 al., 1993), DNDC-Rice (Fumoto et al., 2008), GEMRICE (Yoshida and Horie, 2010), H/H (Hasegawa and Horie,
107 1997), ORYZA2000 (Bouman and van Laar, 2006), RiceGrow (Tang et al., 2009), SIMRIW (Horie et al., 1995),
108 SAMARA (Kumar et al., 2016), and WARM (Confalonieri et al., 2009). These models were either developed to
109 focus on rice-based systems (e.g., GEMRICE, H/H, WARM, ORYZA2000) or, to varying extents, derived by
110 modifying algorithms of existing models. In two cases, existing models for specific sub-domains (e.g., for rice
111 growth and development) were included in simulation environments, facilitating the simulation of complex
112 cropping and farming systems (APSIM-Oryza, DNDC-Rice). Some models share algorithms with others that
113 belong to the same family (e.g., CERES-Rice shares approaches with CERES-Maize and CERES-Wheat).
114 Most of the models were developed in the late 1990s and 2000s, although a few were developed some years
115 before (CERES-Rice, H/H, STICS); SIMRIW is the oldest of the models used in this study, having been initially
116 developed in 1987, and later modified in 1993 and 2003 to increase its suitability for climate change studies.
117 Major updates primarily consist of the incorporation of new approaches for specific sub-domains (GEMRICE,
118 Yoshida et al., 2011; WARM, Confalonieri et al., 2012; STICS; Bergez et al., 2014) or extension to encompass
119 processes not included in previous versions (APSIM-Oryza, Gaydon et al., 2012a). Other improvements are
120 ongoing for many models, in part due to activities performed within the AgMIP Rice Team.

121

122 **2.2. Analysis of model structure**

123 Models were analysed using a three-step classification approach derived from taxonomic studies. The first step
124 was to identify the main processes involved with growth and development; the second step was to define

125 classification keys within each process, and the third step was to assign binary attributes for each classification
 126 key (Tables 1 to 3). As an example, within the process *Phenological development*, the classification key *Time*
 127 *step* has the attribute *hourly* that can be *true* or *false*. Within the same process, the classification key
 128 *Temperature at* has four attributes (*air*, *water*, *meristematic apex*, *canopy*) that can be either *true* or *false*. This
 129 led us to assigning a binary vector to each model.

130 In accordance with Wery (2005), Hay and Porter (2006), and Adam et al. (2010), six categories of processes
 131 were identified: phenological development, leaf area dynamics, biomass accumulation, partitioning to vegetative
 132 organs, and yield formation. Within each of these categories, a variable number of classification keys were
 133 identified. For example, *Partitioning to vegetative organs* has three classification keys: (i) *driven by*, (ii)
 134 *remobilisation*, and (iii) *temperature failure*, whereas other processes have as many as ten keys. *Biomass*
 135 *accumulation*, for instance, includes (i) *Time step*, (ii) *Temperature at* [*air*, *water*, *meristematic apex*, *canopy*],
 136 (iii) *Atmospheric CO₂ concentration* [considered or not], (iv) *Air relative humidity* [considered or not], (v)
 137 *Canopy representation*, (vi) *Photosynthesis* [RUE, leaf light response curve, Farquhar, N-driven], (vii)
 138 *Saturation to light of enzymatic chains* [considered or not], (viii) *Atmospheric CO₂ concentration effects on*
 139 *respiration* [considered or not], (ix) *Respiration* [explicit or implicit], and (x) *Organ senescence*. The
 140 classification keys can be modified for use in other modelling studies because they depend on the models used
 141 by the AgMIP Rice Team and on the targeted conditions. For example, nitrogen-limiting conditions are not
 142 considered in this study; thus, related processes were not considered for the classification and, for models that
 143 include algorithms for nitrogen, they were either switched off or the model was run simulating fully fertilised
 144 conditions. Classification keys can help to identify (i) modelling approaches, such as those used for
 145 photosynthesis; (ii) driving variables, such as temperature (*air*, *water*, *meristematic apex*, *canopy*) driving
 146 phenological development; (iii) response functions (e.g., linear or not); and (iv) presence/absence of algorithms
 147 for sub-processes, such as photoperiod. For this reason, we decided to use the generic term *attribute* for the
 148 different choices available for each classification key. Note that attributes can refer to processes that are
 149 reproduced using the same conceptual approach, although the way knowledge is formalised for each approach
 150 can be modified in different ways for each model. For instance, in the case of a non-linear temperature response
 151 function for phenological development, equations may differ but still have similar shapes.

Table 1. Analysis of model structure: phenological development and leaf area dynamics.

			APSIM-Oryza	CERES-Rice	DNDC-Rice	GECROS	GEMRICE	MCWLA	H/H	ORYZA2000	RiceGrow	SAMARA	SIMRIW	STICS	WARM
Process	Classification key	Attribute													
Phenological development	Time step	- hourly		•		•					•				•
	Temperature at	- air	•	•	•	•	•	•	•	•	•	•	•		
		- water		•					•						
		- meristematic apex													•
		- canopy												•	
	Response to temperature	- linear	•	•				•		•		•		•	
	Atmospheric CO ₂ concentration	- considered					•						•		
	Limitation for high temperature	- considered	•	•	•	•	•	•		•	•	•	•	•	•
	Photoperiod	- considered	•	•		•	•	•	•	•	•	•	•	•	•
	Response to photoperiod	- linear	•	•		•		•		•				•	•
Leaf area dynamics	Temperature failure	- yes						•							
	Temperature at	- air	•	•	•		•	•	•	•	•	•	•		
		- water			•				•						
		- canopy												•	•
	Green leaf area increase	- C-driven	•	•		•	•			•	•				•
		- N-driven		•	•	•	•		•						
		- organogenesis		•								•			
		- temperature-driven	•	•	•			•		•			•	•	
	Leaf senescence	- C-driven		•					•		•				
		- N-driven		•		•	•		•						
		- organogenesis										•			
		- temperature-driven	•	•				•		•				•	•
		- age structure			•				•				•		
	Self-shading	- considered		•		•		•	•	•	•	•			
Reference [§]			1	2	3	4	5	6	7	8	9	10	11	12	13

§ 1: Gaydon et al. (2012b); 2: Singh et al. (1993); 3: Fumoto et al. (2008); 4: Yin and van Laar (2005); 5: Yoshida and Horie (2010); 6: Tao and Zhang (2013); 7: Hasegawa and Horie (1997); 8: Bouman and van Laar (2006); 9: Tang et al. (2009); 10: Kumar et al. (2016); 11: Horie et al. (1995); 12: Brisson et al. (1998); 13: Confalonieri et al. (2009).

Table 2. Analysis of model structure: biomass accumulation.

			APSIM-Oryza	CERES-Rice	DNDC-Rice	GECROS	GEMRICE	MCWLA	H/H	ORYZA2000	RiceGrow	SAMARA	SIMRIW	STICS	WARM	
Process	Classification key	Attribute														
Biomass accumulation	Time step	- hourly				•	•		•						•	
	Temperature at	- air	•	•	•		•	•	•	•	•	•	•			
		- canopy				•									•	•
	Atmospheric CO ₂ concentration	- considered	•	•	•	•	•	•	•	•	•		•	•	•	
	Air relative humidity	- considered			•	•		•	•							
	Canopy representation	- multi-layer	•			•	•		•	•	•					
	Photosynthesis	- radiation use efficiency		•									•	•	•	•
		- leaf light response curve	•				•				•	•				
		- Farquhar			•	•		•	•							
		- N-driven			•	•	•		•							
	Saturation to light of enzymatic chains	- considered	•		•				•	•	•			•	•	
	Atm. CO ₂ concentration on respiration	- considered						•								
	Respiration	- explicit (gross photosynthesis)	•		•	•	•	•	•	•	•	•				
		- implicit (net photosynthesis)		•										•	•	•
	Biomass senescence	- C-driven				•						•				
		- N-driven		•		•										
		- development stage-driven	•	•	•			•	•	•	•			•		
		- temperature-driven		•					•				•		•	
Reference [§]			1	2	3	4	5	6	7	8	9	10	11	12	13	

§ 1: Gaydon et al. (2012b); 2: Singh et al. (1993); 3: Fumoto et al. (2008); 4: Yin and van Laar (2005); 5: Yoshida and Horie (2010); 6: Tao and Zhang (2013); 7: Hasegawa and Horie (1997); 8: Bouman and van Laar (2006); 9: Tang et al. (2009); 10: Kumar et al. (2016); 11: Horie et al. (1995); 12: Brisson et al. (1998); 13: Confalonieri et al. (2009).

Table 3. Analysis of model structure: partitioning to vegetative organs and yield formation.

			APSIM-Oryza	CERES-Rice	DNDC-Rice	GECROS	GEMRICE	MCWLA	H/H	ORYZA2000	RiceGrow	SAMARA	SIMRIW	STICS	WARM
Process	Classification key	Attribute													
Partitioning to vegetative organs	Driven by	- supply/demand		●	●	●	●					●			
		- development stage	●	●			●	●	●	●	●			●	●
	Remobilization	- considered	●	●		●	●			●				●	●
	Temperature failure	- considered						●							
Yield formation	Atmospheric CO ₂ concentration	- considered				●	●	●					●		
	Grain number	- simulated	●	●		●	●			●				●	
	Panicle number	- simulated		●											
	Spikelet sterility	- heat	●	●			●	●		●	●	●	●		●
		- cold	●	●			●	●	●	●	●	●	●		●
	Yield determination	- grain growth rate		●	●	●	●					●			
		- development stage-driven	●	●							●				
- dynamic harvest index								●	●		●		●	●	
Reference [§]			1	2	3	4	5	6	7	8	9	10	11	12	13

§ 1: Gaydon et al. (2012b); 2: Singh et al. (1993); 3: Fumoto et al. (2008); 4: Yin and van Laar (2005); 5: Yoshida and Horie (2010); 6: Tao and Zhang (2013); 7: Hasegawa and Horie (1997); 8: Bouman and van Laar (2006); 9: Tang et al. (2009); 10: Kumar et al. (2016); 11: Horie et al. (1995); 12: Brisson et al. (1998); 13: Confalonieri et al. (2009).

Our approach for the analysis of model structure constrains attributes to binary values (0 [false] or 1 [true]). Most of the models analysed in this study simulate processes not listed in Tables 1–3. We focused on the processes involved with rice growth and development under conditions of unlimited water and nitrogen, and in the absence of effects of pathogens, insects, or weeds. We classified the models based on the Sokal and Sneath I (1973) binary similarity measure (Choi et al., 2010). Assuming $X = (x_1, \dots, x_i, \dots, x_n)$ and $Y = (y_1, \dots, y_i, \dots, y_n)$ as two vectors of n attributes, with each attribute assigned binary values, the Sokal and Sneath I similarity coefficient (S ; unitless, 0–1) is calculated according to Eq. 1:

$$S = \frac{a}{a + 2b + 2c} \quad (1)$$

where a is the number of attributes x_i and y_i equal to 1 for both vectors; b is the number of attributes for which x_i is 0 and y_i is 1; and c is the number of attributes for which x_i is 1 and y_i is 0. This similarity coefficient excludes attributes for which both x_i and y_i are 0 (negative matches), because the possible lack of attributes in the vectors could prevent negative matches to refer to similarity between X and Y (Sokal and Sneath, 1963). A similarity coefficient was then used to perform an agglomerative hierarchical clustering (Cormack, 1971) using the unweighted pair-group method with arithmetic mean (UPGMA; Sneath and Sokal, 1973). The threshold for model clusters definition was based on the largest decrease in Shannon's entropy between a node and the next one. In practice, the metric $1 - \text{entropy}_{\text{node}i} - 1 - \text{entropy}_{\text{node}i}$ was minimised in order to identify the truncation value.

2.3. Analysis of the differences in model structures compared to those in model outputs

Results of the model classification procedure were compared to differences in the results generated by the models in the study conducted by Li et al. (2015). In particular, we used simulated results, after model calibration, for the experiments performed under non-limiting conditions for water and nitrogen (Table 4).

Table 4. Datasets used for analysing differences in model outputs. Of the experiments presented in Li et al. (2015), only those characterised by non-limiting conditions for water, nutrients, weeds, pests, and diseases were used.

Site	Institute	Latitude N	Longitude E	Climate	Year	Transplanting date	Cultivar name	Ecotype	Growth duration
Los Baños, Philippines	IRRI ¹	14°6'	121°9'	Tropical, humid	1985 1986	February 5 February 6	IR58	Indica	120-125 days
Ludhiana, India	PAU ² , IRRI	30°54'	75°48'	Subtropical, semi-arid	2008 2009	July 6 July 6	PAU201	Indica	130-135 days
Nanjing, China	NAU ³	32°56'	118°59'	Subtropical, semi-humid	2007	June 29	Wuxiangjing 14	Japonica	ca 150 days
Shizukuishi, Japan	NIAES, NARO/TART ⁴	39°41'	140°57'	Cool temperate, humid	1998 1999 2000	May 22 May 20 May 23	Akitakomachi	Japonica	ca 150 days

¹ International Rice Research Institute, Los Baños, Philippines.

² Punjab Agricultural University, Ludhiana, India.

³ Nanjing Agricultural University, Nanjing, China.

⁴ National Institute for Agro-Environmental Sciences, Tsukuba, Japan; NARO/TART = National Agricultural Research Organization/Tohoku Agricultural Research Center.

201 The experiments cover a wide variety of environments in which rice is grown in Asia. Climates range from
 202 tropical humid (Los Baños, Philippines) to cold temperate humid (Shizukuishi, Japan). During the rice growing
 203 season, the highest temperatures were from Ludhiana (India), with mean maximum and minimum air daily
 204 temperature exceeding 33.5 °C and 24.5 °C, respectively, whereas sub-optimal temperatures were measured for
 205 the three Shizukuishi experiments (with mean maximum and minimum daily air temperatures of 26.1 °C and
 206 15.9 °C, respectively), and intermediate thermal conditions characterised the rice seasons in Los Baños and
 207 Nanjing (China). Most of the variation in the thermal regimes occurred during the vegetative phase. Further
 208 experimental details are available in Table 4 and in Li et al. (2015).
 209 For each experiment, simulated growth duration (GD; days), aboveground biomass (AGB; Mg ha⁻¹) and panicle
 210 biomass (PB) at physiological maturity (Mg ha⁻¹), and maximum leaf area index (around flowering; LAI; m² m⁻²)
 211 were analysed. The results of each site were processed using principal component analysis (PCA) to account for
 212 correlations among variables. In particular, PCA was performed for each study site to determine the effects of
 213 site × year interactions on model behaviour. Distances among models in the principal component spaces were
 214 analysed in light of each models' classification within the clusters, as described in the previous section.
 215

216 **3. Results**

217 **3.1. Model structure**

218 The UPGMA analysis identified CERES-Rice (cluster BI) as differing the most from the other models (Fig. 1).
 219 Three model clusters were found each composed of two models: AI, consisting of GECROS and GEMRICE;
 220 AII, consisting of DNDC-Rice and H/H; BII, consisting of STICS and WARM. The largest cluster (AIII)
 221 consisted of MCWLA, RiceGrow, APSIM-Oryza, ORYZA2000, Samara, and SIMRIW.
 222

Figure 1. Dendrogram showing model clusters obtained using the classification criteria presented in Tables 1–3. Agglomerative hierarchical clustering was performed using the Sokal and Sneath I similarity coefficient and the unweighted pair-group method with arithmetic mean.

The differences between CERES-Rice and the other models largely reflected CERES-Rice providing more detailed description of the processes involved in the dynamics of plant organs during the crop cycle (senescence, remobilization, and yield formation). The distinctiveness of GECROS and GEMRICE (AI) was due to their explicit focus on genotype $\times$ environment interaction, and thus on trait descriptions and on feedback mechanisms. STICS and WARM (cluster BII) share a net photosynthesis approach based on the concept of radiation use efficiency, albeit modified to allow the simulation of processes normally considered in more complex approaches (e.g., saturation of enzymatic chains). The inclusion of DNDC-Rice and H/H in the same cluster (AII) was due to the H/H module for crop growth being used as partial substitute for SUCROS (van Keulen et al., 1982) algorithms within the current version of DNDC-Rice. Cluster AIII is the largest and most heterogeneous

of the clusters. Models belonging to this cluster lack a module for energy balance and use air temperature to drive phenological development, leaf area dynamics, and photosynthesis. Three models in this cluster (RiceGrow, APSIM-Oryza, and ORYZA2000) implement SUCROS-type algorithms for canopy representation and photosynthesis, but differ for other processes. In general, the main differences among the models concerned partitioning of assimilates to vegetative organs and yield formation, whereas fewer or more minor differences were observed for leaf area dynamics and biomass accumulation and, most notably, for phenological development.

3.2. Relationship between model structures and simulation outputs

The first two PCA components explained over 75% of the total variance in simulated output, with about 85% of the variance explained for the simulations in Los Baños and Shizukuishi sites. For the same sites, component 1 included information mostly related to PB, AGB and LAI, whereas GD was predominant in component 2. These sites had low values of simulated LAI, PB, and AGB, apparently due to the lower radiation during the vegetative phase compared to the other two sites. The way in which components 1 and 2 represented information from the four variables analysed for the Ludhiana and Nanjing sites was less distinct, with LAI related to both components. In general, component 1 explained about half of the total variance (from 45.3% in Ludhiana to 59.2% in Shizukuishi), whereas the second component explained about 25% of the variance, with the exception of Ludhiana, for which 32% of the total variance was explained. Although some authors have suggested to perform PCA with at least three items for each factor (e.g., Costello and Osborne, 2005), the PCA we performed had just descriptive objectives. Our aim was indeed to provide readers with a synthetic representation of outputs for the different sites, years, and models. However, the meaningfulness of the analysis is confirmed by the eigenvalues for the two principal components, which were always greater than one (e.g., Kaiser, 1960; Fabrigar et al., 1999). Results of the PCAs for the four experimental sites differed markedly (Fig. 2), underscoring a clear effect of site on the relative differences among the models. The within-site year effect was considerably less important (data not shown).

Figure 2. Principal component analysis (PCA) of simulated growth duration, maximum leaf area index (around flowering), aboveground biomass and panicle biomass at maturity; PC scores are shown.

The results of the UPGMA performed on model structure did not reflect the relative differences among model outputs, with clear patterns in model results rarely identifiable (Fig. 2). Cluster AII (including DNDC-Rice and H/H) was the only cluster that displayed a consistent trend in output among the sites. In particular, for simulations of Los Baños and Shizukuishi, the distances of the points due to model and year effects were comparable (Figs. 2.a and 2.d). However, for the Ludhiana site, H/H results were explained almost entirely by component 1, whereas DNDC-Rice results were equally explained by component 1 (inversely compared to H/H)

and component 2. To a certain extent, cluster AIII exhibited a certain coherence for the model $\times$ year interaction in the coldest site (Shizukuishi; Fig. 2.d), although this pattern did not hold for Los Baños and Ludhiana (Figs. 2.a and 2.b). In particular, ORYZA2000 and APSIM-Oryza largely shared the same structure (Fig. 1) and were also similar in terms of output for Los Baños (Fig. 2.a), although larger differences in output existed for Nanjing (Fig. 2.c) and Shizukuishi (Fig. 2.d). In some cases, the year effect generated larger differences than those attributable to the models, even within the same cluster. Examples of this behaviour include GEMRICE in Los Baños, ORYZA2000 in Ludhiana, and WARM in Shizukuishi.

Figure 3.a demonstrates how different outputs can be produced (in this case starting from the beginning of the heading stage at Los Baños in 1985) by two models (the two versions of Oryza) that are very similar according to the cluster analysis presented in Fig. 1 (cluster AIII). On the other hand, AGB curves that almost overlapped were simulated by two models (CERES-Rice and WARM) belonging to distinct clusters (BI and BII, respectively). For Shizukuishi 1999 (Fig. 3.b), the simulation results were very similar for CERES-Rice and WARM (at least until the ripening stage), whereas differences in the ORYZA2000 and APSIM-Oryza outputs were, as expected, negligible. Figure 3.c illustrates another example, in which the two versions of Oryza generated different AGB values, whereas two other models that were very different in structure (STICS and MCWLA, belonging to clusters BII and AIII, respectively) provided very similar outputs. As expected, Fig. 3.d presents distinct AGB values from models belonging to different clusters (BII for WARM and STICS, BI for CERES-Rice and AIII for MCWLA).

Figure 3. Sample results underlying differences among aboveground biomass (AGB) data simulated by the different models. Among the models highlighted, APSIM-Oryza, ORYZA2000, and MCWLA belong to cluster AIII, WARM and STICS to cluster BII, and CERES-Rice to cluster BI. Los Baños 1985, Shizukuishi 1999 and 2000, and Ludhiana 2009 refer to the datasets presented in Table 4.

4. Discussion

Attempts were recently made to cluster crop models based on relationships between simulated yields and weather variables during the growing season (Ruane et al., 2016). However, our study is the first to classify crop models based on their structure (i.e., on how knowledge about different processes is formalised) with a transparent and reproducible methodology. Analysis of the structure of the 13 models included in our study

307 resulted in five clusters, the largest composed of six models. Even within a cluster, however, there were large
308 differences in model complexity. For instance, the largest cluster included four models based on gross
309 photosynthesis: MCWLA based on a Farquhar-type approach (Farquhar et al., 1980), the others (RiceGrow and
310 the two versions of Oryza) based on leaf light response curve (De Wit, 1978). In contrast, in the same cluster,
311 Samara and SIMRIW incorporate a simpler radiation use efficiency-based net photosynthesis approach (Warren
312 Wilson, 1967). The same consideration of models having different degrees of complexity within the same cluster
313 is also true for yield formation: the largest cluster includes one model based on grain growth rate (Samara), two
314 models partitioning assimilates to grains as a function of development stage (the two versions of Oryza), and
315 three models based on harvest index to compute grain yield from aboveground biomass (MCWLA, RiceGrow,
316 SIMRIW). The independence of clusters from model complexity is valid for other clusters as well, albeit with
317 such differences being less evident given that, with the exception of cluster BI, each of the other clusters
318 includes only two models.

319 Differences in model outputs within each cluster were comparable with those among clusters (e.g., GEMRICE in
320 Los Baños, WARM in Shizukuishi; Fig. 2), thus casting a shadow on the existence of strong relationships
321 between model structure and model outputs. Similar conclusions were reported by Ruane et al. (2016), who
322 analysed 27 wheat models. Although the authors of that study clustered models based solely on the relationships
323 between outputs and seasonal weather (and not structure), they acknowledged that the common heritage of
324 different modelling approaches – which should, theoretically, lead to structural analogies – was not reflected
325 clearly in model behaviour. This suggests that factors other than model structure influenced simulation results,
326 and that part of the uncertainty in model outputs is not directly attributable to the models themselves (Wallach,
327 2011; Rötter et al., 2012). Our results revealed model behaviours that were, to an extent, unexpected. On the one
328 hand, models that *might have been expected* to provide different results because of pronounced differences in
329 their structure actually converged in terms of output. On the other hand, models that would be expected to
330 provide similar results because of their structure can generate markedly different outputs. The first case might be
331 explained by considering the approaches used for some sub-processes (e.g., photosynthesis) as different ways to
332 formalise our knowledge about the real system. Indeed, given that mathematical analogies are not “true” by
333 definition, they instead represent alternative approximations, with some performing in a very coherent way

334 under certain environmental and management conditions but not necessarily under others. Examples of such
 335 behaviour are illustrated in Figs. 3.a and 3.b, with CERES-Rice (cluster BI; Fig. 1) and WARM (cluster BII)
 336 providing aboveground biomass values that almost completely overlapped for the Los Baños 1985 and
 337 Shizukuishi 1999 datasets, despite major differences in the approaches used for most processes (Tables 1–3) and
 338 the different environmental conditions under which rice was grown in the two datasets. The same consideration
 339 is clearly supported by the agreement between the MCWLA (cluster AIII) and STICS (cluster BII) outputs for
 340 the Ludhiana 2009 dataset (Fig. 3.c).

341 The second case (unexpected divergence of outputs generated by models similar in structure) may be explained
 342 by user subjectivity during calibration (Janssen and Heuberger, 1995), which can affect model behaviour
 343 (Sinclair and Seligman, 2000) to such an extent that models with similar structures may behave differently.
 344 Indeed, because not all models contain automated calibration frameworks – which must themselves be
 345 parameterised and thus are, to an extent, also exposed to users’ subjectivity – calibration in the crop modelling
 346 community is often still performed via trial-and-error, although such calibration method is increasingly being
 347 abandoned in other modelling fields (van Vliet et al., 2016). The impact of user subjectivity during calibration
 348 was recently quantified by Confalonieri et al. (2016), who arranged five crop models (levels of the factor *model*)
 349 and 20 users in a randomised block design with four replicates. They discovered that differences among the
 350 outputs of different models were significant in 30% of the maize datasets only, given the large variability in the
 351 outputs of each model when calibrated by different users. The situation is even more complex given that user
 352 subjectivity can lead to relevant differences in the outputs of the same model in the absence of any biophysical
 353 incoherence in the values of calibrated parameters. The clearest example of models providing different outputs
 354 despite their structural coherence is that of ORYZA2000 and APSIM-Oryza (Figs. 3.a and 3.c). For some
 355 datasets, the two models simulated distinctly different aboveground biomass during the reproductive phase (e.g.,
 356 Los Baños 1985) or the whole growth cycle (Ludhiana 2009). Differences in aboveground biomass at maturity
 357 were as high as 30%; however, this was partly due to the differences in the soil modules implemented in the two
 358 versions of Oryza. Indeed, although we selected only datasets with the highest nitrogen application rates, minor
 359 differences in nitrogen availability were simulated by the two models.

360 The last consideration suggests algorithms for different processes can differentially impact the output of each,
361 and thus classification keys and related attributes (Tables 1 to 3) should be weighted in a different manner before
362 cluster analyses are performed. One way of minimizing subjectivity when assigning weights (that might affect
363 model structure analysis) is to define a hierarchy among the processes based on the relevance of the parameters
364 related to each attribute. In such a case, a variety of sensitivity analysis techniques are available that can be used
365 to quantify the relevance of input parameters on model outputs (Jakeman et al., 2006), for which comparisons
366 were made for WARM, one of the crop models used in this study (Confalonieri et al., 2010). However, two
367 issues prevent the assignment of weights to attributes based on sensitivity analysis results. The first is involved
368 with the different number of parameters used within the algorithms for each attribute in each model. For each of
369 the sub-processes corresponding to each classification key/attribute, indeed, models differ in the number of
370 parameters used. Moreover, when a process is not explicitly included in a specific model, related attributes will
371 not be weighted at all, and deriving weights for classification keys and attributes in a different way for each
372 model is impractical. The second problem is involved with the effect of explored conditions on sensitivity
373 analysis results. The relevance of model parameters on simulation results can vary greatly under different
374 climates and management scenarios, although this tendency differs among models (Confalonieri et al., 2012).

375

376 **5. Conclusions**

377 Our classification method was effective in clustering models in a transparent and reproducible way. However,
378 the analysis of the relationship between model structures and model outputs (PCA performed on outputs for each
379 experimental site) revealed that differences in structure can produce similar outputs, and coherence in
380 approaches can lead to large differences in simulation results. Among the explanations for these behaviours –
381 somehow observed also by Ruane et al. (2016) for wheat models – are user subjectivity during the calibration as
382 well as the history of model parameterizations before the study performed by Li et al. (2015), given that initial
383 parameter values can affect calibration results. If confirmed in further studies, these explanations should prompt
384 the modelling community to develop rigorous standard protocols designed to restrict the degrees of freedom
385 during calibration, and to limit, in turn, the risk that user subjectivity will alter model functioning. These

386 protocols can be based, for example, on multi-user calibration (Diekkrüger et al., 1995; Confalonieri et al., 2016)
387 or on automated optimisation algorithms (Muleta and Nicklow, 2005) and, in any case, by an *a priori* analysis of
388 model behaviour via sensitivity analysis techniques (Tarantola and Saltelli, 2003). Of course, in the case of crop
389 modelling, the situation is complicated by large differences in model complexity (in terms of the number of
390 model parameters) and by the presence of parameters with the same name but different meanings in different
391 models.

392 Indeed, although different authors have proposed good practices for model use over recent decades (Sinclair and
393 Seligman, 2000; Jakeman et al., 2006; Wallach et al., 2006), the crop modelling community does not appear to
394 be paying sufficient attention to uncertainty produced by model users.

395 An improvement to the methodology used to cluster models could derive from the assignment of weights to the
396 classification keys and attributes based on their differential impacts on model outputs. However, despite
397 sensitivity analysis theoretically being a suitable technique, no solution was found because of the presence of a
398 different number of parameters in the models' algorithms for the same attribute, and the known variability in
399 sensitivity analysis results while changing conditions of applications prevent its use for classification purposes.

400

401 **Authorship**

402 This paper represents the combined effort of thirty researchers who appear as co-authors. We comprise the
403 AgMIP-Rice project team. RC coordinated the study and wrote the first draft of the paper. SB, MA, RC, FR
404 motivated the study and developed the first version of data analysis, later improved by TL, TH, KB, DG, LTW,
405 JB, YY, DW. All authors provided crop model simulations and description/explanations of the characteristics of
406 the models. All authors contributed to the discussion of results.

407

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418

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