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2 **Modeling sugar cane yield with a process-based**
3 **model from site to continental scale:**
4 **uncertainties arising from model structure and**
5 **parameter values.**

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1

2 **Abstract**

3 Agro-Land Surface Models (agro-LSM) have been developed from the integration
4 of specific crop processes into large-scale generic land surface models that allow
5 calculating the spatial distribution and variability of energy, water and carbon
6 fluxes within the soil-vegetation-atmosphere continuum. When developing agro-
7 LSM models, a particular attention must be given to the effects of crop phenology
8 and management on the turbulent fluxes exchanged with the atmosphere, and
9 the underlying water and carbon pools. A part of the uncertainty of Agro-LSM
10 models is related to their usually large number of parameters. In this study, we
11 quantify the parameter-values uncertainty in the simulation of sugar cane
12 biomass production with the agro-LSM ORCHIDEE-STICS, using a multi-regional
13 approach with data from sites in Australia, La Réunion and Brazil. In ORCHIDEE-
14 STICS, two models are chained: STICS, an agronomy model that calculates
15 phenology and management, and ORCHIDEE, a land surface model that calculates
16 biomass and other ecosystem variables forced by STICS phenology. First, the
17 parameters that dominate the uncertainty of simulated biomass at harvest date
18 are determined through a screening of 67 different parameters of both STICS and
19 ORCHIDEE on a multi-site basis. Secondly, the uncertainty of harvested biomass
20 attributable to those most sensitive parameters is quantified and specifically
21 attributed to either STICS (phenology, management) or to ORCHIDEE (other
22 ecosystem variables including biomass) through distinct Monte-Carlo runs. The
23 uncertainty on parameter values is constrained using observations by calibrating
24 the model independently at seven sites. In a third step, a sensitivity analysis is
25 carried out by varying the most sensitive parameters to investigate their effects
26 at continental scale. A Monte-Carlo sampling method associated with the
27 calculation of Partial Ranked Correlation Coefficients is used to quantify the
28 sensitivity of harvested biomass to input parameters on a continental scale
29 across the large regions of intensive sugar cane cultivation in Australia and
30 Brazil. Ten parameters driving most of the uncertainty in the ORCHIDEE-STICS
31 modeled biomass at the 7 sites are identified by the screening procedure. We
32 found that the 10 most sensitive parameters control phenology (maximum rate

1 of increase of LAI) and root uptake of water and nitrogen (root profile and root
2 growth rate, nitrogen stress threshold) in STICS, and photosynthesis (optimal
3 temperature of photosynthesis, optimal carboxylation rate), radiation
4 interception (extinction coefficient), and transpiration and respiration (stomatal
5 conductance, growth and maintenance respiration coefficients) in ORCHIDEE.
6 We find that the optimal carboxylation rate and photosynthesis temperature
7 parameters contribute most to the uncertainty in harvested biomass simulations
8 at site scale. The spatial variation of the ranked correlation between input
9 parameters and modeled biomass at harvest is well explained by rain and
10 temperature drivers, suggesting climate-mediated different sensitivities of
11 modeled sugar cane yield to the model parameters, for Australia and Brazil. This
12 study reveals the spatial and temporal patterns of uncertainty variability for a
13 highly parameterized agro-LSM and calls for more systematic uncertainty
14 analyses of such models.

15

16 **1 Introduction**

17

18 In the recent years, many governments have set targets in terms of biofuels
19 consumption for transportation fuel (Sorda et al., 2010), resulting in a large increase
20 in bioenergy cropping area around the world. Concerns about energy shortage, policy
21 to reduce CO₂ emissions, and the search for new income for farmers can explain why
22 energy policies have considered biofuels as a serious alternative to fossil fuel in many
23 countries (Demirbas, 2008). Yet, the claimed benefits of biofuels for fossil fuel
24 substitution have been questioned in terms of their net effect on atmospheric CO₂ and
25 climate, and even of their economic return (Doornbosch and Steenblik; Naylor et al.,
26 2007). In particular, the conditions of biofuel cultivation, such as the type of crop,
27 practice, previous land use, and local climate, have emerged as key factors that
28 determine the effectiveness of their carbon emissions reduction (Fargione et al., 2008;
29 Hill et al., 2006; Searchinger et al., 2008). At the heart of biofuel cultivation is ethanol
30 that represents today 74% of the energy content of the world production of liquid
31 biofuels (Howarth et al., 2008) and whose production is expected to double between
32 2011 and 2021 (OECD, 2012), hence the urgency to better quantify and understand

1 regional potentials of bioethanol crops. Based on recent life cycle analysis studies (de
2 Vries et al., 2010; Schubert, 2006; von Blottnitz and Curran, 2007), ethanol from
3 sugar cane is the most competitive in terms of energy use and net carbon balance and
4 the energy use projections from the International Energy Agency foresee that by 2050,
5 sugar cane is the only 1st generation biofuel that that will keep expanding (IEA, 2011).

6

7 The impact of sugar cane expansion on climate and carbon balance is under
8 scrutiny with different approaches. Satellite observation data have been used to
9 study biophysical effects of sugar cane expansion on local temperature in the
10 Brazilian Cerrado (Loarie et al., 2011) Survey for agricultural and industrial
11 performances from sugar cane mills have allowed Macedo et al. (2008) to establish
12 the carbon balance of sugar cane ethanol production in the Center-South of Brazil.
13 Georgescu et al. (2013) simulate the hydroclimatic impacts of sugar cane expansion
14 by forcing sugar cane land cover characteristics into a regional climate model. All
15 approaches provide useful information on impacts and potentials but are impractical
16 to apply outside of the regions and conditions (climate, management) where they have
17 been conducted.

18

19 In parallel with empirical approaches, significant progress has been made towards
20 mechanistic modeling of sugar cane yields using models. Crop models are generally
21 used to simulate sugar cane production at site scale, with specific parameters
22 (Cheeroo-Nayamuth et al., 2000). Land surface models (LSM) are rather used to
23 estimate the spatial distribution of crop productivity under different soil and climatic
24 conditions, over a region or even over the globe but with a simpler and generic
25 description of sugar cane plants (Black et al., 2012; Cuadra et al., 2012; Lapola et al.,
26 2009). Agro-LSM models stand at the interface between plot-scale crop models and
27 global LSMs. Yet, as highlighted by Surendran Nair et al. (2012) if the development
28 of agro-LSM models for biofuels has been the subject of much interest recently,
29 detailed parameterization, validation and uncertainty quantification is still very
30 limited in regional and global applications, and efforts must be made in that direction.
31 The importance of evaluating and communicating about global models uncertainty
32 was as well emphasized within the framework of the model inter-comparison project

1 AgMIP - providing insights for IPCC AR5 report – in which crop models uncertainty
2 is identified as a key theme of interest that was only little explored so far (Rosenzweig
3 et al., 2013). ORCHIDEE-STICS (Gervois et al., 2004) is an agro-LSM model that
4 has been developed from the coupling of the agronomical model STICS (Brisson et
5 al., 1998) and the Land Surface Model ORCHIDEE (Krinner et al., 2005) and that has
6 been applied for studies from site to continent mainly for temperate crops in Europe
7 (Gervois et al., 2008) and has been recently adapted to sugar cane simulation (Valade
8 et al., 2013).

9

10 Four uncertainty sources affect the simulation of sugar cane biomass with
11 ORCHIDEE-STICS: 1) input uncertainty on boundary conditions used for climate
12 drivers and soil properties, 2) structure uncertainty related to model equations and
13 parameterizations, 3) parameters value uncertainty, and 4) uncertainty associated with
14 the measurements used for model evaluation or calibration. Here we focus on
15 structure and parameters uncertainty and try to estimate how these two sources of
16 uncertainties affect the simulations of sugar cane harvest biomass. We want to
17 determine which parameters are responsible for most of the uncertainty in harvest
18 biomass (screening analysis) and to what extent this is related to the model's structure
19 (uncertainty analysis). In addition, we want to quantify this uncertainty and examine
20 its temporal and spatial variability (sensitivity analysis).

21

22 In the following, we first present the sites and regions considered in this study (section
23 2.1) and the main features of the ORCHIDEE-STICS model (section 2.2). We then
24 describe the screening algorithm used to sort the most important parameters (section
25 2.3), and the uncertainty and the sensitivity analyses (sections 2.4 and 2.5). Then we
26 discuss the results of the screening analysis, in terms of the parameters identified by
27 the screening as the most important for controlling harvested sugar cane biomass
28 (section 3.1). We describe the results for the measure of the uncertainty calculated for
29 7 sites in section 3.2 to 3.4 and present maps of the sensitivity of the model to its main
30 parameters in section 3.5.

31

1 **2 Materials and methods**

2 In this study, we aim to quantify the uncertainty related to the parameter values of a
3 chain of two process-based models (STICS-ORCHIDEE) to simulate sugar cane yield
4 (biomass at harvest date). This is a difficult task because this model is a detailed and
5 complex model that contains over 100 plant specific parameters within the primitive
6 equations of phenology, energy and water balance, photosynthesis and allocation. We
7 perform the uncertainty analysis in three steps, illustrated in Figure 1 and consisting
8 of screening, uncertainty and sensitivity analyses, all described in more details in
9 section 2. These three steps are sequential and complementary. The first step is a
10 screening to sort the most important parameters controlling yield, and to reduce the
11 dimension of the parameter space from a large number of parameters to few key
12 parameters, allowing a moderate number of sensitivity simulations. The screening
13 allows the restriction of the two further steps to a smaller parameter subset. The
14 second step is an uncertainty analysis that considers all retained parameters together
15 with their probability distributions and determines the probability distribution for the
16 output variable (biomass). The third step is a sensitivity analysis of the modeled
17 spatial distribution of sugar cane yield to the model parameters for two large regions,
18 in Brazil and Australia, at a spatial resolution of 0.7°. The sensitivity is established
19 from the spatial distribution of ranked correlations between each parameter and yield
20 in each grid point. Along the study steps, we address several problems inherent to
21 uncertainty and sensitivity evaluation such as the determination of the uncertainty on
22 the input parameters and the spatial (regional) differences of the sensitivity of the
23 model to its key parameters.

24 **2.1 Sites and study areas**

25 This study is based on sugar cane field trials in three regions (figure 2) where sugar
26 cane is of economical importance, Brazil (1 site), Australia (4 sites), and La Reunion
27 Island (2 sites). These sites, already used by Valade et al. (2013) span different
28 climatic conditions and agricultural practices, as shown in Table 1, which makes them
29 useful for our purpose to provide continental-scale sugar cane yield uncertainty
30 estimates. More details about the four sites from Australia and La Réunion can be
31 found respectively in Keating et al. (1999); Muchow et al. (1994); Robertson et al.
32 (1996) and in Martiné (unpublished). The site from Brazil is described in(Marin et al.,

1 2011). The sensitivity analysis of the yield spatial distribution to the model parameters
2 is carried out for two continental-scale areas where sugar cane is cultivated at large
3 scale. In Brazil, we consider the region encompassing partly the Sao Paulo and Mato
4 Grosso states, and in Australia the sugar cane cultivation belt of the northeastern coast
5 (Figure 2).

6 **2.2 Model & parameters considered**

7 We use the agro-Land Surface Model ORCHIDEE-STICS (Gervois et al., 2004) in a
8 version that was already calibrated for sugar cane for Leaf Area Index at the same
9 sites than used here (Valade et al., 2013). This model chains the crop model STICS
10 with sugar cane specific phenology and management with the generic process-based
11 land surface model ORCHIDEE that can be applied either at a site, or on a grid for
12 regional runs.

13 STICS (Brisson et al., 1998) is an agronomical model designed for site-scale
14 operational applications, which describes in details the soil and crop processes
15 associated with specific crop varieties and with management practices, such as
16 aboveground biomass, and biomass nitrogen content, water and nitrogen content in
17 the soil, yield, root density. Yet, STICS is a generic crop model, because from a set of
18 common equations it can describe a large number of crop species through specific
19 parameterizations. Similarly, specific vectors of parameters define crop cultivars.
20 STICS has been validated for a variety of cropping situations (Brisson et al., 2003)

21 ORCHIDEE (Krinner et al., 2005) is a land surface model developed for global
22 applications, standing now as the land surface model of the IPSL Earth System
23 Model. It has been developed from the association of a surface energy and water
24 balance scheme (SECHIBA) with a biogeochemistry module (STOMATE) and as
25 such simulates the short time scale exchanges of water and energy between the land
26 surface and the atmosphere, as well as the processes of the carbon cycle including
27 photosynthesis, respiration, carbon allocation, soil decomposition. The vegetation is
28 represented in ORCHIDEE with the Plant Functional Type (PFT) concept, by
29 grouping species into a few categories based on the similarities of their traits and
30 resulting in an average plant. For example, sugar cane would fall in the generic 'C4
31 crop' PFT in the standard version of ORCHIDEE, and this un-calibrated version of
32 model fails to reproduce site-level phenology, as shown by Valade et al. (2013)

1 The chaining of STICS with ORCHIDEE was performed to improve the ability of
2 ORCHIDEE to simulate specific crops, for which the PFT concept was not
3 appropriate, as it lacks representation of crop phenology and crop management
4 practices (Gervois et al., 2004). In the chain-like structure (Figure 3), STICS
5 calculates phenology, water and nitrogen requirements, and passes the key variables
6 of Leaf Area Index (LAI), root profile and nitrogen stress as well as the input data
7 concerning irrigation requirements to ORCHIDEE that uses them to calculate carbon
8 assimilation and allocation, water balance, and energy-related variables. The one-way
9 coupling between the two models can generate some inconsistencies, such as the soil
10 status that is different between ORCHIDEE and STICS. This type of inconsistencies,
11 inherent to the structure of the model is considered as part of the structural uncertainty
12 and is not covered in this study. However, this particular one-way structure will have
13 a consequence in the uncertainty that we are analyzing in this study.

14 ORCHIDEE and STICS each have a large number of parameters involved at every
15 step of a simulation over the course of a growing season. The values of these
16 parameters - often empirically prescribed - are not easy to measure or are not
17 measurable at all, calling in many cases for expert judgment to set their values, when
18 it is impractical to find reference values. The uncertainty of these parameters is
19 propagated onto the output variables of ORCHIDEE STICS and has impacts which
20 strength depends on the structure of both STICS and ORCHIDEE. Because of the
21 chain-type structure of ORCHIDEE-STICS (fig.3), the parameters from STICS that
22 control LAI and nitrogen stress are expected to have a weaker and more indirect effect
23 on downstream variables such as biomass compared with parameters from
24 ORCHIDEE that directly control carbon assimilation processes and the development
25 of biomass to produce yield at the date of harvest.

26 **2.3 Parameter screening**

27 In this section, we describe the screening step that allows us to select the most
28 influential parameters upon which the model uncertainty is investigated. An initial set
29 of 17 parameters from ORCHIDEE and 50 parameters from STICS is considered for
30 the screening, according to their influence on the simulation of biomass production,
31 based on expert knowledge and literature as listed in Table 2. The screening analysis
32 procedure is the same as described in (Valade et al., 2013). It is based upon the

1 method of Morris (Campolongo et al., 2007; Morris, 1991; Pujol, 2009) often used to
2 explore the parameters space for complex models with a large number of parameters.
3 Like all screening methods, the Morris method gives qualitative information on the
4 sensitivity of the output variables to the parameters, since it only discriminates
5 parameters based on their importance, but does not provide information on the relative
6 difference of importance (Cariboni et al., 2007). Its aim is to reduce the
7 dimensionality of the problem for further use of quantitative, computationally heavier
8 methods (Saltelli et al., 2004).

9 The advantage of the Morris method is that it is computationally efficient and easy to
10 implement and interpret. It is based on a one-at-a-time approach, in which only one
11 parameter is changed between two runs, allowing for the calculation of a local partial
12 derivative of the output variable with respect to the input parameter, called an
13 elementary effect. The Morris method is considered to be a “global” screening
14 method, because the algorithm is repeated several times to calculate the elementary
15 effects of each parameter in several locations of the parameters space so that the
16 average and standard deviation of all elementary effects associated with each
17 parameter are representative of the behavior of this parameter in its whole range of
18 variation. The results of the Morris screening algorithm can be represented by a 2-D
19 plot of standard deviation versus mean value of the elementary effects on the output
20 variable (here harvested biomass) of each parameter. A parameter with a high mean
21 elementary effect (called μ , or μ^* for mean of absolute values) is interpreted as a
22 parameter with high influence on the output harvested biomass variable. A parameter
23 with a high standard deviation of its elementary effects (σ) is interpreted as inducing
24 non-linearities in the model output, and/or as having interactions with other
25 parameters.

26 Here, we apply the Morris method as implemented in the R 'sensitivity' package
27 (Pujol et al., 2013) using site-scale simulations of ORCHIDEE STICS across the 7
28 field trial sites listed in Table 1. For each site, we identify the most influential
29 parameters for the output variable harvested biomass. The parameters identified as
30 important at least at two sites are selected for the rest of the study.

31

1 **2.4 Uncertainty analysis (UA)**

2 The goal of the UA is to quantify the overall uncertainty in the harvested biomass
3 output variable that results from uncertain input parameter values. Firstly, based on
4 the a priori probability of each parameter's value, a Probability Density Function is
5 assigned to each parameter in order to generate sample parameter sets according to the
6 Latin Hypercube Sampling (LHS) method. Secondly, an ensemble of model runs is
7 performed using those samples. Thirdly, the uncertainty on the output variables is
8 obtained from the statistical properties of the distribution of simulated harvested
9 biomass from the ensemble runs by defining the uncertainty as one standard deviation
10 of the distribution.

11 The first step is thus to generate parameters samples constrained with prior parameters
12 ranges and statistical distributions that are then used as inputs for ensemble
13 simulations.

14 The parameters considered for the uncertainty (UA) for both STICS and ORCHIDEE
15 are those selected by the screening analysis, allowing a reduction in the parameters
16 space hypercube dimensionality and therefore in the required computing resources.
17 Starting from the initial set of 17 and 50 parameters respectively for the screening of
18 ORCHIDEE and STICS parameters, the Morris algorithm result (see Section 3.1)
19 allows us to reduce the parameter numbers to 8 and 3 parameters for ORCHIDEE and
20 STICS, respectively.

21 For the UA, we use Monte-Carlo methods, which are less computationally expensive
22 than variance-based approaches (Marino et al., 2008), making them a frequent choice
23 in environmental sciences (Poulter et al., 2010; Verbeeck et al., 2006; Zaehle et al.,
24 2005). The Monte-Carlo sampling scheme used here is the stratified LHS, which is an
25 efficient scheme for generation of multivariate samples of statistical distributions
26 (McKay et al., 1979) In LHS, the range of each of the k parameters X_1, X_2, \dots, X_k
27 included in the study is divided into N intervals of equal probability. One value is
28 randomly selected from each interval. The N values obtained for the X_1 parameter are
29 then paired at random, without replacement, with the N values obtained for the X_2
30 parameter, then to the N values obtained for the X_3 parameter and so on until the k^{th}
31 parameter. The procedure results in N sets of k parameters, or samples, that can be
32 used for input to the model. In this study, from the 11 parameters identified by the

1 screening, the N value is set to 250 resulting in 250 simulations for exploring the
2 uncertainty around modeled biomass for each site.

3

4 In order to get insights on the part of the uncertainty attributable to each of the two
5 models chained together, STICS and ORCHIDEE (fig.1), first, only the uncertainty
6 coming from ORCHIDEE parameters is evaluated (fig.1), secondly, only the
7 uncertainty propagated from STICS parameters (fig.1), and last, uncertainties
8 propagated from both ORCHIDEE and STICS parameters are considered together
9 through the chained model ORCHIDEE-STICS.

10 An important difficulty in the utilization of sampling-based UA methods is the lack of
11 literature about a priori probability distribution of most parameters, given the
12 dependency of output upon a priori assigned values (Marino et al., 2008) If most
13 studies rely on a thorough literature search and expert judgment (Medlyn et al., 2005;
14 Verbeeck et al., 2006; Wang et al., 2005), this approach might result in an
15 overestimation of the model output uncertainty due to combinations of extreme
16 parameters values that are not realistic and therefore excessively decrease the
17 estimated reliability of the models. Some studies have addressed this issue by trying
18 to rationalize the parameters ranges through benchmarking outputs (removing
19 parameter sets resulting in values for output variables outside of a given benchmark
20 range) or by prescribing hypothesized correlations between parameters (Poulter et al.,
21 2010; Zaehle et al., 2005). Here, after a first estimation of uncertainty based on expert
22 opinion for the a priori parameters range (overestimation of uncertainty), we propose
23 a second approach to overcome the scarcity of information about parameters reference
24 distributions by reducing the parameters a priori range based on site-optimized values,
25 thus providing narrower and more realistic a priori ranges that are constrained by
26 observations (likely underestimation of uncertainty).

27 For the first a priori estimation of parameters range, ranges and distributions are
28 assigned to parameters based on expert knowledge and previous parameterization
29 studies (Kuppel et al., 2012) and centered on their a priori values. The *a priori* ranges
30 prescribed using this approach are considered as overestimations of the likely ranges
31 for parameters' values for sugar cane because they are adapted from studies in which
32 parameters' ranges were assigned for plant functional types instead of a single crop as

1 is the case here and sometimes used for optimization studies therefore requiring wide
2 enough ranges within the model's domain of applicability (Groenendijk et al., 2011;
3 Kuppel et al., 2012). By using overestimated ranges for input parameters, we estimate
4 an upper bound for the value of the uncertainty on output variables.

5 The second (site-constrained) a priori estimation is a refinement of the uncertainty
6 estimation based on the idea that the 'real' probability distribution of the parameters
7 can be approached by the distribution of optimal parameters over all the possible case
8 studies (sites, weather, management). It is of course not possible to determine the
9 model's optimal parameters for an infinite number of eco-climatic and land-
10 management conditions, but a sample of representative case studies can provide a
11 rough estimate of the parameters plausible range. Building on this hypothesis, the
12 model is calibrated independently at 7 sites using an iterative method, seeking to
13 constrain the uncertainty analysis with observation-based parameters ranges. For this,
14 we performed a Bayesian calibration of the model parameters, using a standard
15 variational method based on the iterative minimization of a cost function that
16 measures both the model data misfit as well as the parameters' deviations from a prior
17 knowledge. The iterative scheme is described in (Tarantola, 1987) with the hypothesis
18 of Gaussian error on the observations and the parameters. At each site, parameter
19 values are varied iteratively until the best match between simulation and observation
20 is found. More details on the calibration results can be found in the Supporting
21 Information. We are aware that the optimization of the parameters at 7 sites only to
22 obtain a representative a priori range of the parameters distributions likely results into
23 an optimistic estimate of this range even though the sites chosen cover different
24 climatic, edaphic and management conditions making them well suited for applying
25 our method. This observations-constrained range is highly dependent on growing
26 conditions. When the model is applied to the context of climate change, these ranges
27 may then be out of their domain of significance and the first wider estimate of prior
28 parameters distribution, based on literature, must be preferred.

29

30 For both a priori parameters range estimations (expert judgment vs. site constrained),
31 when no parameter value appears to be more likely than another, a uniform *a priori*
32 uncertainty distribution is prescribed. When there is some level of confidence that the

1 a priori value is more likely, we use a beta distribution. This type of distribution is
2 often used for uncertainty analyses, because of its adjustable shape (parameterized
3 equation) yet having the advantage of bounded tails (Monod et al., 2006; Wyss and
4 Jorgensen, 1998). The successive analysis of both techniques provides an
5 improvement in the estimation of the uncertainty from the first (expert-judgment
6 based, likely too pessimistic) to the second (observation-based, perhaps too
7 optimistic) approach.

8

9 **2.5 Spatial sensitivity analysis (SA)**

10 The first step in the sensitivity analysis also consists in generating parameters
11 samples. The same parameters are considered for the SA as for the UA (section 2.4),
12 i.e. the 11 parameters (8 parameters from ORCHIDEE and 3 parameters from STICS)
13 selected by the screening analysis.

14 As opposed to the UA where all parameters are considered together for their effect on
15 the distribution of the harvested biomass output variable, the goal of the sensitivity
16 analysis is to rank the influence of parameters based on their impact on the biomass
17 and its spatial distribution obtained in the continental-scale 0.7° runs. The partial
18 correlation coefficient (PCC) measures the correlation between an output variable and
19 a parameter after the correlation with other parameters has been eliminated (Marino et
20 al., 2008). However, for monotonic but non-linear relationships, these measures
21 perform poorly and a rank transformation needs to be applied to the data first to
22 linearize the relationship. The correlation calculated between the rank-transformed
23 data is then called partial rank correlation coefficients (PRCC). PRCC has been found
24 to be an efficient indicator for the influence of parameters, because it is a measure of
25 the sensitivity of the output to parameters (Saltelli and Marivoet, 1990). The larger the
26 PRCC, the more important the parameter is with respect to the output variable. Here,
27 the relationship between modeled biomass on a grid, and parameters is diagnosed
28 through the calculation of the Partial Ranked Correlation Coefficients (PRCC) on
29 each grid point between the output and parameter assuming a monotonic behavior of
30 the model.

31 The SA is implemented from the results of the 0.7° simulations over Brazil and
32 Australia (see fig.1 and section 3.5). In this regional sensitivity analysis, ORCHIDEE-

1 STICS is run for each region on a grid of 20 by 15 grid points and 13 by 20 grid
2 points respectively, driven by gridded climate forcing fields from the reanalysis
3 products ERA-Interim (Dee et al., 2011), with varying parameter values from a
4 sampling where only bounds and no distributions were assigned to the parameters.
5 The management information (date of planting, date of harvest, fertilization,
6 irrigation) and the soil properties (as described in Valade et al. (2013)) are assumed to
7 be uniform across each region and were defined as typical of each area. The a priori
8 bounds used for the parameters in the SA correspond to the first version of the
9 parameters ranges considered in the uncertainty analysis (i.e. derived from expert
10 knowledge). As cited by Wang et al. (2005), for sensitivity analyses, Bouman (1994)
11 advises to use parameters ranges as broad as possible within the limits of the model
12 validity domain. Once the parameters' a priori bounds have been set, ensemble runs
13 are performed with all the parameter sets. From the distributions of input parameters
14 and output variables obtained at each pixel, a spatial distribution of PRCC is obtained,
15 which is interpreted in section 3.5 in terms of regional differences of each parameter
16 on modeled sugar cane yield.

17 The interest of carrying out such a regional sensitivity analysis is that it provides maps
18 of the geographic patterns of the importance of each parameter, leading to a better
19 comprehension of the mechanisms behind the parameter-related model sensitivity.
20 These results can be very useful for planning purposes, for instance to quantify what
21 are the different factors that control sugar cane yield and ethanol production over a
22 large region under future climatic conditions as compared to present-day conditions.

23 **3 Results and discussion**

24

25 **3.1 Screening**

26 From the Morris screening method, we obtain for each parameter two indices μ^* and
27 σ , that measure the influence of each parameter and its degree of involvement in non-
28 linearities and interactions with other parameters, respectively. We first made sure
29 that no parameter with a significant value for μ^* was above the line $\sigma=2\mu^*$ which
30 would imply that non-linearities and/or interactions would be so strong that the
31 uncertainty propagation from the parameter to the model output could not be clearly

1 established. None of our parameters selected for their significant values of μ^* was
2 above this line (Supporting information figure 2). From μ^* and σ values, we establish
3 a ranking of the parameters by only considering parameters involved in limited
4 interactions and/or non-linearities ($\sigma < 2\mu^*$) and then we rank the remaining parameters
5 based on their μ^* index, a larger μ^* being interpreted as a more influential parameter.
6 The Morris parameters ranks for ORCHIDEE and STICS are respectively shown in
7 Figure 5a and 5b where each radar plot corresponds to one model. The axes refer to
8 the parameters and the line colors to the sites. For STICS, for the sake of readability,
9 not all of the initially selected 50 parameters are represented on the radar plot but only
10 those parameters that pertain to the 10 top-ranked parameters at least at one site. The
11 maximum number of 10 parameters was fixed based on examination of Morris indices
12 μ^* and σ at individual sites that only revealed 3 to 5 sensitive parameters each time.
13 The positions and roles in the model of the parameters identified as most important
14 are shown in Figure 3. Figure 4 gives more details, with the main equations through
15 which these parameters affect the output variables of STICS and of ORCHIDEE.

16

17 The 3 most influential parameters of STICS (fig.3a) reflect the way STICS and
18 ORCHIDEE are chained (fig.3). Indeed, from the chained model structure, the
19 indirect impact of STICS parameters on harvested biomass occurs through their effect
20 on processes related to LAI, root growth and nitrogen stress, the only STICS variables
21 passed to ORCHIDEE for calculating biomass. This chaining of the models through
22 three variables is reflected in the identification of the 3 most important STICS
23 parameters, which control the daily maximum rate of foliage production δ_{LAI}^{max} , the
24 growth rate of the root front, κ_{root} and the threshold of nitrogen nutrition index
25 INN_{min} . δ_{LAI}^{max} and INN_{min} parameters are both involved in LAI calculation. Indeed,
26 the LAI equation has four members describing four processes of the sugar cane
27 foliage development. First, the LAI-development (Δ_{LAI}^{dev} in fig.4) describes the
28 potential LAI increase through the scaling of the daily maximum rate of foliage
29 production by a function of the development stage (k_{LAI}), and is logically directly
30 controlled by the value of parameter δ_{LAI}^{max} . The second member in equation (*)
31 represents the temperature effect on LAI growth through the accumulation of degrees
32 above a temperature threshold (T_{min} in fig.3). The last two members of the equation
33 represent processes that can limit LAI development, competition for light between

1 plants due to planting density (Δ_{LAI}^{dens} in fig.4) and a limitation from trophic stress
2 emerging from competition between plant components for nitrogen based in
3 calculation of a nitrogen nutrition index limited by parameter INN_{min} . The root
4 growth rate κ_{root} has a less direct impact on LAI since it intervenes in the calculation
5 of the root front depth, which then impacts the availability of nitrogen and water and
6 therefore the stress status of the crop (impact on C_N^{plant} and W_s in fig.4).

7

8 The 8 most influential parameters that control harvested biomass in ORCHIDEE, are
9 identical for all sites except at the Colimaçons site (where only 7 parameters are
10 identified as influential by the Morris method). The Morris top ranked parameters of
11 ORCHIDEE control photosynthesis and water budget equations as well as respiration
12 processes (fig.4). Three of those (the minimum and optimal temperatures for
13 photosynthesis, T_{min} , T_{opt} , the maximum rate of carboxylation V_{Cmax}^{opt}) affect directly
14 the rate of carboxylation V_c that is calculated from the maximum rate of carboxylation
15 weighted by a mean leaf efficiency and scaled by a limiting factor depending on the
16 optimum and minimum temperatures for photosynthesis. The stomatal conductance
17 g_s that links assimilation and transpiration is defined by the Ball-Berry equation (Ball
18 et al., 1987) as a function of assimilation and depends on the air relative humidity and
19 CO_2 concentration, scaled by a slope factor, called the Ball-Berry slope (β). The root
20 profile constant (κ_{hum}) describes the exponential distribution of root density in the
21 soil and is involved in the definition of available water and root temperature. Finally,
22 the extinction coefficient (k_{ext}) intervenes in an equation derived by Monsi and Saeki
23 (1953), similar to Beer's law, which describes the attenuation of light with depth in
24 the canopy.

25

26 Two ORCHIDEE parameters controlling autotrophic respiration also stand out, with
27 the maintenance respiration coefficient (α_{Mresp}) and the fraction of biomass allocated
28 to growth respiration (f_{Gresp}). The $leaf_{age}^{crit}$ parameter that is involved in the biomass
29 allocation also ranked high (5th most important) but only for one site and is therefore
30 not retained for the rest of the study.

31

1 For the chained model STICS-ORCHIDEE, the 11 most influential parameters show a
2 good agreement between sites for the most important parameters as seen on fig.5
3 where ranking lines overlap for most of the parameters. Building on the results of the
4 Morris screening analysis, we select the 8 top ranked parameters for ORCHIDEE and
5 3 for STICS that were revealed as influential for biomass for further uncertainty and
6 sensitivity analysis.

7

8

9

10

11 **3.2 Uncertainty analysis: Parameters controlling biomass**

12 ***uncertainty at a typical site***

13 In this section, we attribute the harvested biomass uncertainty to the uncertainty of the
14 ORCHIDEE vs. STICS parameters. The simulated biomass uncertainty is a function
15 of time during the growing season, and it differs between sites. In Figure 6, we show
16 the contributions of ORCHIDEE and STICS parameters respectively to the total
17 uncertainty for one typical site, Grafton, Australia, during the 1994-95 growing
18 season, which has climate conditions within the range of other sites. Fig.6 a-c displays
19 the normalized frequency distributions of simulated biomass obtained from ensemble
20 runs for three times in the growing season: 1) very early in the cycle in fig.6a, at 100
21 days after planting (DAP), 2) during the peak growing season in fig.6b, at 200 DAP
22 and 3) short before harvest in fig.6c, at 350 DAP. We distinguish between the
23 normalized frequency distributions of simulated biomass when considering the
24 uncertainty propagated from STICS parameters alone (green), ORCHIDEE
25 parameters alone (yellow), and from ORCHIDEE and STICS parameters together
26 (brown), along with their best-fit normal distributions overlaid. These distributions
27 were obtained by Monte Carlo LHS ensemble runs (section 2.4) with a sampling of
28 parameters of STICS alone, ORCHIDEE alone and of both models together. We
29 consider uncertainties starting from the time when biomass reaches 50 gC.m^{-2} in order
30 to discard the emergence phase during which biomass is very low and uncertainties
31 are therefore not significant.

1

2 At 100 DAP (Fig 6a), the uncertainty distribution of biomass related to ORCHIDEE
3 parameters U(O) spans a slightly larger range than the distribution related to STICS,
4 U(S), and it has more extreme values. The U(O) distribution is symmetrical around
5 the mean value, with a standard deviation of 86.9 gC.m⁻². The U(S) distribution is
6 non-symmetric, skewed towards larger values of biomass, and it has a slightly smaller
7 standard deviation (76.5 gC.m⁻²) than that of U(O). Combining U(O) and U(S) in
8 Monte Carlo runs by varying the parameters of both models at the same time gives the
9 total uncertainty distribution, U(O+S), shown in brown in fig.6. This distribution has
10 more extreme values and a higher standard deviation (112.0 gC.m⁻²), i.e. U(O+S) >
11 U(O) + U(S).

12

13 At 200 DAP (Fig 6b), and later at 350 DAP (Fig 6c), the picture has changed. First, all
14 uncertainties distributions are wider than at 100 DAP. Secondly, the means of U(O)
15 and U(S) are no longer in agreement, with the asymmetric U(S) distribution being
16 even more shifted towards high values of the harvested biomass. The reason for this
17 shift is that among the variables transmitted from STICS to ORCHIDEE in the chain
18 of models, the only one that can act to increase the biomass calculated by ORCHIDEE
19 in the later phase of the growing season, near 350 DAP, is LAI. This is because a
20 higher LAI will result into increased photosynthesis and therefore biomass in
21 ORCHIDEE. However, passed a certain threshold, the LAI impact saturates when the
22 foliage is sufficient for all incoming light to be captured, and therefore, uncertainty on
23 the STICS parameters that impact LAI will not increase the uncertainty of biomass
24 any longer. Unlike LAI, the nitrogen stress and root profile variables controlled by the
25 parameters of STICS continue to act as limiting factors on biomass throughout the
26 peak and late growing season. The saturation of the biomass uncertainty associated
27 with STICS parameters is stronger at 200 DAP than at 300 DAP, when biomass
28 increase has slowed down and the role of LAI for driving biomass is less important.

29

30 On fig.6d, the total uncertainty U(O+S) is given for the reference simulation (with
31 parameters at their maximum likelihood values, red line) and the uncertainty on
32 harvested biomass can be defined as a percentage of the harvested biomass in the

1 reference simulation. For the Grafton site, at harvest, the overall uncertainty is 26%.
2 The relative contributions of ORCHIDEE and STICS to the total uncertainty, α_o and
3 α_s respectively, are defined by $\alpha_o = \frac{U(O)}{U(O+S)}$, $\alpha_s = \frac{U(S)}{U(O+S)}$. The evolution of these
4 contributions to the total uncertainty is shown in fig.6e. We can see in this example
5 that $U(O) > U(S)$ during the entire growing season, but with a decrease of $U(S)$, and
6 an increase of $U(O)$ such that the increase in biomass uncertainty seen on fig.6d
7 becomes increasingly dominated by uncertain ORCHIDEE parameters. The
8 progressive increase in the weight of ORCHIDEE parameters uncertainties is due to
9 the reduction in the role played by LAI for biomass increase along the growing
10 season. Indeed, if early in the season the foliage is crucial to allow photosynthesis and
11 carbon allocation, later in the cycle, other processes become important as well and
12 passed a certain LAI for which all incoming light is captured, it might not even play a
13 role anymore and then the STICS parameters only impact biomass accumulation
14 through nitrogen stress index and root depth.

15

16 **3.3 Uncertainty analysis: role of ORCHIDEE vs. STICS parameters in** 17 **controlling biomass uncertainty at 7 sites**

18 Table 3 summarizes the results of the overall parametric uncertainty analysis at the 7
19 sites, including Grafton. The total uncertainty $U(O+S)$ ranges between 25.5% of
20 biomass at Piracicaba, Brazil during 2004-05 and 44.26% of harvested biomass at
21 Tirano, La Réunion in 1998-99 yielding an average uncertainty on biomass at harvest
22 due to uncertain parameter values of the chained model ORCHIDEE-STICS of 34.0%
23 of harvested biomass across the 7 sites, in the order of previous results on different
24 variables in similar studies using process-based models such as (Dufrêne et al., 2005)
25 who found an uncertainty of 30% on modeled NEE for a forest sites in France with
26 the CASTANEA model.

27

28 As for the ORCHIDEE vs. STICS relative contributions to the uncertainty of
29 simulated biomass at all sites, the results at each site are not identical but display a
30 similar general pattern shown by figure 7. For all sites, the ORCHIDEE parameters
31 contribution to total uncertainty increases during the cycle, or remains approximately

1 constant for Ingham in 1992-93, and increases during the growing cycle to dominate
2 entirely the total uncertainty at the end of the cycle compared to STICS parameters.
3 The STICS contribution to overall uncertainty decreases during the growing season to
4 reach a minimum by the end of the growing season. For sites Piracicaba during 2004-
5 05, Tirano in 1998-99 and Colimaçons during 1994-95, during the beginning of the
6 cycle the $U(S)$ is even larger than $U(O)$. The results for Ayr in 1991-92 display a less
7 clear pattern. Indeed, at the end of the cycle, the contributions of ORCHIDEE and
8 STICS to the total uncertainty are almost equal, due to an increase in STICS
9 contribution during the second half of the cycle. This result confirms a hypothesis
10 made in Valade et al. (2013) where the difficult calibration of LAI at this site was
11 attributed to the simulation by STICS of an important stress. Indeed if a large stress is
12 simulated by the phenological module, this can impede ORCHIDEE processes of
13 biomass growth and therefore increases the weight of STICS parameters with respect
14 to ORCHIDEE ones.

15

16 **3.4 Uncertainty analysis: constraining uncertainty from sites** 17 **optimization**

18 Optimizing the 11 ORCHIDEE-STICS parameters selected from the screening
19 analysis at 7 sites leads to a reduction of the width of the a priori uncertainty
20 distribution of the parameters (Table 2). Carrying out the same uncertainty analysis
21 with a narrower uncertainty range of parameters (thanks to their site calibration) leads
22 to an important reduction of uncertainties of biomass both for the STICS and
23 ORCHIDEE components of uncertainty. This can be seen by comparing Figure 6
24 (initial range of parameters) with figure 8 (narrower range after parameters calibration
25 at the sites). For site Grafton during 1994-95 for example, $U(O+S)$ gets reduced from
26 26% to 17% of the reference harvested biomass, $U(O)$ from 24% to 15% and $U(S)$
27 from 14% to 10%. Figure 9 and Table 3 (bottom section) show the uncertainty
28 contributions and overall uncertainty estimates for the 7 sites after observation-based
29 reduction of the a priori uncertainty on parameters. The overall parametric uncertainty
30 of biomass defined as the 1-sigma standard deviation of the (O+S) distribution has
31 thus been reduced to 21% in average, to 11.48% when attributed to STICS alone, and
32 to 17.15% when attributed to ORCHIDEE alone, (Table 3).

1

2 The ORCHIDEE and STICS contributions to the total uncertainty keep the same
3 general pattern as with the initial parameters uncertainty distribution, with a
4 domination of ORCHIDEE parameters in the uncertainty towards the end of the
5 growing season (fig.9). Compared with the first uncertainty budget with expert-based
6 parameters uncertainties (fig.8), there is generally a slight decrease in the STICS
7 contribution at the end of the season.

8

9 We have thus established full uncertainty budgets for the two components of the
10 ORCHIDEE-STICS chain of models, which has revealed variations in the uncertainty
11 in the biomass simulation from site to site. The next step is to discriminate between
12 the different parameters the ones that contribute most to the overall uncertainty
13 through a sensitivity analysis at regional scale.

14 ***3.5 Spatial sensitivity analysis: sensitivity of sugar cane yields to the*** 15 ***model parameters for Brazil and Australia***

16 The overall parametric uncertainties have been quantified at 7 sites and attributed to
17 either STICS or ORCHIDEE. The sensitivity analysis (SA) in this section will go a
18 step further and leads to discriminate the different parameters that contribute to the
19 spatial distribution of uncertainty over the two regions considered. This sensitivity
20 analysis is performed at regional scale because from the previous section, we have
21 seen that the uncertainty in the biomass simulation varies from site to site.

22

23 Ensemble runs at regional scale were realized over Brazil and Australia each with
24 different value combinations for the 11 parameters previously selected through the
25 Morris screening analysis (Table 1). The Partial Rank Correlation Coefficients
26 (PRCC) were then calculated for each pixel in each of the two regions (see section
27 2.5), and the SA results are discussed for two dates during the growing season, 200
28 and 350 days after planting (DAP). The SA results express the strength of the
29 relationship between an uncertain parameter and the simulated biomass at harvest at
30 each pixel. The statistical significance of the PRCC calculated for each grid cell is
31 tested with the associated p-values, and non-significant PRCC are removed (p-

1 value<0.05). The first date 100 DAP examined for site scale UA studies (section 2.3)
2 is not shown here, because no statistical significance was found in the correlations
3 between the parameters and the harvested biomass at 100 DAP. Then, the pixels
4 statistically significant PRCC calculated for each parameter can be analyzed both in a
5 geographical projection (latitude, longitude) (fig. 11 & 12, columns 1-2 and 4-5) and
6 in a (Temperature, Precipitation) climatic space projection (fig 11 & 12, columns 3
7 and 6). The regional sensitivity analysis thus carried out for sugar cane growing areas
8 in Brazil and Australia shows the magnitude, spatial distribution and climatic
9 dependency of the sensitivity of harvested biomass to the 11 parameters previously
10 selected through the Morris screening analysis (Table 2).

11

12 Across both regions in Brazil and Australia, we find that the sensitivity of biomass to
13 the model parameters is not uniformly distributed. This means that the simulated yield
14 depends on different parameters within different parts of the same region. This result
15 shows that applying a model at one site to determine the most important parameters,
16 and generalizing its conclusion across a region generates biased conclusions.
17 Considering only the first most important parameter in each pixel (fig. 10), we can see
18 that early in the cycle (200 DAP, Figure 10a) four parameters dominate the spatial
19 distribution of the U(O+S) uncertainty of biomass at 200 DAP, both over Brazil and
20 Australia. These parameters are three ORCHIDEE parameters involved in the
21 photosynthesis process, the minimum and optimum temperature for photosynthesis
22 T_{min} , T_{opt} , and the maximum rate of carboxylation V_{Cmax}^{opt} , and one parameter from
23 STICS δ_{LAI}^{max} , defining the maximum rate of increase of LAI and only appearing in
24 the Australian region. In Brazil, the parameter V_{Cmax}^{opt} is the first most important
25 parameter for 93% of the area, whereas the optimum and minimum photosynthesis
26 temperatures parameters only dominate in respectively 3 and 4% of the area. In
27 Australia, the parameters' domination is more balanced with 37.5% for each of
28 V_{Cmax}^{opt} and δ_{LAI}^{max} and 25% for T_{min} .

29 Later in the growing season (350DAP, fig.10b), consistently with the results of the
30 site-scale uncertainty analysis, the influence of the STICS parameters decreases until
31 no STICS parameters appear any longer as a dominant parameter in any of the
32 regions. At this later stage in the season, two parameters stand out as explaining most

1 of the uncertainty in most pixels of both regions, V_{Cmax}^{opt} and T_{min} . In Brazil, V_{Cmax}^{opt} is
2 still the most sensitive parameter for most of the region, but T_{opt} disappeared and the
3 area dominated by T_{min} expanded and now covers the cooler area of the southeast
4 coastal zone, which is likely to result from the growing calendar of sugarcane in
5 Brazil since the later part of the growing season takes place during winter in this
6 region. In Australia, the area dominated by V_{Cmax}^{opt} expanded into most of the region
7 and now covers 83% of the area. In the coolest pixels, the soil-related parameters
8 appear with the two root profile parameters from STICS and from ORCHIDEE, κ_{root}
9 and κ_{hum} .

10

11 Figures 11 and 12 focus on the values of the PRCC for each parameter as well as their
12 spatial distribution. Their projection in a Temperature-Precipitation space for a given
13 time (fig.11 for 200 DAP, fig.12 for 350 DAP) give more insights on the dependency
14 of the sensitivity to the climatic conditions along the growing cycle. As an example,
15 the sensitivity of the simulated biomass to T_{min} is highly sensitive to the average
16 temperature of the location. At low-temperature sites, where temperature is a limiting
17 factor for crop growth (below 17°C), the PRCC is higher than 0.8, whereas at high-
18 temperature sites (above 22°C) the PRCC is below 0.3. Sites with temperatures above
19 25°C do not even show significant correlations (grey symbols on the scatter plot).

20

21 For the parameter κ_{hum} , which describes the root profile of the cane (inverse of root
22 depth), the dependency is most obvious on precipitation amount. For annual
23 precipitations above 2500mm, no significant correlation is found.

24

25 Comparing the regional sensitivities at two times in the growing season shows again
26 the decrease in the importance of STICS parameters whereas all of most important
27 ORCHIDEE parameters have larger RPCC than earlier in the season.

28

1 4 Concluding remarks

2 In the perspective of applying spatially explicit mechanistic vegetation models such as
3 ORCHIDEE-STICS to biofuel yield simulations we have sought the quantification
4 and understanding of parametric uncertainty propagation in the model, both at site
5 level and at sub-continental scale over two large regions, Australia and Brazil. For
6 this, a rigorous analysis of the uncertainty budget of simulated sugar cane biomass has
7 been established, using a step by step tracking of uncertainty in the model.

8 The main parameters from the two chain components of the model responsible for
9 most of the uncertainty propagation have been identified through a Morris screening
10 analysis. For the ORCHIDEE carbon, water and energy model, the most influential
11 parameters are those involved in photosynthesis equations, T_{min} , T_{opt} , V_{Cmax}^{opt} , the
12 radiation interception parameter k_{ext} , the root profile constant κ_{hum} , the parameters
13 for respiration, slope of the Ball-Berry relation β , maintenance and growth
14 respiration parameters f_{Gresp} and α_{Mresp} . For the STICS model, the most influential
15 parameters are those responsible for simulation of phenology, nitrogen and water
16 stress. The parameters describing the maximum rate of carboxylation, the maximum
17 growth rate of the root front and the threshold for nitrogen stress have been found to
18 have the greatest role. The parameters identified are closely related to the structure of
19 the coupling since the key variables transmitted from STICS to ORCHIDEE each
20 convey one key parameter.

21 We used two approaches for estimating the total uncertainty propagated from the
22 parameters into the model by assigning uncertainties on parameters with two methods,
23 one 'pessimistic', in which a-priori parameter uncertainty bounds are set based on
24 expert judgment, and one optimistic where smaller uncertainty is derived by an
25 optimization of the model parameters at several sites thus providing a smaller,
26 arguably more realistic, a-priori uncertainty range.

27 We found that all these parameters together contribute to an overall uncertainty of
28 21% on sugar cane biomass simulations with an agro-LSM model and that this
29 amount is variable among sites with different climatic, edaphic and management
30 situations. We also analyzed this uncertainty separately for each component of the
31 model and found that whatever estimate chosen for the parameters uncertainty, by the
32 end of the growing season, the uncertainty propagated from the phenology module

1 STICS decreases and the overall uncertainty is almost totally explained by the
2 ORCHIDEE uncertainty. The lower uncertainty from STICS parameters compared to
3 ORCHIDEE ones is likely related with the lower number of processes solved by
4 STICS in its configuration with ORCHIDEE, and to some extent to the lower number
5 of parameters propagating their uncertainties. The decrease in the weight of the
6 STICS' parameters to the overall uncertainty is linked to the canopy closure (LAI
7 sufficient to capture all incoming light) and would therefore probably happen at a
8 different timing in the growing season for different crops. For example, soybean
9 experiences a later canopy closure and would probably show a later diminution of the
10 STICS contribution to overall uncertainty, therefore remaining relatively high by the
11 end of the cycle.

12 The overall origin of uncertainty has then been diagnosed in even more detail through
13 a regional sensitivity analysis allowing the identification of the parameter for which
14 harvested biomass is most sensitive for each pixel within regions of Australia and
15 Brazil. We revealed a strong heterogeneity of the results based on climatic conditions
16 and also variability in time that confirms the results of the uncertainty analysis, by
17 showing a decrease in the importance of the STICS parameters along the growing
18 season.

19 We believe that our results for the sugar cane crop simulated with the model
20 ORCHIDEE-STICS are relevant to other agro-LSM with different crops. All these
21 results prove the importance of establishing clear uncertainty budgets for highly
22 parameterized models such as agro-LSM, especially when applying these models to
23 answer questions related to political decisions such as biofuels burning topics.

24 As an example, combining our optimistic uncertainty estimation with the estimations
25 from (Lapola et al., 2009) for irrigated sugar cane (obtained with the model LPJml,
26 very similar to ORCHIDEE-STICS), we can evaluate the range assorted with their
27 estimation of land requirements to fulfill the demand in ethanol in Brazil. Similarly to
28 our study they use a multi-continental approach, focusing on Brazil and India. They
29 simulate with a single parameterization the sugarcane productivity over both
30 considered countries, spanning a wide range of climatic conditions. They found a
31 mean yield of 68.8 t/ha over Brazil and 73.3 t/ha over India, and conclude that to
32 fulfill government targets, the sugar cane areas would need to expand by 2.8 million
33 hectares in Brazil and 1 million hectare in India. Because the yield estimates derived

1 in (Lapola et al., 2009) are retrieved with an global agro-LSM parameterized for
2 global applications and used in a range of climatic conditions (whole Brazil and
3 India), we make the hypothesis that our uncertainty calculation is applicable to the
4 LPJml results. We can then take into account the parametric uncertainty of the model
5 and translate the potential mean production into a range of [54-83t/ha] for Brazil and
6 [58-89t/ha] for India. The land requirements when including parameters uncertainty
7 would then becomes [2.6– 3.9 million hectares],for Brazil and [0.9 – 1.4 million
8 hectares] for India. To go further in the application of this result, and assuming that
9 sugar cane expansion results in deforestation through direct or indirect land use
10 change, we can translate the land expansion of sugar cane for biofuels into carbon
11 emissions from deforestation. Several estimates of carbon emissions associated with
12 conversion of tropical forest to croplands have been published and their results span a
13 large range revealing the large uncertainties in this area (BSI, 2008; Cederberg et al.,
14 2011; Searchinger et al., 2008) Discussing the uncertainty on this estimate is beyond
15 the scope of this paper so we will only consider the value from (Searchinger et al.,
16 2008), of 604tCO₂eq/ha. Using this conversion factor, the expansion of sugar cane
17 calculated by (Lapola et al., 2009) would result in CO₂eq emissions of 1,68GtCO₂eq
18 whereas including the parametric uncertainty of the model we obtain a range of 1,6 to
19 2,4 GtCO₂eq provoked by Brazilian government's ethanol targets with our calculation
20 of uncertainty.

21 With the choice of the study from Lapola et al. (2009) to apply our uncertainty
22 estimates on, we favored the closeness of the models over the full consistency of the
23 methodologies. If the primary goal had been to calculate estimates of uncertainty of
24 land requirements in the specific region of Brazil, we would have constrained our
25 parameters ranges for conditions of this region, which would have resulted in lower
26 uncertainty ranges for area requirements. However, we want to stress that agro-LSMs
27 like ORCHIDEE-STICS or LPJml are designed for global studies and their
28 parameters are therefore supposed to cover the full range of climatic conditions even
29 when they are used for regional applications. This quick application of our uncertainty
30 calculation proves how important it is to consider the uncertainty when addressing
31 issues aimed at decision-makers.

1 **5 Acknowledgements**

2 This study was performed using HPC resources from GENCI- CCRT (Grant 2012-016328).
3 We acknowledge Arnaud Caubel for his help with the experimental setup and the
4 development of scripts for multiple runs and Patrick Brockmann for his help with data
5 visualization.

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14 **6 References**

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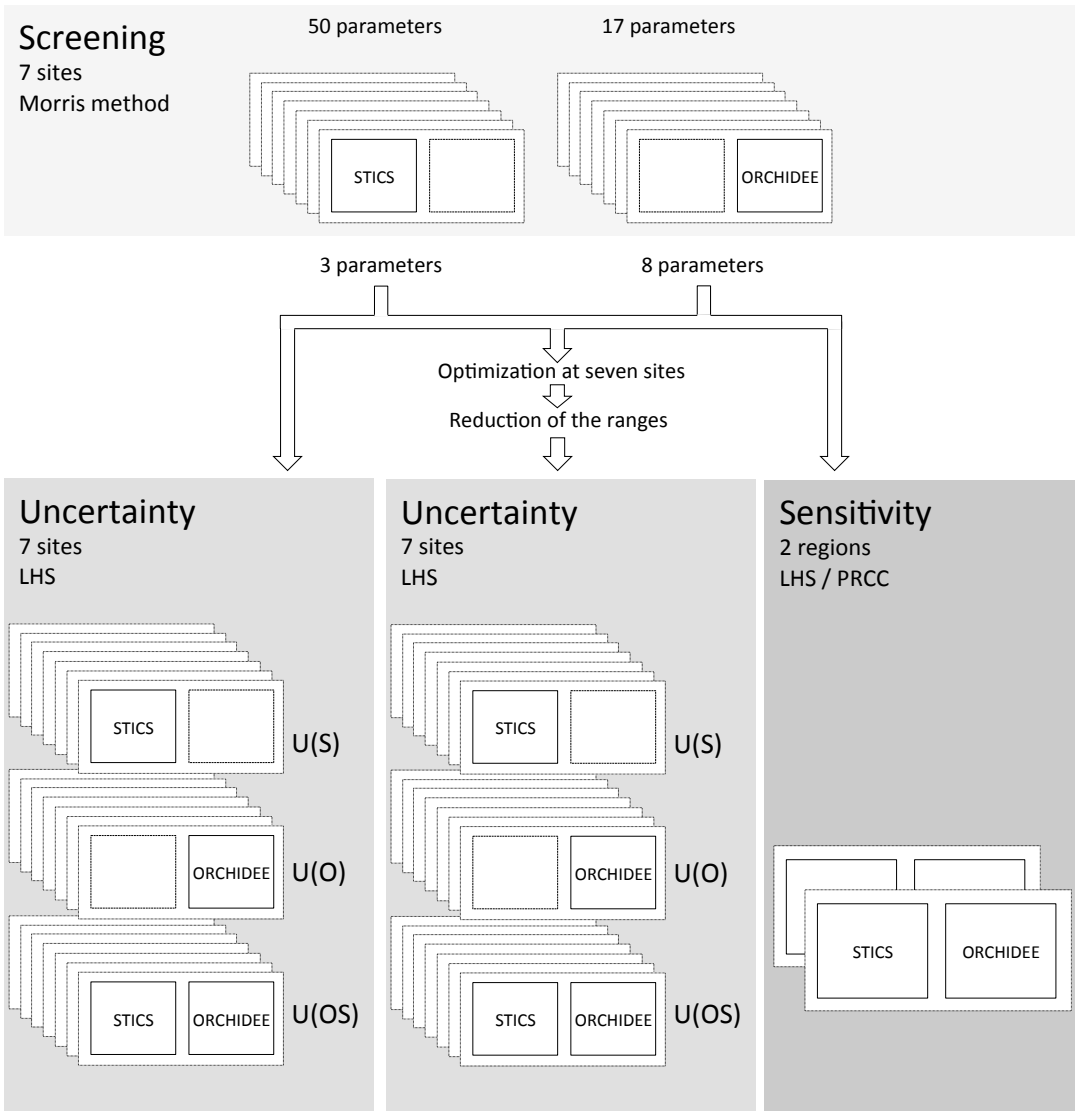
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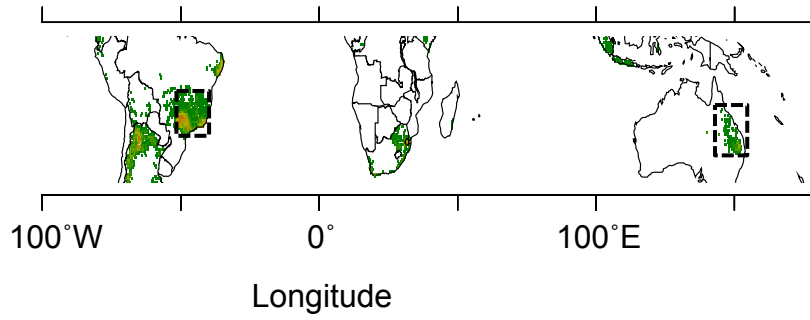
1 Figure 1: flowchart of the analysis carried out in this study. The first step is the
2 separate screening for 7 sites of the *STICS* and *ORCHIDEE* parameters. The selection
3 of parameters obtained from the screening are then used for two uncertainty analysis,
4 one with the same parameters ranges of variation as for the screening, the other with
5 parameters ranges of variation constrained by the optimization of the model at 7 sites.
6 Each uncertainty analysis is decomposed in three parts, one including only
7 *ORCHIDEE* parameters, one including only *STICS* parameters and one including
8 parameters from both *ORCHIDEE* and *STICS*. Finally a sensitivity analysis is carried
9 out for two small regions in Australia in Brazil for all parameters together.

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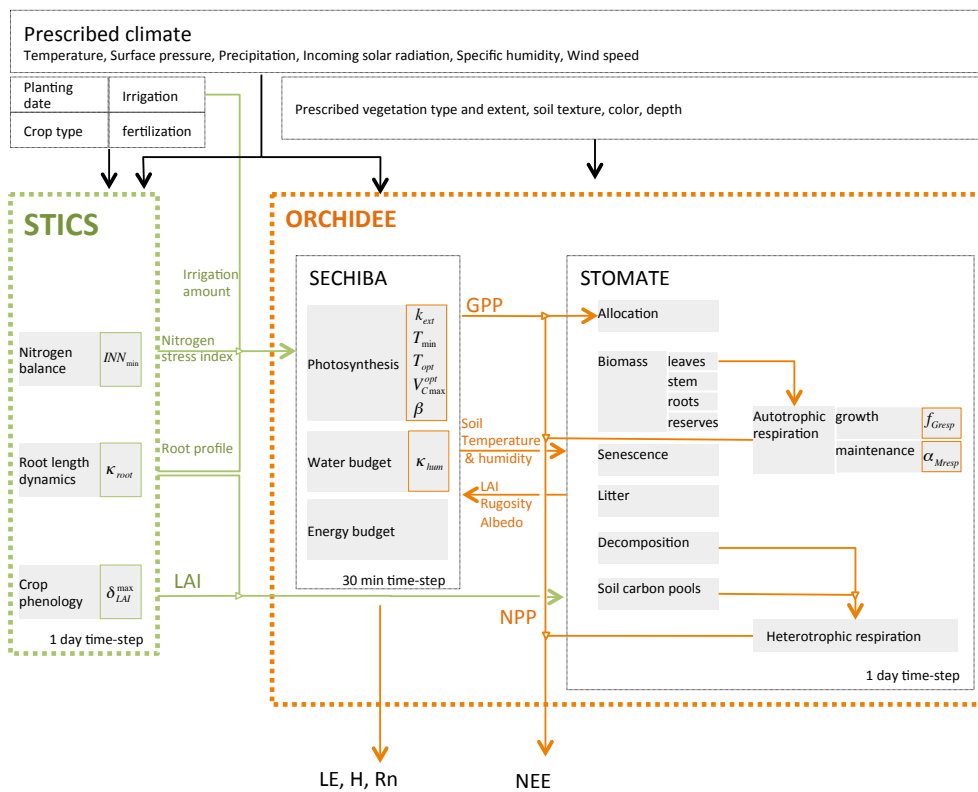
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2 Figure 2: Spatial distribution of the sites (dots) and regions (dashed rectangles) used
3 in this study overlaid on a map of the distribution of sugar cane growing areas
4 indicated in green.



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1 Figure 3: Structure of the *ORCHIDEE-STICS* chain model. *STICS* calculates the crop
 2 phenology, water and nitrogen requirements and passes LAI, root profile, irrigation
 3 and Nitrogen nutrition index to *ORCHIDEE*. *ORCHIDEE* consists in the coupling of
 4 two module. *SECHIBA* simulates the photosynthesis process, water and energy
 5 budgets, *STOMATE* is a carbon module and calculates carbon fluxes and to the
 6 atmosphere (respiration) and carbon accumulation in the carbon pools (biomass
 7 compartments, litter, soil).



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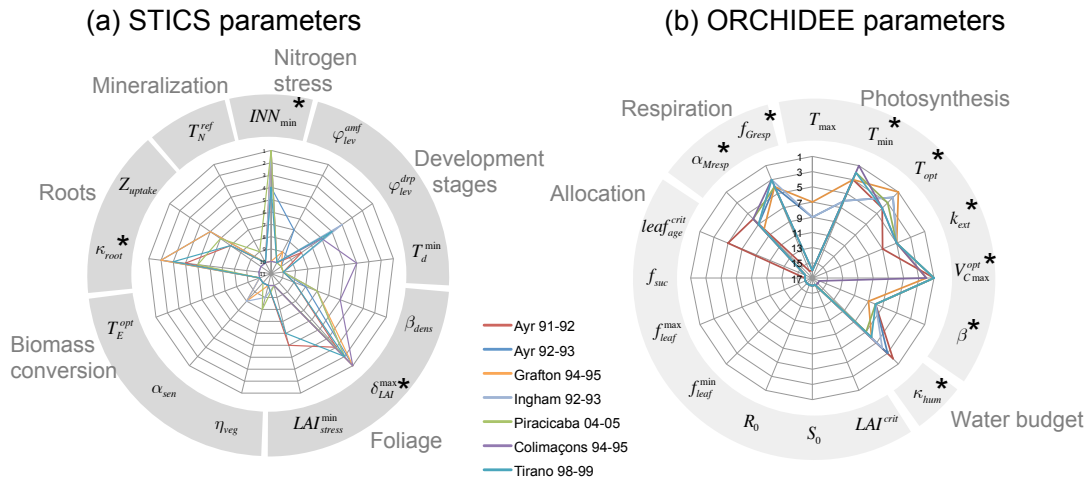
2 Figure 4: Main parameters for simulation of sugar cane yield with *ORCHIDEE-STICS*

3 with the equations in which they are involved.

STICS		
δ_{LAI}^{max} : daily maximum increment of LAI ($m^2 \cdot \text{plot}^{-1} \cdot \text{deg} \cdot \text{day}^{-1}$) INN_{min} : threshold for nitrogen nutrition index (unitless)	$LAI = \int_0^t \Delta_{LAI}^{dev} \cdot \Delta_{LAI}^T \cdot \Delta_{LAI}^{ddev} \cdot \Delta_{LAI}^{dmax} \cdot \text{splai} \cdot dt$ $\Delta_{LAI}^{dev} = e^{-\alpha_{LAI} \cdot \ln\left(\frac{LAI}{LAI_{max}}\right)} \cdot d$ $\Delta_{LAI}^T = \begin{cases} T_{crop} - T_{min} & \text{if } T_{crop} \leq T_{min} \\ T_{max} - T_{crop} & \text{if } T_{crop} \geq T_{max} \end{cases}$ $\Delta_{LAI}^{dmax} = \frac{\delta_{LAI}^{max}}{1 + e^{\beta(LAI)}}$ $\Delta_{LAI}^{ddev} = \min\left(\frac{DIN}{W}, \max\left(\frac{C_{crop}^{min}}{C_{crop}^{max}}, INN_{min}\right)\right)$	d : Sowing density ($\text{g} \cdot \text{m}^{-2}$) $\alpha_{LAI}, \beta_{LAI}$: Parameters describing competition from planting density (unitless, $\text{g} \cdot \text{m}^{-2}$) $T_{min}, T_{max}, T_{crop}$: Actual, minimum and maximum temperature for crop growth ($^{\circ}\text{C}$) LAI_{max} : LAI development stage (unitless) LAI : Leaf area index ($\text{m}^2 \cdot \text{m}^{-2}$) INN, W_i : Nitrogen nutrition index, water stress $C_{crop}^{min}, C_{crop}^{max}$: Actual and critical nitrogen concentration in the plant (%) splai : Stress index for competition between foliage and sugar accumulation (unitless)
ν_{root} : root growth rate	$z_{root}^{dev} = \int_0^t \kappa_{root} \cdot f_{soil} \cdot pF \cdot f_{anox} \cdot dt$	z_{root}^{dev} : Depth of the root front efficient for absorption (cm) f_{soil} : Minimum temperature for emergence of the crop ($^{\circ}\text{C}$) pF : Water status of the soil layer (unitless) f_{anox} : Anoxia effect
ORCHIDEE		
k_{ext} : extinction coefficient (unitless)	$\text{light} = e^{-k_{ext} \cdot LAI}$	light : Light fraction that goes through the vegetation Sacki, 1953)
T_{min} / T_{opt} : Minimum / Optimal photosynthesis temperatures ($^{\circ}\text{C}$)	$\varepsilon_{temp} = f(T_{min}, T_{max}, T_{opt})$	ε_{temp} : Limitation of photosynthesis capacity by temperature (Krimmer et al., 2005)
V_{cmax} : Rate of carboxylation in optimal conditions ($\mu\text{mol} \cdot \text{m}^{-2} \cdot \text{s}^{-1}$)	$V_{cmax} = V_{cmax}^{opt} \cdot \varepsilon_{temp} \cdot \varepsilon_{water} \cdot \varepsilon_{leaf}$	V_{cmax} : Effective rate of carboxylation ($\mu\text{mol} \cdot \text{m}^{-2} \cdot \text{s}^{-1}$) ε_{water} : Water and nitrogen limitation (unitless) ε_{temp} : Temperature limitation (unitless) ε_{leaf} : Limitation from leaf age (unitless) (Ishida et al., 1999)
β : Ball-Berry slope (unitless)	$g_s = \beta \frac{h}{C_a} A + g_s^{opt}$	g_s : Stomatal conductance ($\mu\text{mol} \cdot \text{m}^{-2} \cdot \text{s}^{-1}$) A : Assimilation ($\mu\text{mol} \cdot \text{m}^{-2} \cdot \text{s}^{-1}$) h : Air relative humidity ($\text{kg} \cdot \text{kg}^{-1}$) C_a : Air CO_2 concentration (ppm) g_s^{opt} : Offset constant (unitless) (Ball et al., 1987)
ν_{root} : Root profile description (m^{-1})	$T_{so} = \frac{1}{K_{so}} + \sum_{i=1}^{n_{soil}} T_i \left(e^{-\alpha_{soil} z_i} - e^{-\alpha_{soil} z_{i+1}} \right)$ $f_w = \alpha_{soil} \cdot e^{-\alpha_{soil} z_{top}} + (1 - \alpha_{soil}) \cdot e^{-\alpha_{soil} z_{bot}}$	T_{so} : Temperature for below-ground biomass (K) K_{so} : Integration constant (unitless) n_{soil}, z_i : Number of soil layers, depth of the k^{th} soil layer (m) T_i : Soil temperature for k^{th} layer (K) f_w : Water fraction available for the plant (unitless) α_{soil} : Normalizing coefficient related to wetness of the top soil layer (unitless) z_{top}, z_{bot} : Depth of dry soil in the top and bottom layers (m)
f_{GPP} : fraction of GPP lost as growth respiration (dimensionless)	$f_{GPP} = \frac{1}{\Delta t} \left(f_{GPP} \cdot B_{div} \right)$	f_{GPP} : Growth respiration ($\text{gC} \cdot \text{m}^{-2} \cdot \text{dt}^{-1}$) B_{div} : Allocatable biomass ($\text{gC} \cdot \text{m}^{-2}$) (Ruimy et al., 1996)
α_{resp} : slope of the dependance on temperature of maintenance respiration coefficient (K^{-1})	$c_i = \max\left(0, c_i^0 (1 + \alpha_{resp} T_i)\right)$ $M_{resp} = \frac{1}{\Delta t} \left(\sum_{i=1}^n c_i \cdot B_i + c_{soil} \cdot B_{soil} \cdot \frac{0.3 \cdot LAI + 1 \cdot A (1 - e^{-1.2 LAI})}{LAI} \right)$	c_i : Fraction of biomass lost as maintenance respiration for part i (unitless) c_i^0 : Prescribed maintenance respiration coefficients at 0 Degree Celsius (unitless) T_i : Air (soil for belowground compartments) temperature ($^{\circ}\text{C}$) M_{resp} : Maintenance respiration ($\text{gC} \cdot \text{m}^{-2} \cdot \text{dt}^{-1}$) B_i : Biomass in compartment i ($\text{gC} \cdot \text{m}^{-2}$) (Krimmer et al., 2005; Ruimy et al., 1996)

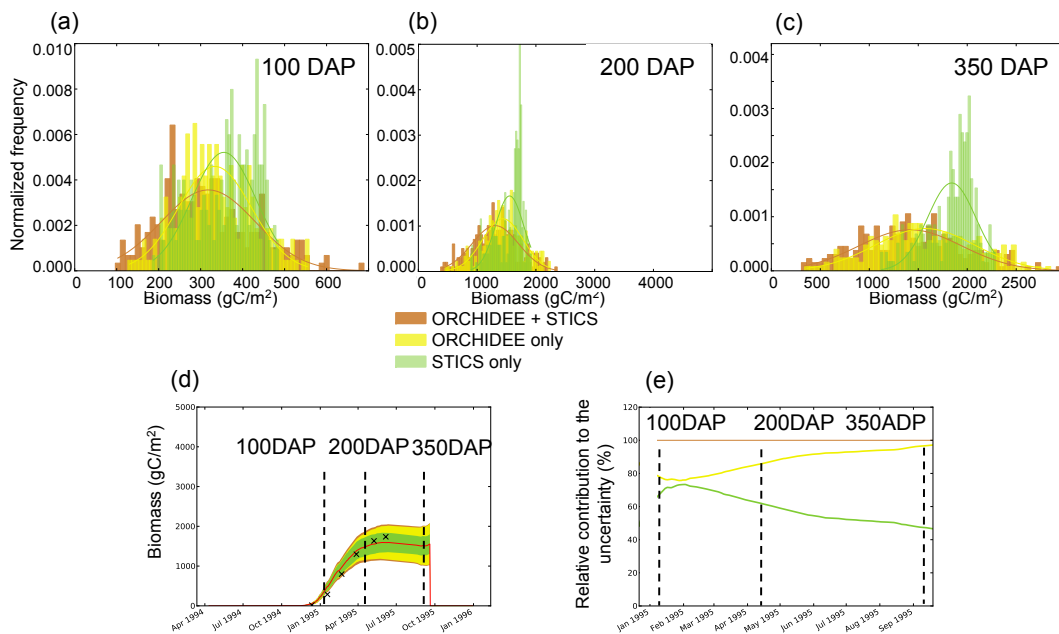
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 2 Figure 5: Parameters rankings derived from the Morris screening analysis for *STICS*
 3 parameters (a) and *ORCHIDEE* parameters (b) for 7 sites (color lines). Each axis of
 4 the radar plot corresponds to the rank of a parameter, the lower the rank, the more
 5 important the parameter.



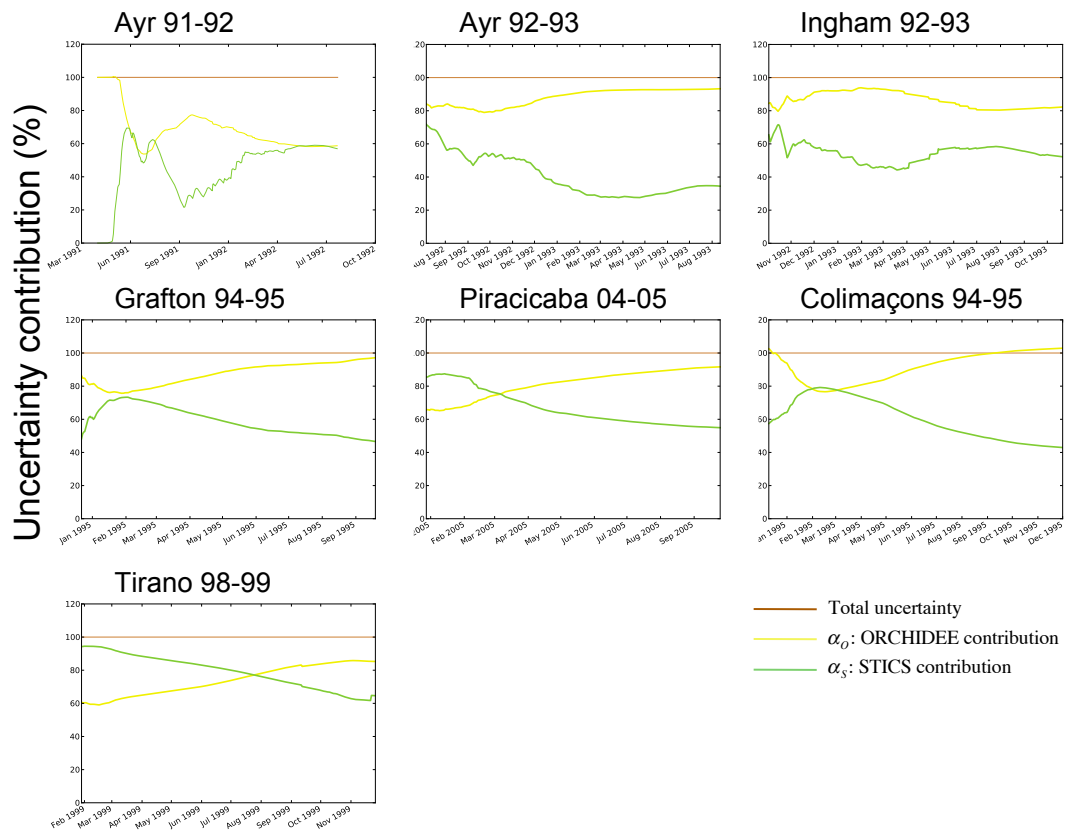
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 2 Figure 6 : Uncertainty analysis for the site Grafton 94-95. (a-c) probability
 3 distributions of harvested biomass simulated after parameters uncertainty (from
 4 *STICS*:green, from *ORCHIDEE*: yellow, from *ORCHIDEE+STICS*: brown) has been
 5 propagated into the model. (d) reference simulation of harvested biomass (red) and
 6 uncertainty from *ORCHIDEE*, *STICS*, *ORCHIDEE+STICS*. (e) Contribution (%)of
 7 *ORCHIDEE* (yellow) and *STICS* (green) to the total uncertainty (brown) over the
 8 length of the growing season.



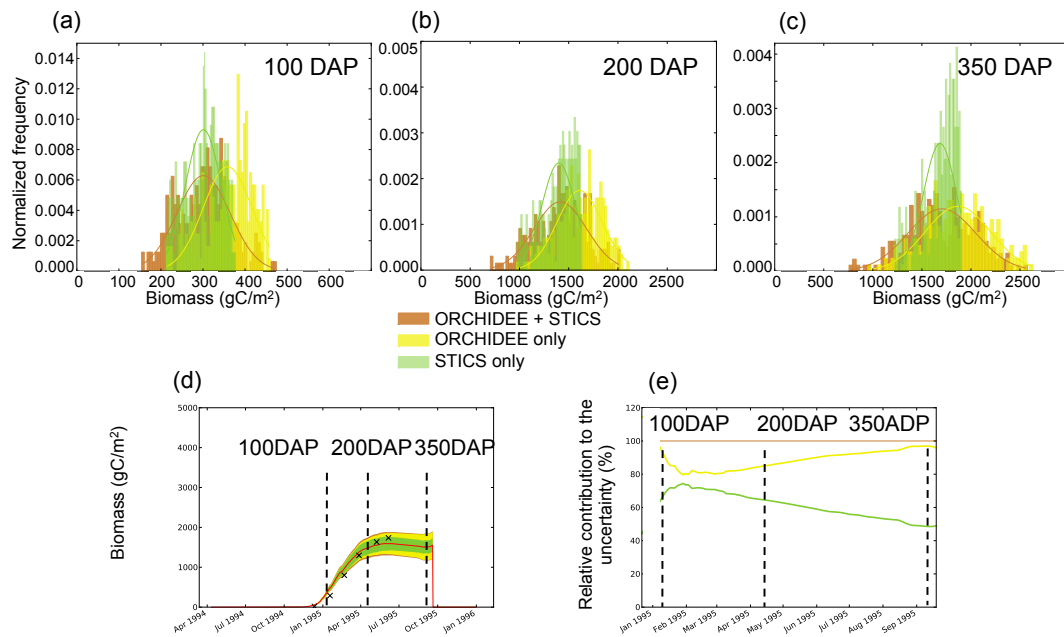
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- 1 Figure 7 : Contribution (%) of *ORCHIDEE* (yellow) and *STICS* (green) to the total
- 2 uncertainty (brown) over the length of the growing season for 7 sites.



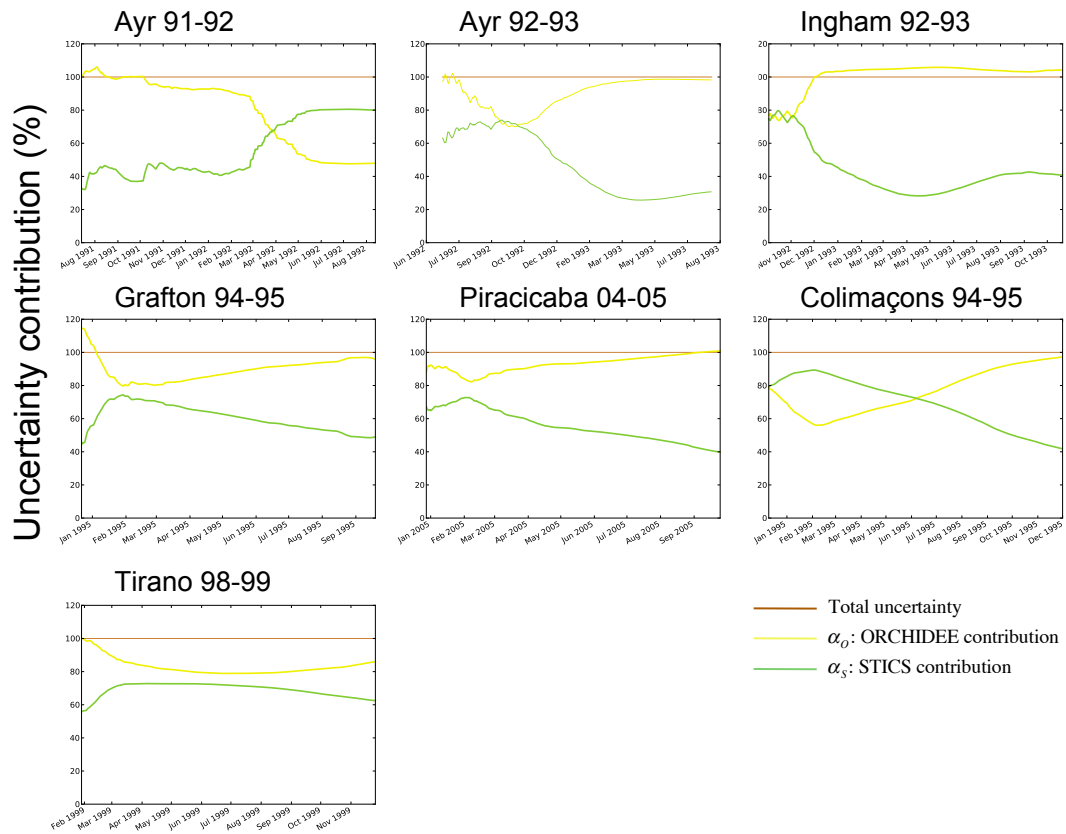
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1 Figure 8: Uncertainty analysis for the site Grafton 94-95 after parameters uncertainty
 2 ranges have been constrained through optimization at 7 sites. (a-c) probability
 3 distributions of harvested biomass simulated after parameters un- certainty (from
 4 *STICS*: green, from *ORCHIDEE*: yellow, from *ORCHIDEE+STICS*: brown) has been
 5 propagated into the model. (d) reference simulation of harvested biomass (red) and
 6 uncertainty from *ORCHIDEE*, *STICS*, *OR- CHIDEE+STICS*. (e) Contribution (%) of
 7 *ORCHIDEE* (yellow) and *STICS* (green) to the total uncertainty (brown) over the
 8 length of the growing season.



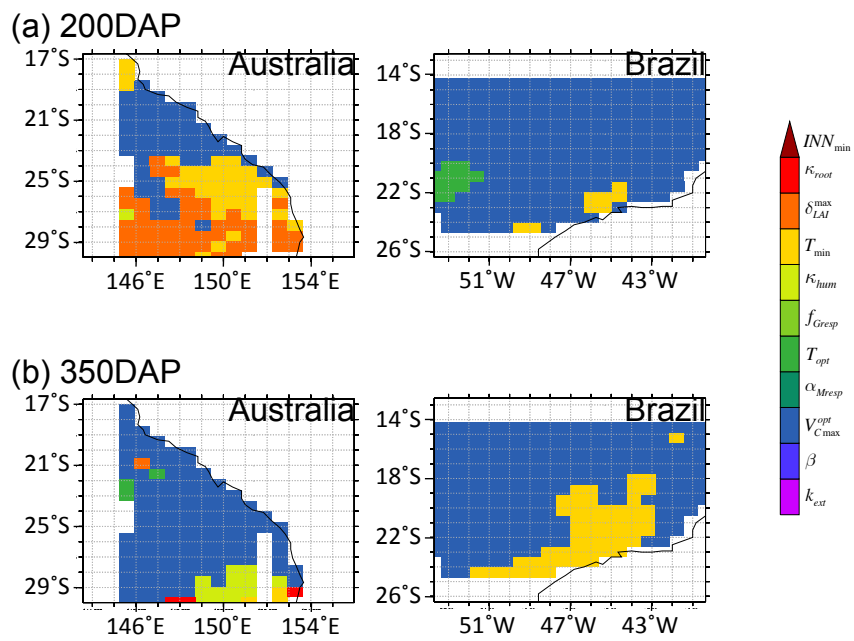
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2 Figure 9: Contribution (%) of *ORCHIDEE* (yellow) and *STICS* (green) to the total
3 uncertainty (brown) over the length of the growing season for 7 sites after parameters
4 uncertainty ranges have been constrained through optimization at 7 sites.



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 2 Figure 10: Spatial distribution of the most influential parameters for the simulation of
 3 harvestable biomass for two milestones during the growing season, 200 days after
 4 planting (DAP) and 350DAP



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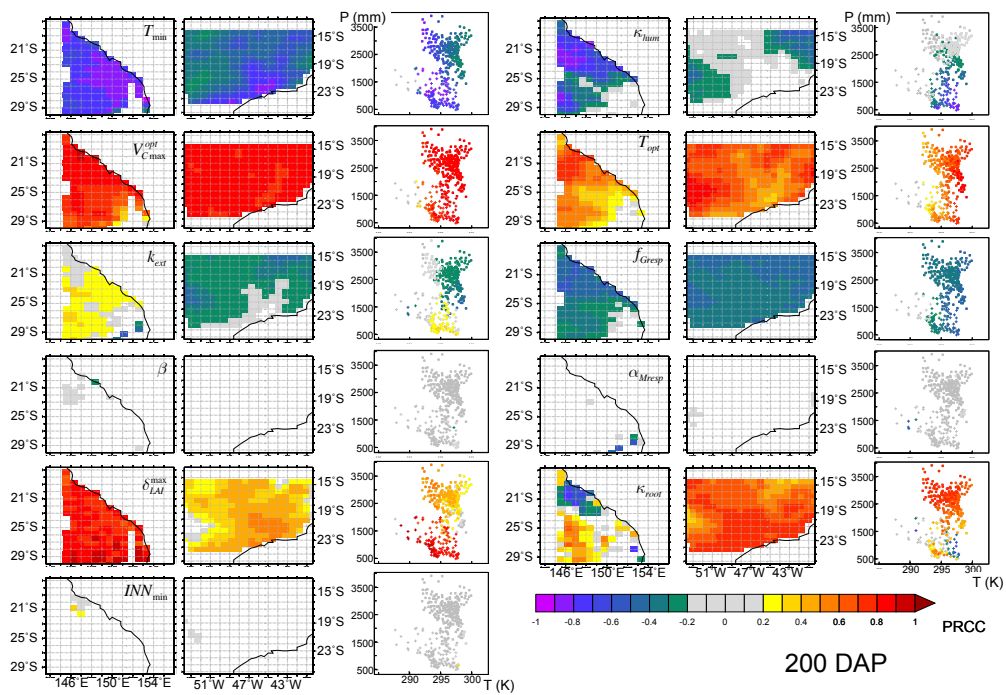
2 Figure 11: Sensitivity of *ORCHIDEE-STICS* to its main parameters at 200 days after
3 planting, as measured with Partial Ranked Correlation Coefficients (PRCC). The

4 color indicates the strength of the relation between the parameter and the harvestable

5 biomass, which is represented spatially (columns 1,2,4,5) and in a (Temperature,

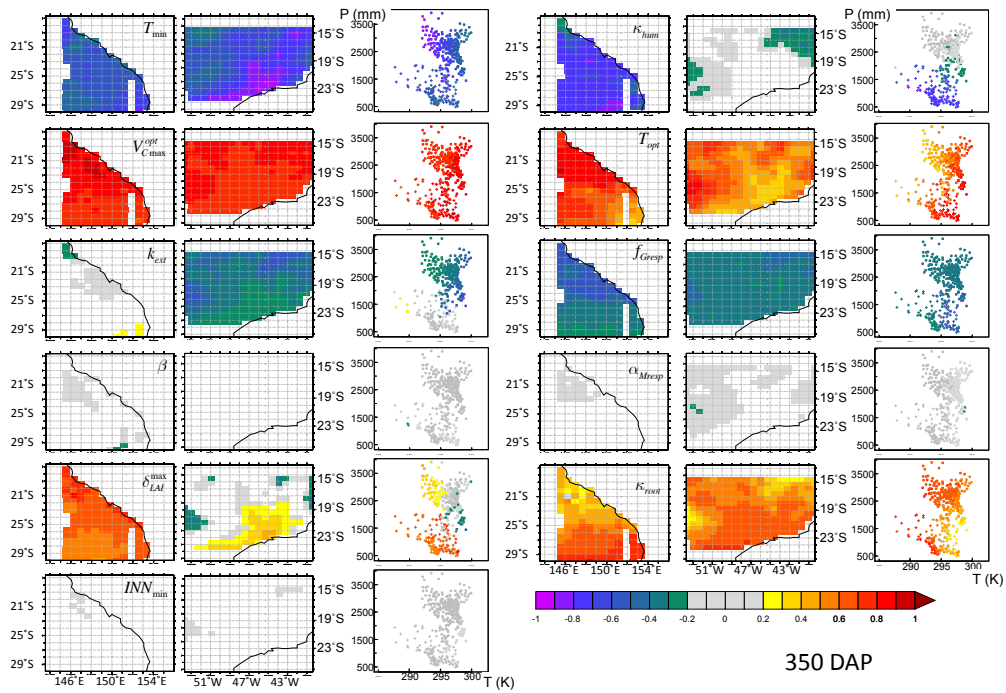
6 Precipitation) referential (columns 3,6).

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- 1 Figure 12: Sensitivity of *ORCHIDEE-STICS* to its main parameters at 350 days after
- 2 planting, as measured with Partial Ranked Correlation Coefficients (PRCC). The
- 3 color indicates the strength of the relation between the parameter and the harvestable
- 4 biomass, which is represented spatially (columns 1,2,4,5) and in a (Temperature,
- 5 Precipitation) referential (columns 3,6).



1

2 Table 1: Description of climate and management for the sites used in this study in
3 Australia (Ayr, Ingham, Grafton), Brazil (Piracicaba) and La Runion (Colimaons,
4 Tirano).

	Planting and harvest dates		Mean annual precipitation	Average temperature	irrigation	Fertilization
Ayr	4/19/1991	8/13/1992	964	23.4	irrigated	no
Ayr	4/22/1992	8/13/1993	560	23.6	irrigated	yes
Grafton	9/28/1994	9/19/1995	768	19.6	irrigated	yes
Ingham	7/23/1992	10/21/1993	1294	24.2	irrigated	yes
Piracicaba	10/29/2004	9/26/2005	1230	21.6	irrigated	
Colimacons	8/3/1994	12/1/1995	989.5	19	rainfed	yes
Tirano	11/26/1998	11/26/1999	813	22.34	irrigated	yes

5

1

2 Table 2: List of parameters from STICS and ORCHIDEE included in each step of the
 3 analysis with their ranges of variation.

		expert judgment based ranges		Uncertainty analysis distribution	Observations constrained ranges	
STICS						
Water budget	absolute value for stomatic closure potential	psisto	5	15		
	Absolute value for start of reduction in cell expansion	psiturg	1	5		
Initial conditions	Table of initial humidity levels in 5 soil horizons for fine soil, % weighted	Hinitf1	11	22		
		Hinitf2	11	22		
		Hinitf3	10	21		
	Table of initial quantities of nitrogen in the 5 soil horizons for fine soil	Ninitf1	0	30		
		Ninitf2	0	30		
Biomass conversion	Relative age of fruit when rate of growth is maximum	afpf	0.15	0.5		
	Maximum number of set fruits per inflorescence and by degree.day	afruitpot	0.0015	0.2		
	Maximum daily allocation of assimilates towards fruits	allocamx	0.63	0.86		
	Rate of maximum growth as a proportion of maximum fruit weight	bfpf	1	10		
	Radiative effect on conversion efficiency	coefb	0.0015	0.0815		
	Duration of growth of a fruit from setting to physiological maturity	dureefruit	2850	3000		
	Maximum growth efficiency during juvenile phase	efcroijuv	1.7	2.3		
	Maximum growth efficiency during grain filling phase	efcroirepro	2	6		
	Maximum growth efficiency during vegetative phase	efcroiveg	3.2	6		
	Number of age groups of fruits for fruit growth	nboite	12	25		
	Maximum weight of a grain (% water)	pgrainmaxi	1200	2000		
	Fraction of senescent biomass	ratiosen	0	1		
	Quantity of biomass exploited during the cycle	remobil	0.728	0.92		
	Development range between DRP and NOU stages	sdrpnou	552.5	747.5		
	Threshold to calculate trophic stress on LAI	splainin	0	0.3		
	Time between emergence and senescence	stlevsenms	400	800		

ORCHIDEE							
Allocation		f fruit	0.05	0.5			
	Maximum LAI per PFT	lai_max	3	9			
	Average critical age for leaves	leaf_age_crit	30	200			
	Upper bounds for leaf allocation	max_lto_lsr	0.25	0.5			
	Lower bounds for leaf allocation	min_lto_lsr	0.05	0.24			
	Root allocation	R0	0.05	0.5			
	Sapwood allocation	S0	0.05	0.5			
Photosynthesis	Extinction coefficient	ext_coef	0.5	0.9	uniform	0.5	0.72
	Slope of relationship between assimilation and stomatal conductance	gsslope	7	11	beta(2,2)	7.7	9.5
	Temperature at which photosynthesis is maximal	tphoto_max	30	45			
	Temperature at which photosynthesis is minimal	tphoto_min_c	12	19	uniform	12	16.7
	Temperature at which photosynthesis is optimal	tphoto_opt	24	36	uniform	24	36
	Maximum carboxylation rate	vcmax_opt	40	100	beta(2,2)	64	81.3
Respiration	Fraction of biomass available for growth respiration	frac_growth_resp	0.2	0.5	beta(2,2)	0.23	0.3
	Slope of the relationship between temperature and maintenance respiration	maint_resp_slope1	0.08	0.16	beta(2,2)	0.11	0.12
Water budget	Root profile to determine soil moisture content available to plants	humcste	0.8	7.2	uniform	3.2	4.1

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2 Table 3: Uncertainty associated with *STICS*, *ORCHIDEE*, or *ORCHIDEE+STICS*
3 parameters uncertainties expressed as percentage of the reference harvested biomass
4 for each site and for each of the two uncertainty analysis.

		Total Uncertainty (% of observed value)	ORCHIDEE Uncertainty (% of observed value)	STICS Uncertainty (% of observed value)
Expert-based parameters' uncertainties	Ayr 91-92	35.11	20.43	20.73
	Ayr 92-93	27.21	25.26	9.31
	Ingham 92-93	38.60	31.42	21.04
	Grafton 94-95	26.05	23.92	14.07
	Piracicaba 04- 05	25.49	23.36	14.00
	Colimacons 94-95	41.21	41.87	18.61
	Tirano 98-99	44.26	36.80	30.61
Optimization-based parameters' uncertainties	Ayr 91-92	31.20	14.01	25.64
	Ayr 92-93	15.84	15.60	4.58
	Ingham 92-93	21.66	22.35	9.19
	Grafton 94-95	16.84	15.25	9.81
	Piracicaba 04- 05	14.67	14.80	5.84
	Colimacons 94-95	21.31	20.01	10.28
	Tirano 98-99	22.26	18.06	15.03

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