Modelling climate change responses in tropical forests: similar productivity estimates across five models, but different mechanisms and responses.

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1 Abstract

Accurately predicting the response of Amazonia to climate change is important for predicting climate change across the globe. Changes in multiple climatic factors simultaneously result in complex non-linear ecosystem responses, which are difficult to predict using vegetation models. Using leaf- and canopy-scale observations, this study evaluated the capability of five vegetation models (CLM3.5, ED2, JULES, SiB3, and SPA) to simulate the responses of leafand canopy-scale productivity to changes in temperature and drought in an Amazonian forest.

8 The models did not agree as to whether gross primary productivity (GPP) was more sensitive 9 to changes in temperature or precipitation, but all the models were consistent with the 10 prediction that GPP would be higher if tropical forests were 5°C cooler than current ambient 11 temperatures. There was greater model-data consistency in the response of net ecosystem 12 exchange (NEE) to changes in temperature than in the response to temperature by net 13 photosynthesis (A_n) , stomatal conductance (g_s) and leaf area index (LAI). Modelled canopy-14 scale fluxes are calculated by scaling leaf-scale fluxes using LAI. At the leaf-scale, the 15 models did not agree on the temperature or magnitude of the optimum points of A_n , V_{cmax} or 16 $g_{\rm s}$, and model variation in these parameters was compensated for by variations in the absolute 17 magnitude of simulated LAI, and how it altered with temperature.

Across the models, there was, however, consistency in two leaf-scale responses: 1) change in A_n with temperature were more closely linked to stomatal behaviour than biochemical processes; and 2) intrinsic water use efficiency increased with temperature, especially when combined with drought. These results suggest that even up to fairly extreme temperature increases from ambient levels (+6°C), simulated photosynthesis becomes increasingly sensitive to g_s and remains less sensitive to biochemical changes. To improve the reliability of simulations of the response of Amazonian rainforest to climate change, the mechanistic underpinnings of vegetation models need to be validated at both leaf- and canopy-scales to
improve accuracy and consistency in the quantification of processes within and across an
ecosystem.

28 1 Introduction

29 Continuing increases in atmospheric CO_2 are likely to cause increases in temperature and 30 changes in precipitation across Amazonia (Good et al., 2013; Jupp et al., 2010; Malhi et al., 31 2009; Marengo et al., 2012). However, significant uncertainty remains regarding the response of tropical forests to warming (Corlett, 2011; Reed et al., 2012; Wood et al., 2012), altered 32 33 precipitation (Meir et al., 2008; Meir and Woodward, 2010) and short-term abrupt changes in 34 both precipitation and temperature (Cox et al., 2008; Marengo et al., 2011; Reichstein et al., 35 2013). Such uncertainties are propagated into models, resulting in substantial variability in 36 modelled responses to changes in temperature and drought (Friedlingstein et al., 2006; 37 Galbraith et al., 2010; Powell et al., 2013; Sitch et al., 2008). These responses need to be 38 rigorously assessed to enable further improvement in our ability to predict the impacts of 39 climate change on rain forest functioning.

40 The ecosystem responses of models to multi-factor changes in climate can be difficult to 41 interpret because of complex nonlinear responses (Zhou et al., 2008), which can vary 42 substantially between vegetation models with different model structures. Previous modelling 43 analyses have shown a greater sensitivity of carbon storage in Amazonian forests to increased 44 temperature than reduced precipitation (Galbraith et al., 2010). However model responses to 45 simultaneous changes in precipitation and temperature complex are difficult to evaluate due 46 to the compound effect of drought and temperature responses (Luo et al., 2008). There are 47 particular challenges when considering short-to-medium term responses (Luo et al., 2008) linked to climatic extremes, such as severe drought (Cox et al., 2008; Marengo et al., 2011). 48

49 Concurrent changes in temperature and precipitation can cause a complex chain of positive 4

50 and negative feedbacks on different timescales (Figure 1). Increased temperature and reduced 51 precipitation can directly affect stomatal conductance (g_s) through increasing vapour pressure deficit (VPD), or indirectly affect g_s on longer time-scales through reducing soil water 52 53 content (SWC; Figure 1). Stomatal conductance, g_s , limits photosynthesis (A_n), and therefore gross primary productivity (GPP). However A_n can also be limited by changes in leaf 54 55 biochemistry (V_{cmax} and J_{max} , Figure 1). How A_n is limited by temperature increase is important as changes in leaf biochemistry at very high temperatures can result from 56 57 permanent alteration and possible damage to proteins, whereas changes in g_s are less 58 permanent, but alter water use, and potentially water use efficiency. Currently there is no 59 consensus on how A_n will respond to temperature: some studies find a direct impact through 60 leaf biochemistry (Doughty, 2011; Doughty and Goulden, 2008), and others an indirect effect 61 initiated by changes in g_s , because the limitation of increasing VPD on g_s occurs at lower 62 temperatures than those that cause protein damage (Lloyd and Farquhar, 2008). The lack of 63 data for tropical trees means these responses remain poorly constrained, though drought and 64 warming can be examined using limited field data from drought and warming experiments 65 (da Costa et al., 2014; da Costa et al. 2010; Nepstad et al., 2002) and from extreme events within the natural range of the climate (Marengo et al., 2011). 66

The response of vegetation models to temperature change or drought occurs through the aggregated changes in finer scale processes, for example at the leaf level. Correctly simulating the mechanisms at the leaf scale is therefore important to maintain confidence in canopy-scale predictions. Leaf-scale responses in models are scaled using LAI to simulate the processes at the canopy-scale; therefore inaccuracies in both leaf-scale fluxes and how they are scaled can produce substantial errors in ecosystem scale fluxes (Bonan et al., 2012). 5 Currently no model-data comparisons exist that allow for the evaluation of combined temperature and precipitation/drought sensitivity of ecosystem fluxes in relation to LAI and leaf-scale processes in tropical forests. However if we are to identify accurately how to improve simulated responses of Amazonian forests to future climate change it is vital that model output is evaluated against data from the leaf to the canopy-scale.

At the Tapajós national forest in north east Brazil, Doughty and Goulden (2008) collected data on the response of net ecosystem exchange (NEE) to change in atmospheric temperature and the response of A_n and g_s to short-term artificial leaf warming. Doughty and Goulden (2008) found reductions in forest productivity at air temperatures above 28°C, which corresponds to significant reductions in A_n and g_s at leaf temperatures above 30-33°C. They suggested that tropical forests may therefore already be close to a temperature threshold, beyond which productivity will decline.

85 Here we use the data published by Doughty and Goulden (2008) to evaluate the short-term 86 temperature responses within models at both the leaf and canopy-scale and investigate how 87 the model formulations might impact predicted responses to multiple climatic factors. Our 88 model simulations represent short-term non-equilibrium responses to changes in temperature 89 to make them comparable to the perturbation data collected by Doughty and Goulden (2008). 90 Evaluation of non-equilibrium changes in models is valuable for assessing how models will 91 perform when simulating responses to extreme shifts in temperature and precipitation which 92 are predicted to increase across Amazonia (Cox et al., 2008; Marengo et al., 2011). If the 93 models were run their equilibrium response to a simulated climate shift, the changes in some 94 of the key variables in the study (A_n, g_s) are more likely to be dominated by the effect of long-

95 term soil drying rather than direct temperature responses (e.g. the dashed lines in Fig. 1). This 96 study is part of a wider model inter-comparison project which aims to explore how well 97 vegetation models simulate drought in the eastern Amazon (Powell et al., 2013). In this study 98 we evaluate: 1) how the forest productivity of five vegetation models (CLM3.5, ED2, 99 JULES, SiB3, SPA) responds to changes in temperature, 2) what leaf-scale processes drive 100 canopy-scale changes in productivity and 3) how both leaf- and canopy-scale temperature 101 sensitivities are influenced by concurrent changes in precipitation at the Tapajós forest site in 102 eastern Brazil. In all models we simulate first an ambient and then a 50 % reduction in the 103 incoming precipitation during the wet season from 2000-2006 analogous to the drought 104 treatment imposed at the Tapajós forest site, linked to a -5° C, 0° C, $+2^{\circ}$ C, $+4^{\circ}$ C, and $+6^{\circ}$ C 105 change to the ambient air temperature (T_{air}) . These simulations cover a range of likely and 106 possible increases in temperature for the Amazon region in the coming century (Christensen et al, 2007; Collins et al., 2013; Malhi et al., 2009) and can be evaluated against existing data 107 108 from Doughty and Goulden (2008). This study is the first to evaluate, using data, the inter-109 model variability in the leaf and canopy responses to changes in temperature and 110 precipitation at a tropical forest site.

111

112 2 Materials and Methods

113 **2.1 Model description**

114 The five models used in this study were the Community Land Model version 3.5 coupled to115 the Dynamic Global Vegetation model (CLM3.5-DGVM; hereafter CLM3.5), the Ecosystem

116 Demography model version 2 (ED2), the Joint UK Land Environment Simulator version 2.1 (JULES), the Simple Biosphere model version 3 (SiB3), and the Soil-Plant-Atmosphere 117 118 model (SPA). A brief description of each of the models is given here and in Table 1 (also see 119 Powell et al., (2013)). The simplest canopy structure is in SiB3. SiB3 has a fixed LAI and 120 uses a big-leaf model which simulates the response of the top canopy and integrates this 121 response throughout the canopy according to a light and leaf nitrogen (N) extinction 122 coefficient (Baker et al., 2008; Sellers et al., 1992; Sellers et al., 1996). CLM3.5 is also a big-123 leaf model, however it separates the canopy into a sunlit leaf fraction (leaves which receive 124 both direct and diffuse light) and a shaded leaf fraction (leaves which receive only diffuse 125 light), which change dynamically with sun angle and canopy light penetration (Oleson et al., 126 2004; Oleson et al., 2008). The version of JULES used in this study simulates 10 canopy 127 layers with equal leaf area increments. Leaf nitrogen decays exponentially through the 128 canopy and radiation interception is simulated following the two-stream approximation of Sellers (1985). SPA also has a layered canopy model, and here used three canopy layers, with 129 separate sunlit and shaded fractions (Williams, 1996; Williams et al., 2005). ED2 130 131 mathematically approximates the properties of an individual-based forest gap model, separately modelling the stems of three successional stages (pioneer, mid-successional and 132 133 late-successional) of, in this study, tropical trees and grasses on a continuum of leaf light 134 levels from fully shaded to fully sunlit (Kim et al., 2012; Medvigy et al., 2009b; Moorcroft et 135 al., 2001). SiB3 and SPA simulate only 1 plant functional type (PFT), set to tropical 136 evergreen broadleaf; JULES and CLM3.5 simulate 5 PFT's, but this site simulated a fractional cover > 95% evergreen broadleaf trees. As the focus of this study is the responses 137 138 within tropical forests, results were not considered if a model simulated a shift in the PFT

139 away from the dominance of tropical forest.

140 All of the models use enzyme-kinetic A_n equations, derived from Farquhar et al. (1980), 141 Farquhar and Sharkey (1982), Kirschbaum and Farquhar (1984) and Collatz et al. (1991). In 142 all models temperature can affect A_n directly through temperature response functions on the 143 maximum rate of carboxylation of RuBP (V_{cmax}), the CO₂ compensation point, and the 144 Michaelis-Menten constants (K_c and K_o), and in SPA the maximum rate of electron transport 145 (J_{max}) . Temperature can also indirectly change A_n through changing the VPD at the leaf 146 surface, which alters g_s . CLM3.5, ED2 and SiB3 use the Ball-Berry stomatal conductance 147 model (Collatz et al., 1991). JULES calculates g_s by relating the ratio of internal to external CO₂ to the humidity deficit (Cox et al., 1998). SPA is unique in that it models stomatal 148 conductance by simulating an aqueous continuum between the soil and leaf water: g_s and 149 150 photosynthesis are maximised using an isohydric assumption that at each time-step leaf water 151 potential does not drop below a critical level (-2.5 MPa; see Williams et al., 1996, Fisher et 152 al., 2007). CLM3.5, ED2, SiB3 and JULES alter g_s using a water stress factor (β ; a value 153 ranging 0-1 where 1 indicates no soil water stress and 0 indicates complete soil water limitation). A detailed description of the effect of soil water stress on g_s and A_n in these 154 155 models is given by Powell et al., (2013).

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157 **2.2 Site**

The throughfall exclusion in the Tapajós National Forest (TNF, 2.897 S, 54.952 W) is located
on an Oxisol soil, and has a mean annual precipitation of approximately 2 m per year; the site

160 is described in detail by Nepstad et al. (2002). This plot was selected for this experiment because on the temperature response of canopy level net ecosystem exchange (NEE) was 161 collected at a nearby site (km83; Doughty and Goulden, 2008). The canopy NEE 162 163 measurements were from an eddy covariance tower from July 2000 to July 2001, when light levels were above 1000 μ mol m⁻² s⁻¹ (Doughty and Goulden, 2008). Leaf level responses of 164 165 stomata conductance and photosynthesis to increases in leaf temperature in fully sunlit canopy leaves were from 3 species in 2004 (see Doughty and Goulden, 2008 and Goulden et 166 167 al., 2004).

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169 2.3 Meteorological Data and Soil Properties

The model simulations were driven using hourly meteorological data (precipitation, T_{air} , specific humidity, short and long-wave radiation and air pressure) measured above the canopy at the site from 01/01/2002-31/12/2004. The short-wave radiation was split into 68% direct and 32% diffuse, and then this was split into 43% visible and 57% near-infrared for direct, and 52% visible and 48% near-infrared for diffuse (Goudriaan, 1977).

The soil properties were standardised across all models to create a similar soil physical environment, thereby testing only for differences in vegetation functioning (see Powell et al., 2013). Only biological properties such as rooting depth, root biomass, as well as the total number of soil layers were left as model specific soil properties.

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180 2.4 Experimental design

181 All of the models went through a standard spin-up procedure prior to simulations (see Powell 182 et al., 2013). Following the spin-up period, a series of five model simulations, with varying $T_{\rm air}$, were performed for an eight-year period (which was intended to simulate 1999-2006, see 183 184 Powell et al., 2013) for ambient precipitation (control simulations) and for simulations with a 185 50 % reduction in wet season rainfall (drought simulations). The 2002-2004 meteorological 186 data were recycled over the eight year simulation period. To explore the effects of changes in $T_{\rm air}$ on the models we performed five model simulations which consisted of simulations with 187 188 the hourly 2000-2006 ambient T_{air} adjusted by -5°C, 0 °C (ambient T_{air}), +2°C, +4°C and +6°C. 1999 was the baseline year for which no changes from ambient temperature and 189 precipitation were implemented. Our analysis was focused on increases in temperature; 190 191 however we included a simulation with temperatures 5 °C lower than ambient temperatures, 192 on the basis that some models may have processes optimised for temperate regions where 193 average T_{air} is lower. VPD was adjusted according to the changes in air temperature.

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195 **2.5** Model output and evaluation

All the data in this study was processed to match the collection methods and processing done by Doughty and Goulden (2008; hereafter referred to as DG), as closely as possible. Therefore, to compare the models' predictions NEE with the flux data, we extract canopy level fluxes when photosynthetic photon flux density (PPFD) was > 1000 μ mol m⁻² s⁻¹, the conditions used by DG. PPFD was not available for the whole period; therefore we use the

201 measured shortwave radiation to estimate PPFD. A conversion factor of 2 is used to convert from shortwave radiation (W m^{-2}) to PPFD (µmol $m^{-2} s^{-1}$) based on an empirical relationship 202 calculated from the flux tower at the study site (Doughty, unpublished data). The results on 203 204 hourly time-steps from each model for the period of (2000-2006) for the five temperature simulations (with offset of -5°C, +0°C, +2°C, +4°C and +6°C) were pooled. Model output was 205 then placed into 1 °C bins of T_{air} for the canopy-scale analysis (GPP, NEE, ecosystem 206 respiration (R_{eco})) or of leaf temperature (T_{leaf}) , for leaf-scale analysis, as done in the DG 207 study. Accounting for non-gaussian distributions in model output the median and the 15.9th 208 and 84.1th quantiles of the binned model output are plotted to represent the mean and 1 209 210 standard deviation of the temperature response curve of any model variable. The data from 211 the drought and control simulations are considered separately.

To explore the relative sensitivity of models to changes in temperature and drought a linear relationship between the temperature increase per control simulation (-5 °C, 0 °C, 2 °C, 4 °C, 6 °C) and final year (2006) GPP was used to calculate the change in GPP per 1 °C increase T_{air} for each model (Table 2). This value was used to calculate the increase in temperature necessary to produce the same loss of GPP as the ambient T_{air} drought simulation, where there is a 50% reduction in wet season rainfall (Table 2).

218 DG published data for the temperature response of A_n and g_s of sunlit leaves during the dry 219 season when PPFD is >1000 µmol m⁻² s⁻¹. CLM3.5 and SPA are the only models which have 220 separate output for sunlit and shaded leaves. Consequently data from the sunlit leaves of 221 these models from periods of high PPFD (>1000 µmol m⁻² s⁻¹) during the dry season (July-222 December) were used for comparison. The effect of increasing T_{air} reducing modelled soil

water content (via increased VPD and consequent leaf transpiration) had to be removed from the model outputs to make it comparable to the DG data, where individual leaves were artificially warmed. Therefore we only selected model outputs from the temperature simulations if the soil water content in the rooting zone was in the top quartile of the values from the ambient control simulation, this corresponded to β values of >0.9 in CLM3.5. For consistency with the sunlit leaf analysis, the analysis of canopy average leaf data from all models was done using dry season data with PPFD >1000 µmol m⁻² s⁻¹.

The relative sensitivity of the five models to changes in temperature and precipitation is assessed by comparing the interactive and non-interactive effects of the 50 % reduction in wet season precipitation (drought simulation) with the -5°C, 0, and +6°C change in T_{air} on ecosystem fluxes at the end of the 8 year simulation (2006).

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235 **3 Results**

236 **3.1 Canopy-scale responses**

The models have similar responses of NEE and GPP to increasing T_{air} . DG observed a reduction in carbon uptake as NEE went from -17.4±0.3 to -7.9±1.1 µmol m⁻² s⁻¹, corresponding to an increase in T_{air} from 28°C - 32°C (Figure 2a). The modelled NEE begins to increase at a lower T_{air} (22-25°C) in the models and the 28°C - 32°C increase in NEE is generally substantially less than observed by DG (2.5-3.9 µmol m⁻² s⁻¹), except in SPA which experiences a similar increase in NEE as DG from 28°C - 32°C (8.8 µmol m⁻² s⁻¹), across the same range of values (-15.8 to -7.0 µmol m⁻² s⁻¹; Figure 2a). The increase in modelled NEE at 13 high temperatures is caused by a decline in GPP across all models (Figure 2b). As T_{air} increases from 16°C to 38°C the average decline in GPP from all models is 20.9±3.2 µmol m⁻² 2 s⁻¹. In contrast the mean model decline in R_{eco} over the same modelled T_{air} range was 4.2±1.8 µmol m⁻² s⁻¹ (Figure 2c). The decline in modelled ecosystem respiration is low because in all models a decline in autotrophic respiration with increasing temperature (linked in the models with reduced GPP) is opposed by an increase in heterotrophic respiration (data not shown).

251 Declines in GPP corresponded to declines in LAI. Between 25°C to 38°C the decline in GPP in CLM3.5 (89±38 %), and SPA (82±26 %) was greater than in other models (Figure 2b) and 252 matched by greater declines in LAI over the same temperature range $(4.2\pm1.0 \text{ m}^2 \text{ m}^{-2})$, 253 CLM3.5 and 4.4 \pm 0.9 m² m⁻² in SPA, relative to only 0.6 \pm 0.3 m² m⁻² in ED2 and 0.4 \pm 0.1 m² 254 m⁻² in JULES; Figure 2d). The inter-model variability in LAI is large; at 25 °C the median 255 LAI value in ED2 $(3.6\pm0.3 \text{ m}^2 \text{ m}^{-2})$ is 3 times smaller than the median values in CLM3.5 256 (10.7±1.0 m² m⁻²). Observed mean LAI at the TNF under non-drought conditions ranged 257 from 5.5-6.3 $\text{m}^2 \text{m}^{-2}$ from 2000 to 2005 (Brando et al., 2008) and therefore the modelled 258 259 values span a range ~70% above and below the measured LAI (Figure 2d).

Combined drought and warming had compound effects on GPP, R_{eco} , and LAI. In CLM3.5 GPP remained the same in the T_{air} -5°C simulation at the end of the drought and control simulation, however in the T_{air} +6°C simulation the forest which existed at the end of the control simulation was replaced with grassland in the drought simulation (GPP values for grassland are not shown, Figure 3a). In JULES, SiB3 and SPA the GPP was the same in the control and the drought simulation at T_{air} -5°C; however GPP is 61%, 58% and 44% lower respectively at the end of the drought relative to the control simulation (Figure 3a). The combined effect of temperature and drought on GPP and R_{eco} is lowest in ED2, because it was the only model to have a strong drought effect on GPP, R_{eco} and LAI in the T_{air} -5°C simulation (Figure 3). In CLM3.5 and SPA, GPP and LAI have the same fractional reductions with drought, at higher temperatures (Figure 3a and 3c), indicating a tight coupling between the LAI and canopy productivity; this contrasts the lack of, or low GPP-LAI feedback in SiB3 and JULES.

273 Amongst the models there is a continuum of temperature versus drought sensitivity. We 274 express the temperature versus drought sensitivity as the equivalent temperature increase 275 necessary to produce the same GPP reduction as between the last year of the control to the drought simulation at ambient T_{air} (Table 2). A low equivalent temperature would represent a 276 277 greater GPP sensitivity to temperature increase and/or a lower GPP sensitivity to drought; a higher equivalent temperature represents a lower GPP sensitivity to temperature increase 278 279 and/or a higher GPP sensitivity to drought. The equivalent temperature increase necessary to 280 reproduce the same GPP reduction as from the last year of control and droughts simulation at ambient temperature was lowest in SPA (4.92°C), moderate in JULES and CLM3.5 (8.61°C 281 and 8.83°C, respectively), and highest in SiB3 and ED2 (15.70°C and 17.50°C, respectively; 282 Table 2). However across all the models a 5°C reduction in ambient T_{air} resulted in an 283 increase in forest productivity as GPP rose between 3.3-8.7 Mg C ha⁻¹ yr⁻¹ in all models 284 285 (Table 2).

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287 **3.2 Leaf-scale responses**

Leaf-scale A_n and g_s oppose LAI responses; the model with the largest change in LAI in 288 289 response to temperature increase (CLM3.5) has the lowest A_n values and the models with the 290 smallest change in LAI (ED2, JULES & SiB3) have the greatest A_n values and the strongest 291 responses of A_n to temperature change (Figure 4). Model uncertainty increases with temperature for A_n and V_{cmax} (Figure 4a & 5). For V_{cmax} this is caused by substantial variation 292 293 in the optima (10°C; Figure 5) and the rate of decline in $V_{\rm cmax}$ following the optima; in 294 CLM3.5 $V_{\rm cmax}$ declines 50% at 9°C over the optimum, contrasting with the same decline 17°C 295 over the optimum in SPA (Figure 5).

The optimum A_n in SPA, SiB3, JULES, CLM3.5 and ED2 occurs at T_{leaf} values of 25°C, 26°C, 27°C, 30°C and 30°C respectively (Figure 4a) and significantly before the optimum point on V_{cmax} (Figure 5). In all models the A_n optimum and the initial decline in canopy average A_n is linked to declines in g_s (Figure 4a-b). Consequently for each model there are apparent, but variable, relationships between g_s and A_n (Figure 6), but no obvious relationships between A_n and V_{cmax} (Figure 7).

There was high variability in the magnitude and temperature response of g_s across the models. The maximum canopy average g_s values in SiB3 (486 mmol m⁻² s⁻¹ at 25°C) and ED2 (384 mmol m⁻² s⁻¹ at 23°C) are substantially higher than CLM3.5 (49 mmol m⁻² s⁻¹ at 20°C), JULES (70 mmol m⁻² s⁻¹ at 25°C) and SPA (200 mmol m⁻² s⁻¹ at 24°C; Figure 4b). In CLM3.5 a strong constriction in *ET* is caused by the strong influence of β on g_s (Figure 4c-d). β is reduced by 85±31% in CLM3.5 as T_{leaf} increase from 30-40 °C. The decline in β over the same T_{leaf} range was only 14±1% in ED2, 38±5% in JULES and 7.9±1% in SiB3 (Figure 4d).

309 The slope of A_n against g_s indicates intrinsic water use efficiency (IWUE): the rate of increase 16

of assimilation per unit increase in g_s . If A_n is plotted against g_s separately for each model temperature simulations (-5°C, 0°C, +2°C, +4°C, +6°C) and a linear fit is forced through the g_s and A_n data, it is apparent that all models simulate increasing IWUE (an increase in slope) from the -5°C up to the +6°C simulations (Figure 6 & Table 3). The increase in slope of A_n and g_s from the -5°C to +6°C temperature simulation is greater in the drought than control simulations in all models (Figure 6 & Table 3), suggesting that both increasing temperature and reduced water availability increase IWUE.

317 When the effect of soil water stress is removed and sunlit leaf level values are compared to 318 the DG data for the models which could output separate sunlit leaf values of g_s and A_n (only 319 SPA and CLM3.5; Figure 8), the peak A_n of sunlit leaves in SPA at 25°C (8.72±0.24 µmol m⁻ 2 s⁻¹) is similar to the peak in the DG leaf-scale data at 30.5°C (8.44±0.17 µmol m⁻² s⁻¹; Figure 320 8a). In CLM3.5 the peak A_n at 29°C is considerably higher (13.48±0.20 µmol m⁻² s⁻¹), 321 322 although it occurs at a similar temperature to the observed peak. Both CLM3.5 and SPA show a decline of A_n with temperature similar to the data. Modelled g_s , however, shows a poor 323 match to the observations (Figure 8b). Peak g_s values occur at substantially lower T_{leaf} values 324 in CLM3.5 (27°C) and SPA (25°C) than observed (33.5°C; Figure 5b). The peak sunlit g_s in 325 SPA are also significantly higher $(434\pm88 \text{ mmol m}^2 \text{ s}^{-1})$ than the observations $(123\pm4 \text{ mmol})$ 326 $m^{-2} s^{-1}$) and show a very sharp decline not observed in the data (Figure 8b). 327

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329 4 Discussion

330 4.1 Canopy- and leaf-scale feedbacks

331 The response of NEE and GPP to short-term changes in temperature demonstrated substantially greater consistency across models than for LAI (Figure 2). Amongst the models 332 which had dynamic LAI, the change in LAI from the original value ranged from 4.5 m² m⁻² in 333 SPA to 1.0 m² m⁻² in ED2. Interestingly, the change of LAI with T_{air} in ED2 and JULES was 334 so low that it was more comparable to SiB3, a model with fixed LAI. This contrasts 335 CLMA3.5 and SPA, within which LAI declined substantially as T_{air} rose above a threshold 336 (Figure 2d). The inter-model range in LAI (maximum range 7.5 $\text{m}^2 \text{m}^{-2}$) was greater than the 337 decline in LAI with T_{air} in any model. If leaf-scale fluxes are scaled using an inaccurate LAI, 338 339 the simulation of both accurate leaf- and canopy-scale fluxes is not possible (Bonan et al., 340 2012; Lloyd et al., 2010; Mercado et al., 2006; Mercado et al., 2009). Given the large 341 variability in LAI responses across the models, it would be expected that there should be a 342 greater variability in GPP and NEE than was observed. Therefore the models must 343 compensate for variability in canopy structural parameters, such as LAI, through adjustment 344 in other leaf-scale parameters if the observed consistency in ecosystem-scale responses is to 345 be maintained (Bonan et al., 2012). We found substantial variation in the magnitude and temperature responses of leaf-scale parameters: peak $V_{\rm cmax}$ had a 10°C $T_{\rm leaf}$ range across the 346 models (Figure 5), g_s values varied by over an order of magnitude (Figure 4b), the inter-347 348 model range of β and ET increased with T_{leaf} (Figure 4c-d), and there was a two-fold increase in the inter-model range of A_n as T_{leaf} rose from 25-40°C (Figure 4a). Such variability across 349 the models suggests that any similarity in the response of NEE to T_{air} among models is caused 350 351 by different processes and feedbacks at the leaf scale. Had the models been run to their equilibrium states, it is likely that there would have been greater divergence of model 352 353 responses at both canopy- and leaf-scales. Prolonged higher temperatures reduce long-term

354 moisture availability and cause more severe changes in β ; in dynamic PFT-models this can 355 result in a substantial shift of PFT away from tropical forest. Without more data to evaluate which models produced the correct responses to temperature, it is hard to have confidence in 356 357 predictions of climate change impacts in Amazonian. Variability in the control of g_s and leaf biochemistry on A_n and changes in IWUE efficiency with increasing temperature or drought 358 359 will have significant consequences on the demand of water from a forest (Harper et al., 360 2014). In this study we find g_s had a greater control on the change in A_n with increasing 361 temperature because: A_n started to decline at T_{leaf} values which were lower than those at which peak V_{cmax} occurred (Figure 4b and Figure 5) and A_n maintained a positive relationship 362 with g_s across all models (Table 3; Figure 6), but no clear relationship with V_{cmax} (Figure 7). 363 364 All the models in this study also predicted an increases in IWUE from the lowest (ambient 365 $T_{\rm air}$ -5°C) to the highest (ambient $T_{\rm air}$ +6°C) temperature simulation; this increase in IWUE 366 was also always greater in the drought temperature simulations relative to the control 367 temperature simulations (Table 3; Figure 6). Increases in IWUE with increasing temperature 368 suggests that as the ecosystem warms A_n will become more sensitive to reductions in g_s and 369 g_s will maintain a greater control on A_n than biochemical controls, even at very extreme 370 increases in temperature (ambient T_{air} +6°C).

These results are consistent with the hypothesis that temperature increases will mainly be manifest through the effect of increased VPD on stomatal conductance (Lloyd and Farquhar 2008). They are also consistent with leaf warming data from the Tapajos forest which show that reductions in A_n start to occur at 4-5°C before the optimum point for V_{cmax} and J_{max} in sunlit leaves (Tribuzy, 2005). However the responses from longer-term leaf warming experiments at the same site showed that changes in leaf biochemistry with increasing leaf 19 temperatures was an important control on A_n (Doughty 2011), suggesting more data are required to test effectively both the short and long term responses of A_n to changes in temperature in models.

380 Comparing the short term direct effect of temperature on the A_n -gs relationships is 381 complicated because of the differences in the calculation and implementation of the effect of 382 water stress amongst models (Powell et al., 2013; Zhou et al., 2013). β is altered by changes 383 in SWC, which can be caused by changes in temperature (via increased VPD altering SWC), 384 as well as changes in precipitation; in turn β alters both g_s (Figure S1) and A_n . The decrease 385 in β with temperature increase was highly variable among models (Figure 4d). Consequently, 386 the direct influence of soil water stress on g_s , A_n and ET, versus the indirect effect of VPD, 387 was inconsistent between models. Resolving these inconsistencies is important, as water 388 stress functions impact the ratio of modelled latent to sensible heat fluxes and so when 389 coupled to global climate models they alter climate and vegetation feedbacks (Harper et al., 390 2014). Improving how water stress is simulated in models is therefore essential to improving 391 temperature and drought responses in tropical forests.

When focusing only on periods of high soil water content and therefore removing the effects of water stress, A_n and g_s values from fully sunlit leaves still varied substantially from the response and magnitude of the DG data (Figure 8). Given the DG data were averaged from only three top-canopy species, some degree of variation between the model and the data is expected. The variability between the peak data and peak model g_s was however > 4 times (Figure 8b) and the modelled temperature optima for g_s (25-27°C) was substantial lower than observed by DG (33.5°C).Given that CLM3.5 and SPA are in the lower range of the total

399 model variability for the g_s and A_n of an average canopy leaf (aggregated sunlit and shaded 400 leaf; Figure 4a-b), the variation from the data is likely to be substantially larger if sunlit leaf 401 data could be extracted from all models. Considering the importance of g_s in controlling leaf 402 productivity, the suitability of the empirical models of g_s used in these models requires 403 further testing (Bonan et al., 2014). The use of optimised rather than empirical models may 404 provide an opportunity to improve the capability to simulate g_s responses to temperature and 405 water stress in greater detail (Heroult et al., 2013; Medlyn et al., 2013; Medlyn et al., 2011; Zhou et al., 2013). 406

407

408 **4.2 Combined drought and temperature sensitivities**

409 Previous modelling studies have shown that there is high variability in how sensitive models 410 are to temperature and drought (Friedlingstein et al., 2006; Galbraith et al., 2010; Luo et al., 411 2008; Sitch et al., 2008), but that vegetation models have embedded in them greater sensitivity to rises in temperature than drought (Galbraith et al., 2010) despite the evidence 412 413 for strong drought sensitivity in natural rainforests (Gatti et al. 2014). The responses of 414 modelled forest production in this study to combined changes in precipitation and 415 temperature were however highly variable. CLM3.5 and SPA had very strong compound 416 effects of temperature on drought-induced reductions in GPP, Reco and LAI (Figure 3) 417 relative to JULES and SiB3. In ED2, the drought effect on GPP was always stronger than the 418 temperature effect (Figure 3) because it has a strong drought-mortality effect at this site 419 (Powell et al., 2013). This study demonstrates that there is a continuum in model responses 420 from models that require a low increase in ambient T_{air} to cause the same GPP loss as a 50% 21

reduction in wet season rainfall (SPA, 4.9 °C), to models that have a very strong drought response and therefore require a substantial increase in ambient T_{air} to replicate the same GPP loss as a 50% reduction in wet season rainfall (ED2, 17.5 °C; Table 2). As a 6°C rise in temperature and a 50 % reduction in rainfall are changes which may occur in Amazonia during the 21st century (Christensen et al, 2007; Collins et al., 2013), we suggest that there is currently no consensus among vegetation models as to whether there will be a stronger drought or temperature response to future climate change within tropical forests.

Across all the models GPP increased when ambient T_{air} was reduced by 5°C; this occurred 428 429 because the ambient air temperature -5° C was closer to the modelled g_s optima. This result 430 suggests models are currently predicting that Amazonian forests are operating beyond a 431 temperature and VPD optimum. Given that the models underestimate the point at which NEE 432 declines with T_{air} by 3-6°C and the point at which g_s declines with T_{leaf} by 7.5-9.5°C (Figure 2 and 4), it seems likely that the models in this study may be biased towards temperature 433 434 calibrations for temperate ecosystems. Consequently, as well as moving towards implementing more mechanistic responses to improve models, more research to test and 435 436 adjust their temperature responses in tropical ecosystem is necessary. The range of model 437 responses in this study is likely to stem from real uncertainty in our understanding of the responses by tropical rain forest ecosystems to changes in precipitation and temperature. 438 439 Further analysis of the same questions using models that vary in complexity (eg, statistical or 440 optimised models, as well as purely mechanistic) might provide additional insight into mechanistic and simulation bias (systematic or random), as well advancing understanding 441 442 about climate risk that we derive from them (Meir, Mencuccini and Dewar, 2015)

443 **5** Conclusion

444 This is the first study in which canopy and leaf temperature responses from multiple 445 vegetation models are analysed and compared to existing data on leaf and canopy temperature responses from a tropical forest site. This study finds models lie along a 446 continuum of those which have a greater sensitivity of GPP to changes in temperature relative 447 448 to drought and those which have a greater sensitivity to drought relative to a change in 449 temperature. Any consistency in model responses to temperature and drought were however, 450 the result of inconsistent leaf-scale responses, which were found to compensate for 451 substantial inter-model variation in the magnitude and response of LAI to drought and 452 temperature.

453 All the models in this study predict that reductions in A_n are dominated by stomatal rather than biochemical responses and that IWUE increased with rising temperatures. The 454 dominance of the effect of g_s rather than V_{cmax} on A_n results in all the models predicting 455 456 greater forest productivity when temperatures are 5°C below ambient and closer the 457 temperature of the g_s optimum. This suggests that currently models predict that tropical 458 forests are operating beyond a temperature and VPD optimum, but we note that these 459 predictions may be influenced by parameterisations derived originally from temperate zone 460 forests.

461 This study concludes that to simulate effectively the response of the Amazon forest to 462 changes in multiple climatic factors substantial improvements are needed in how leaf-scale 463 processes and leaf-to-canopy scaling are simulated. Further observational data are also 464 required to generate consistent leaf- and canopy-scale data for independent model evaluation. 23

- 466 Author Contributions
- 467 L. R. and M. W. designed the experiment, performed simulations, analysed data and prepared
- 468 the manuscript. A. H., B. O. C., D. R. G., H. M. A. I., T. L. P., S. S, P. M. performed
- simulation, contributed to study design and prepared manuscript. D. D. contributed to the
- 470 data analysis. N. L. and Y. M. contributed to the study design. P. M. contributed to data
- 471 analysis and prepared the manuscript.

472 Acknowledgements

473	This research	was enabled by a	a grant from	the Andes-Amazon	Initiative of T	The Gordon and
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- 474 Betty Moore Foundation. L.R gratefully acknowledges financial support from the Natural
- 475 Environment Research Council (UK) for a NERC PhD studentship, and NERC grant
- 476 NE/J011002/1; PM also acknowledges support from ARC FT110100457. L.R would also like
- to thank, L. Smallman and T. Hill for their help and support. L. Rowland would also like to
- thank the reviewer Nicolas Delbart and the editor Hisashi Sato for their valuable contribution
- to improving the quality of this manuscript.

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Table 1: Summary of the characteristics of each of the five vegetation models (CLM3.5,

709 ED2, JULES, SiB3, & SPA).

	CLM3.5	ED2	JULES	SiB3	SPA
No° of plant function types	5	4	10	1	1
Canopy structure	Big-leaf	Gap model	Layered Canopy	Big-leaf	Layered canopy
Leaf Area index	Dynamic	Dynamic	Dynamic	Fixed	Dynamic
Division of sunlit and shaded leaf	Y (discrete division)	N	N	N	Y (discrete division)
Simulation of water stress on A_n and g_s .	Water stress factor	Water stress factor	Water stress factor	Water stress factor	Linked soil-leaf water potential/resista nce model to g_s model.
Origin of photosynthesis model	Farquhar et al., (1980); Farquhar and Sharkey (1982); Collatz et al. (1991)	Farquhar et al., (1980); Farquhar and Sharkey (1982); Collatz et al. (1991)	Farquhar et al., (1980); Farquhar and Sharkey (1982); Collatz et al. (1991)	Farquhar et al., 1(980); Farquhar and Sharkey (1982) Collatz et al. (1991)	Farquhar et al., (1980); Kirschbaum and Farquhar (1984); McMurtrie et al. (1992)
Key model references	Bonan et al., (2003); Levis et al., (2004); Oleson et al. (2008).	Medvigy et al., (2009); Kim et al 2012.	Best et al., (2011); Clark et al., (2011)	Sellers et al., (1992); Sellers et al., (1996); Baker et al (2008).	Williams, (1996); Williams et al., (2005); Fisher et al., (2006)

715	Table 2: Model values for GPP (Mg C $ha^{-1} yr^{-1}$) for the last year (2006) of the ambient air
716	temperature control plot simulation (T_{air} +0°C), the control plot simulation -5°C (T_{air} -5°C).
717	the control plot simulation $+6^{\circ}C$ ($T_{air}+6^{\circ}C$) and the ambient air temperature drought plot
718	simulation (T_{air} +0°C). The equivalent temperature is the elevation in the control plot
719	simulation temperature needed to replicate the same magnitude reduction in GPP as the
720	drought simulation, for the year 2006 and at ambient temperatures. The equivalent
721	temperature is derived from a linear relationship between GPP values in 2006 and the air
722	temperatures in the 5 temperature simulations per model.

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	CLM3.5	ED2	JULES	SiB3	SPA
Control GPP T _{air} -5°C	40.74	31.74	36.73	35.27	38.23
Control GPP T _{air} +0°C	36.68	28.31	31.16	31.95	29.55
Control GPP T _{air} +6°C	28.03	20.70	20.08	27.50	15.89
Drought GPP T _{air} +0°C	26.47	10.79	18.13	20.86	19.55
Equivalent T _{air}	8.83	17.50	8.61	15.70	4.92

Table 3: Values show the normalised intrinsic water use efficiency (IWUE) calculated from the linear slope of normalised A_n plotted against normalised g_s (Figure 6). The normalised IWUE is calculated separately for each models' control and drought temperature simulations (ambient air temperature (T_{air}) -5°C, +0 °C, +2 °C,+4 °C, and +6 °C). [Note NA in CLM3.5 drought simulations indicates the model changed from a forest to a grassland]

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	Control Simulations				Drought Simulations					
	CLM3.5	ED2	JULES	SiB3	SPA	CLM3.5	ED2	JULES	SiB3	SPA
T_{air} -5°C	0.84	0.42	0.50	0.09	0.49	0.73	0.29	0.50	0.10	0.27
$T_{air} + 0^{\circ}C$	0.93	0.56	0.83	0.49	0.68	0.93	0.40	0.60	0.93	0.24
$T_{air} + 2^{\circ}C$	1.01	0.67	1.01	0.58	0.73	1.08	0.53	0.97	1.11	0.41
T_{air} +4°C	1.05	0.79	1.18	0.65	1.00	NA	0.78	1.37	1.20	0.74
T_{air} +6°C	1.11	0.95	1.32	0.69	1.50	NA	1.10	1.73	1.22	1.15

732 Figure captions:

733 Figure 1: Schematic diagram showing how droughts, via the combined effects of increased air temperature (T) and reduced precipitation (PPT), affect the carbon cycle of a tropical 734 735 forest, including the effects on: vapour pressure deficit (VPD), evapo-transpiration (E_t) , 736 stomatal conductance (g_s) , soil water content (SWC), net photosynthesis (A_n) , leaf area index 737 (LAI), the maximum rates of RuBP carboxylation and electron transport (V_{cmax} and J_{max}) 738 respectively), autotrophic respiration (R_a) heterotrophic respiration (R_h), gross primary 739 productivity (GPP), and net ecosystem exchange (NEE). + signs indicates a positive feedback 740 effect between variables (i.e. an increase in one variable can only cause an increase in another 741 if all else is equal), - signs indicate a negative feedback effect, and +/- indicate the possibility 742 of both a positive and negative effect. Solid arrows represent responses which occur over 743 short timescales of minutes to hours, whereas dashes arrows represent responses which can 744 occur over longer timescales from days to months.

Figure 2: Comparison of the air temperature $(T_{air} \circ C)$ response of a) daytime net ecosystem 745 exchange (NEE, μ mol m⁻² s⁻¹; note that negative values of NEE indicate carbon 746 sequestration), b) gross primary productivity (GPP, μ mol m⁻² s⁻¹), c) ecosystem respiration 747 $(R_{eco} (\mu mol m^{-2} s^{-1}), d)$ leaf area index (LAI, m² m⁻²). The lines show the median model 748 responses from the five control temperature runs per model pooled and divided into 1°C 749 temperature bins. The grev shaded area shows the combined 15.9th and 84.1th quantiles for all 750 751 models. The black points and error bars in panel a) show the daytime eddy-flux inferred NEE (cf. Figure 4 in Doughty and Goulden 2008). 752

- 753 Figure 3: Modelled effect of short-term variations in temperature and drought expressed as
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one minus the changes in: a) gross primary productivity (GPP) b) ecosystem respiration (R_{eco}) and c) leaf area index (LAI) in the final year (2006) in the drought run, as a fraction of the value in the final year (2006) of the control run, for the T_{air} -5°C (grey bars) and T_{air} +6°C (white bars) simulations.

758 Figure 4: Comparison of the dry season mean (sunlit + shaded leaves, weighted by their respective LAIs) leaf-level response to temperature (T_{leaf} , °C) of a) net photosynthesis (A_n , 759 μ mol m⁻² s⁻¹), b) stomatal conductance (g_s , mmol m⁻² s⁻¹), c) leaf transpiration (E_t , mm m⁻² s⁻¹) 760 ¹), and d) the soil water stress factor (β) for average canopy leaves [Note SPA does not 761 762 simulate β]. The lines show the median model responses from the control plot for the five temperature simulations pooled and divided into 1 °C temperature bins for each model. The 763 grey shaded area shows the combined 15.9th and 84.1th quantiles for all models. [Note JULES 764 765 Et data is missing from these simulations]

Figure 5: The temperature response of V_{cmax} for each model shown relative to the V_{cmax} at 25 767 °C per model.

768 Figure 6: The relationship between 30 minute values of modelled stomatal conductance (g_s) and photosynthesis (A_n) normalised by their respective maximum values; A_n and g_s values are 769 taken only from the dry season when PPFD > 1000 μ mol m⁻² s⁻¹. Values are coloured 770 771 separately from deep blue to red (see legend) for each temperature simulations (ambient air temperature $-5^{\circ}C$, $+0^{\circ}C$, $+2^{\circ}C$, $+4^{\circ}C$, and $+6^{\circ}C$) and panels separate the control (panels a-e) 772 773 and drought simulations (panels f-j), for each model. Values are from sunlit and shaded leaves, weighted by their respective LAIs. A separate linear line is plotted through the 774 775 normalised A_n , g_s data for each temperature simulations, the slope of which represents the 40

normalised intrinsic water use efficiency: the normalised increase in A_n per unit increase in normalised g_s . Linear lines are also coloured from deep blue to deep red to differentiate the additions to ambient air temperature (see legend).

Figure 7: The relationship between V_{cmax} (µmol m⁻² s⁻¹) and photosynthesis (A_n mmol m⁻² s⁻¹)

for the half hourly output from each model in the dry season of the control runs, with PPFD >

 $1000 \ \mu mol \ m^{-2} \ s^{-1}$. Values are from sunlit and shaded leaves, weighted by their respective

782 LAIs. Results are shown across all leaf temperatures explored in this study (colour change

from blue to red indicates increasing leaf temperature (see legend).

Figure 8: The sunlit leaf-level response of dry season a) net photosynthesis (A_n , µmol m⁻² s⁻¹) and b) stomatal conductance (g_s , µmol m⁻² s⁻¹) to leaf temperature ($T_{\text{leaf;}}$ °C) for CLM3.5 (orange) and SPA (red). The lines show the median model responses from the control plot for the five temperature simulations pooled and divided into 1 °C temperature bins for each model. The shaded areas around each line show the 15.9th and 84.1th quantiles for each model. Data from Doughty and Goulden is shown as black points; error bars show the standard error. [Note only SPA and CLM3.5 output data on sunlit leaf values of A_n and g_s .]

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Figure S1: The relationship between β and stomatal conductance ($g_s \text{ mmol m}^{-2} \text{ s}^{-1}$) for each model in the dry season, with PPFD > 1000 µmol m⁻² s⁻¹. Values are from sunlit and shaded leaves, weighted by their respective LAIs. Results are shown across all leaf temperatures explored in this study (colour change from blue to red indicated increasing leaf temperature) and separately for the drought and control simulation.

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805806 Figure 3

810 Figure 4:





Figure 5:



















