



1 **A global function of climatic aridity accounts for soil moisture stress on carbon**
2 **assimilation**

3
4 Giulia Mengoli¹, Sandy P. Harrison^{2,3}, I. Colin Prentice^{1,3}

5
6 1: Georgina Mace Centre for the Living Planet, Department of Life Sciences, Imperial
7 College London, Silwood Park Campus, Buckhurst Road, Ascot, SL5 7PY, UK

8
9 2: Department of Geography and Environmental Science, School of Archaeology, Geography
10 and Environmental Science (SAGES), University of Reading, Reading, RG6 6AH, UK

11 3: Ministry of Education Key Laboratory for Earth System Modelling, Department of Earth
12 System Science, Tsinghua University, Beijing 100084, China

13
14 *Correspondence to:* Giulia Mengoli (gmengoli@ic.ac.uk)

15
16
17
18 **Abstract**

19
20 The coupling between carbon uptake and water loss through stomata implies that gross primary
21 production (GPP) can be limited by soil water availability through reduced leaf area and/or
22 reduced stomatal conductance. Vegetation and land-surface models typically assume that GPP
23 is highest under well-watered conditions and apply a stress function to reduce GPP with
24 declining soil moisture below a critical threshold, which may be universal or prescribed by
25 vegetation type. It is unclear how well current schemes represent the water conservation
26 strategies of plants in different climates. Here eddy-covariance flux data are used to investigate
27 empirically how soil moisture influences the light-use efficiency (LUE) of GPP. Well-watered
28 GPP is estimated using the P model, a first-principles LUE model driven by atmospheric data
29 and remotely sensed green vegetation cover. Breakpoint regression is used to relate the daily
30 value of the ratio $\beta(\theta)$ (flux-derived GPP/modelled well-watered GPP) to soil moisture, which
31 is estimated using a generic water-balance model. Maximum LUE, even during wetter periods,
32 is shown to decline with increasing climatic aridity index (AI). The critical soil-moisture
33 threshold also declines with AI. Moreover, for any AI, there is a value of soil moisture at which
34 $\beta(\theta)$ is maximized, and this value declines with increasing AI. Thus, ecosystems adapted to
35 seasonally dry conditions use water more conservatively (relative to well-watered ecosystems)
36 when soil moisture is high, but maintain higher GPP when soil moisture is low. An empirical
37 non-linear function of AI expressing these relationships is derived by non-linear regression,
38 and used to generate a $\beta(\theta)$ function that provides a multiplier for well-watered GPP as
39 simulated by the P model. Substantially improved GPP simulation is shown during both
40 unstressed and water-stressed conditions, compared to the reference model version that ignores
41 soil-moisture stress, and to an earlier formulation in which maximum LUE was not reduced.
42 This scheme may provide a step towards better-founded representations of carbon-water cycle
43 coupling in vegetation and land-surface models.

44
45
46 **1 Introduction**

47
48 The tight coupling between carbon uptake and water loss via stomata (Cowan and Farquhar,
49 1977; Manzoni et al., 2011) implies that gross primary production (GPP) can be limited by



50 water availability through reduced vegetation cover and leaf area index, reduced stomatal
51 conductance, or both. The reduction in evapotranspiration under water stress causes increased
52 sensible heat flux, warming the atmosphere above the canopy, which in turn causes a further
53 reduction in transpiration and plant carbon uptake (Seneviratne et al., 2010; Gentine et al.,
54 2016; Grossiord et al., 2020). Thus, an understanding of how water stress impacts plant
55 function is critical for predicting both the carbon cycle and climate implications of increasing
56 drought (Gentine et al., 2019).

57

58 A GPP model based on eco-evolutionary optimality (EEO) theory, the P model (Wang et al.,
59 2017; Cai and Prentice, 2020; Stocker et al., 2020), captures the trade-off between CO₂ uptake
60 and water loss. It produces realistic estimates of the seasonal and diurnal cycles of GPP under
61 well-watered conditions as well as or better than more complex models, despite having far
62 fewer parameters (Stocker et al., 2020; Harrison et al., 2021; Mengoli et al., 2022). However,
63 it overestimates GPP in seasonally dry environments because although it accounts for the effect
64 of atmospheric dryness in reducing stomatal conductance, it does not account for any additional
65 impact of soil-moisture stress. Previous application of an empirical stress function to reduce
66 GPP from well-watered values under dry soil conditions (Stocker et al., 2020) produced only
67 a modest improvement in simulated GPP. Given the potential for EEO-based models to provide
68 robust representations of vegetation and land-surface exchanges with the atmosphere (Franklin
69 et al., 2020; Harrison et al., 2021; Mengoli et al., 2022), it is important to develop a well-
70 founded approach to implement soil moisture stress in an EEO context.

71 Most vegetation and land-surface models assume that GPP at any location is maximal under
72 well-watered conditions (Bonan, 2019) and apply a stress function to reduce GPP as a function
73 of declining soil moisture when a critical threshold of soil water availability is reached. This
74 threshold may be universal, or prescribed by vegetation type (e.g. Best et al., 2011; Bousetta
75 et al., 2013; Oleson et al., 2013). However, in an analysis of the influence of soil moisture
76 stress on the evaporative fraction (EF, the fraction of available energy used for
77 evapotranspiration, of which transpiration is usually the largest component), Fu et al. (2021)
78 showed that the critical soil moisture threshold at which EF is reduced varies across biomes
79 and climates. Fu et al. (2022) further showed that climatic aridity controls both this threshold
80 (which occurs at lower soil moisture in drier climates) and the maximum EF under well-
81 watered conditions, with vegetation in more arid climates using water more sparingly when
82 soil moisture is high, but continuing to extract water at a similar rate down to a lower threshold
83 value of soil moisture. Comparing grasslands and (dry) savannas, they also showed that the
84 EF response of grasslands yields higher annual GPP than if the same ecosystems adopted the
85 EF response of savannas, and *vice versa*. These findings are consistent with a shift from
86 isohydric to anisohydric stomatal regulation with increasing climatic aridity (McDowell, 2011;
87 Kumagai and Porporato, 2012; Konings and Gentine, 2017), and with the idea that stomatal
88 strategies might have the effect of maximizing carbon assimilation over the annual cycle.

89 In this paper, we analyse daily GPP derived from 67 eddy-covariance flux towers representing
90 a wide range of hydroclimates. We fit breakpoint regressions to account for the impact of soil
91 moisture (θ) on light use efficiency (LUE), expressed as the ratio $\beta(\theta)$ of flux-derived GPP to
92 GPP as predicted by the P model for well-watered conditions. We analyse fitted values of both
93 the maximum $\beta(\theta)$ and the critical threshold of θ as non-linear functions of the climatic aridity
94 index (AI), defined as the ratio of annual potential evapotranspiration (PET) to annual
95 precipitation. These relationships are used to generate a family of $\beta(\theta)$ functions, dependent on
96 AI, which can serve as multipliers of the modelled, well-watered GPP. The performance of the



97 resulting model is compared with that of the uncorrected P model, and with a version that
98 applies the soil-moisture stress function previously developed by Stocker et al. (2020).
99

100

101

101 **2 Methods**

102

103 *2.1 The P model*

104 The P model is a LUE model based on eco-evolutionary optimality theory for the trade-off
105 between carbon uptake and water loss (Prentice et al., 2014) and the acclimation and/or
106 adaptation of leaf-level photosynthesis to environmental conditions (Wang et al., 2017). The
107 model is driven by air temperature, vapour pressure deficit (VPD), incident photosynthetic
108 photon flux density (PPFD), the fraction of incident PPFD absorbed by leaves (fAPAR),
109 elevation (to calculate atmospheric pressure) and the ambient partial pressure of carbon dioxide
110 (c_a). The model distinguishes C₃ and C₄ photosynthesis but does not require specification or
111 parameterization of any further plant functional types. When driven by satellite-derived
112 fAPAR, it reproduces the seasonal cycle and interannual variability in GPP at flux sites from a
113 range of natural vegetation types as well as geographic variation in GPP (Wang et al., 2014;
114 Balzarolo et al., 2019; Stocker et al., 2020) and temporal trends in GPP at flux sites (Cai &
115 Prentice, 2020). The P model was modified by Mengoli et al. (2022) in order to simulate diurnal
116 cycles, separating the instantaneous responses of GPP (with photosynthetic parameters fixed
117 over the diurnal cycle) from the acclimation responses of those parameters on a time scale of
118 around two weeks. This modified model is used here to simulate daily GPP, as the daily sum
119 of GPP computed on half-hourly timesteps.

120 Given the known tendency of the P model to overestimate GPP under dry conditions, the FULL
121 configuration of the current standard P model Pv1.0 (Stocker et al., 2020) includes an empirical
122 water stress function (also based on eddy-covariance flux data) that approaches 1 at a threshold
123 value of θ (θ^*), where θ is plant-available water expressed as a fraction of soil water-holding
124 capacity, and θ^* is set to 0.6. The function declines more steeply with decreasing θ in drier
125 climates, with climatic moisture quantified by an estimate of the ratio (α) of actual
126 evapotranspiration (AET) to potential evapotranspiration (PET). This function is used in Pv1.0
127 (FULL) as a multiplier of the modelled, well-watered GPP.

128 *2.2 Flux tower data*

129 GPP and meteorological data at 67 flux tower sites (Supplementary Table 1) were obtained
130 from the FLUXNET2015 data set (Pastorello et al., 2020). We used GPP based on the daytime
131 partitioning method (Lasslop et al., 2010; Pastorello et al., 2020). FLUXNET2015 provides the
132 meteorological variables required to run the P model, including air temperature, VPD and
133 PPFD on a half-hourly timestep. However, it does not provide fAPAR. We obtained fAPAR at
134 each site from the data set produced by Stocker et al. (2020) from the MODIS MCD15A3H
135 Collection 6 data set (Myneni et al., 2015). The original data set has a spatial resolution of 500
136 m and a temporal resolution of four days. Stocker et al. (2020) filtered these data to remove
137 points where clouds were present and derived daily data by linear interpolation. We used a
138 subset of the sites from Stocker et al. (2020), chosen to cover the full range of aridity with no
139 major gaps. Meteorological data and MODIS data were not available for some sites/years, so
140 analyses and simulations were based on different years at different sites (Supplementary Table
141 1). We only used the half-hourly records from each of the selected sites where the quality
142 control flags indicated that the observations were “good”.



143 *2.3 Calculation of the GPP reduction factor*

144 We calculated the ratio $\beta(\theta)$ between flux-derived and modelled, well-watered GPP at each site
145 and day. Our approach differs from that of Stocker et al. (2020) in three key respects. First, our
146 fitted stress function is allowed to take values < 1 under well-watered conditions. We thus
147 allow for the possibility that ecosystems adapted to arid climates use water more conservatively
148 even when soil moisture is abundant. Second, in order to ensure consistency of the soil moisture
149 calculation across sites, we calculate daily soil moisture using the Simple Process-led
150 Algorithms for Simulating Habitats (SPLASH) model (version 1: Davis et al., 2017) with
151 simulated soil moisture converted to relative soil water content (θ) by dividing by the generic
152 bucket size in SPLASH (150 mm). Third, we use AI (the ratio of PET to annual precipitation)
153 rather than α as a climatological index, because of its wider use in the literature and because
154 its calculation is independent of the SPLASH model's estimation of AET.

155 *2.4 Breakpoint regression analysis*

156
157 We used breakpoint regression (Toms and Lesperance, 2003) to estimate the maximum level
158 of the $\beta(\theta)$ ratio under well-watered conditions, and the critical threshold below which the ratio
159 declines linearly towards the wilting point, at each site. Before this analysis, we removed values
160 of flux-derived GPP below the 5th percentile (which gave highly variable $\beta(\theta)$ ratios) and
161 observations with greater than the 99th percentile of θ , which would otherwise have dominated
162 the regression at many well-watered sites. Preliminary analyses showed that the intercept was
163 generally close to zero and that imposing the constraint $\beta(0) = 0$ had little effect at the great
164 majority of sites (Supplementary Figure 1). We therefore imposed this constraint resulting in a
165 regression model with just two parameters, the maximum level of $\beta(\theta)$ (y) and the critical
166 threshold of θ (ψ):

$$167 \beta(\theta) = \min [y, (y/\psi) \times \theta] \quad (1)$$

168 The non-parametric Kruskal-Wallis test was used to determine whether there were significant
169 differences in fitted parameter values among aridity classes.

170

171 *2.5 Calculation of the aridity index*

172

173 The length of the meteorological records in FLUXNET2015 is too short to calculate a
174 climatological index at most sites. We therefore derived AI using climate data for a 20-year
175 period (2001-2020) from the CRU TS 4.06 gridded climate data set (Harris et al., 2020). We
176 obtained precipitation data directly from the CRU data set and calculated PET using
177 temperature, precipitation and cloud cover from this data set as inputs to SPLASH version 1
178 (Davis et al., 2017). Of the 67 selected sites, nine were classed as arid ($AI > 5$), 22 as semi-arid
179 ($2 < AI < 5$) and 36 as humid ($AI < 2$) (Table 1, Supplementary Table 1). We removed two
180 sites classified as arid (AU-Lox, $AI = 6.32$, and US-Wkg, $AI = 6.34$) and one classified as
181 semi-arid (AU-RDF, $AI = 2.16$), either because they were irrigated crops (AU-Lox, AU-RDF)
182 or because the presence of extensive wetlands indicate that they were groundwater-fed (US-
183 Wkg). The derivation of the stress function was thus eventually based on analysis of 64 sites.

184



185 *2.6 Dependencies of parameters on aridity*

186 The breakpoint regression yielded values of two parameters (γ , ψ) for each of the 64 sites. We
187 fitted relationships for each parameter as functions of site AI using non-linear regression. Both
188 parameters were fitted with a power function:

$$189 \text{ parameter} = \min [a \cdot \text{AI}^b, 1] \quad (2)$$

190 where b is expected to be negative. This function is bounded above in order to avoid potential
191 values > 1 in extremely wet sites, although none were present in the data set.

192 *2.7 Application*

193
194 Equations (1) and (2) determine a unique $\beta(\theta)$ function for each value of AI. This function was
195 applied as a multiplier of modelled GPP:

$$196 \text{GPP}_{\text{new}} = \text{GPP}_{\text{ww}} \times \beta(\theta) \quad (3)$$

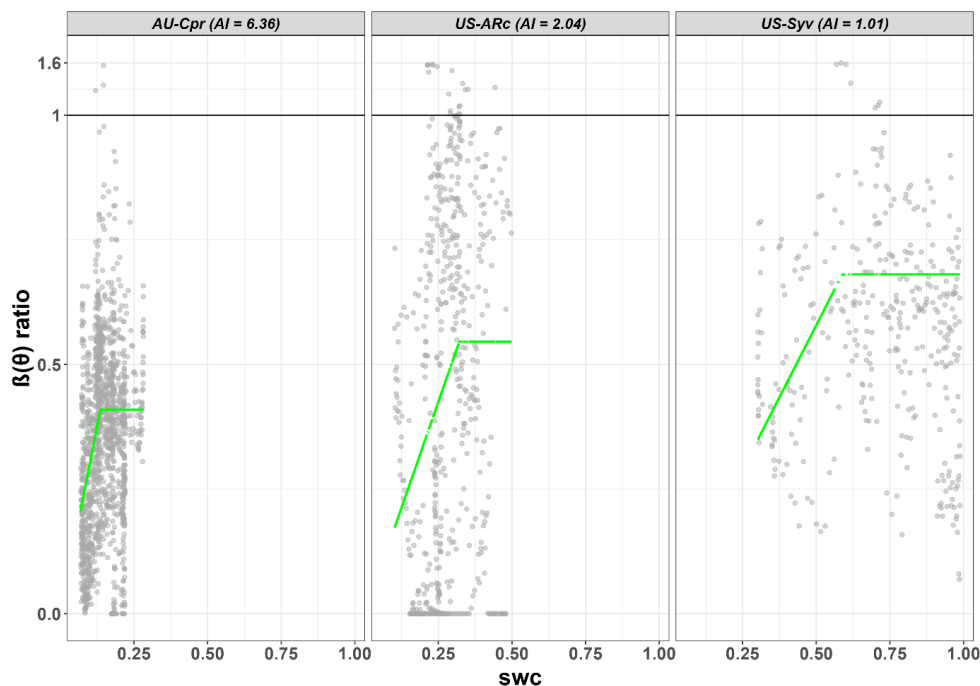
197 where GPP_{new} is the revised, soil-moisture corrected GPP, GPP_{ww} is the GPP simulated by the
198 P model without soil-moisture correction, and $\beta(\theta)$ is given by equation (1) with parameter
199 values derived from equation (2) as a function of site AI. We compared the predictions of GPP
200 obtained using this new soil-moisture stress function to the uncorrected GPP, and with
201 predictions obtained using the implementation of soil-moisture stress in Pv1.0 at all of the flux-
202 tower sites, with meteorological data provided for the site in the FLUXNET2015 data set and
203 fAPAR data from Stocker et al. (2020). The goodness-of-fit between modelled and flux-
204 derived GPP at each site was quantified by the root mean squared error (RMSE).

205

206 **3 Results**

207 The response of LUE to water stress could be described by equation (1) (Figure 1,
208 Supplementary Figure 2). Both the maximum assimilation level and the critical threshold at
209 which soil moisture stress starts to impact LUE were found to vary with aridity. The maximum
210 assimilation level under well-watered conditions becomes progressively lower from humid
211 through semi-arid to arid sites (Figure 2). The difference between humid, semi-arid and arid
212 sites is significant. The critical threshold is also reduced, such that water stress sets in at higher
213 soil moisture in humid sites than in semi-arid or arid sites (Figure 2). This difference is also
214 significant. Moreover, the slope of the stress function below the critical threshold becomes
215 progressively steeper with increasing aridity. Thus, plants growing in more arid environments
216 have a lower maximum LUE overall, but sustain this level under drier soil conditions (Figure
217 3). These relationships were also evident when the intercept was not constrained to zero
218 (Supplementary Figure 3).

219

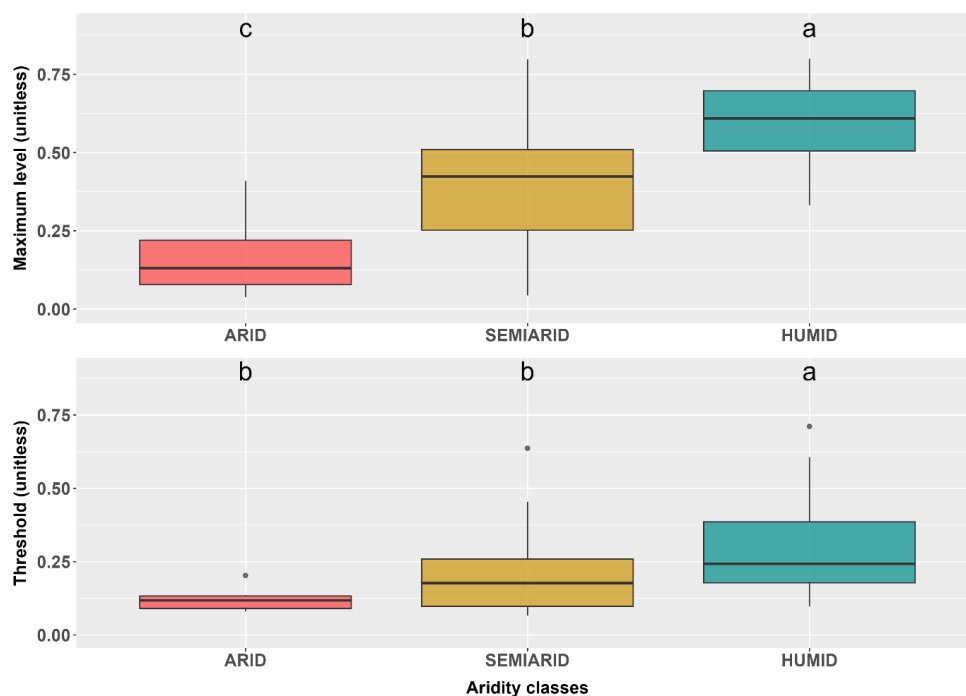


220

221

222 **Figure 1.** Examples of the fitted maximum $\beta(\theta)$ ratio (the ratio of actual flux-derived to
223 modelled well-watered gross primary production) and its response to relative soil moisture
224 below the critical threshold (green line) for three sites representing the range of climatological
225 aridity levels. The $\beta(\theta)$ ratio and relative soil water content are both unitless. Note that the scale
226 above 1 has been compressed for visualization purposes. Plots for all the sites used in the
227 analysis are given in Supplementary Figure 2.

228



229

230

231

232

233

234

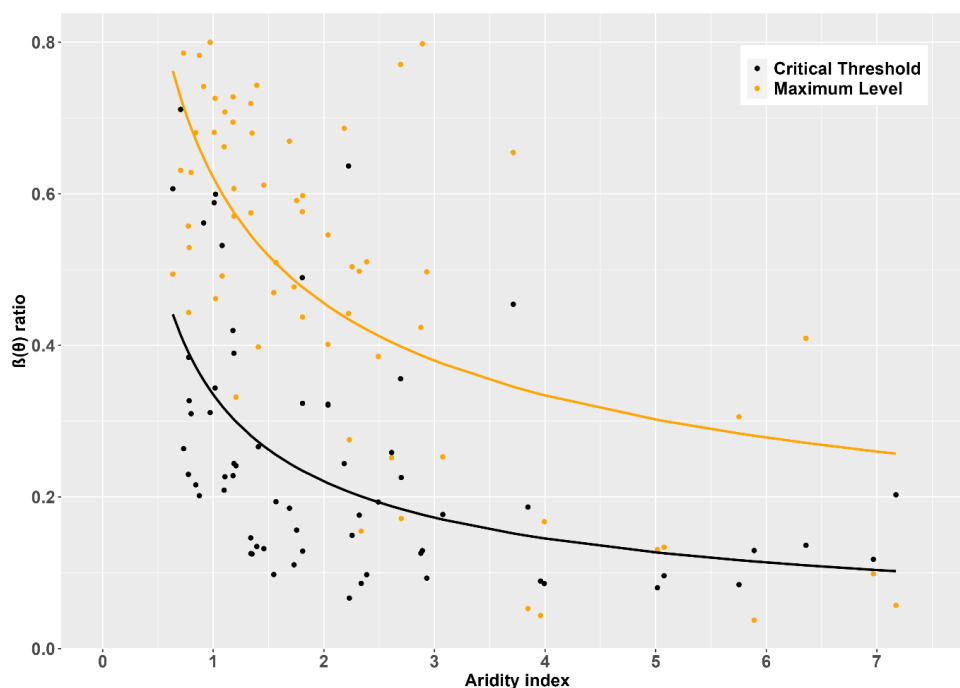
235

236

237

238

Figure 2. Box-plot comparison of the fitted maximum $\beta(\theta)$ ratio (the ratio of actual flux-derived to modelled well-watered gross primary production) (above) and the critical threshold value of soil moisture (below) under arid, semi-arid and humid conditions. Arid sites have AI > 5, semi-arid sites have AI between 2 and 5, and humid sites have AI < 2. The black line is the median, the box is the interquartile range and the whiskers show the range, with outliers shown as asterisks. Letters indicate whether the sets of values are significantly different based on the Kruskal-Wallis test.



239

240

241 **Figure 3.** Values of the fitted maximum $\beta(\theta)$ ratio (the ratio of actual flux-derived to modelled
 242 well-watered gross primary production) and the critical threshold value of soil moisture against
 243 the climatic aridity index (AI), showing non-linear regressions of both parameters against AI.

244

245

246 Both model parameters showed non-linear relationships with AI that could be fitted using
 247 equation (2) (Figure 4). Although there were some outliers, these do not seem to be related to
 248 either vegetation type (Supplementary Figure 4) or the seasonal concentration of precipitation
 249 (Supplementary Figure 5). The derived equations for the maximum $\beta(\theta)$ level (y) and the
 250 critical threshold of θ (ψ) are as follows:

251
$$y = \min [0.62 AI^{-0.45}, 1] \tag{4}$$

252

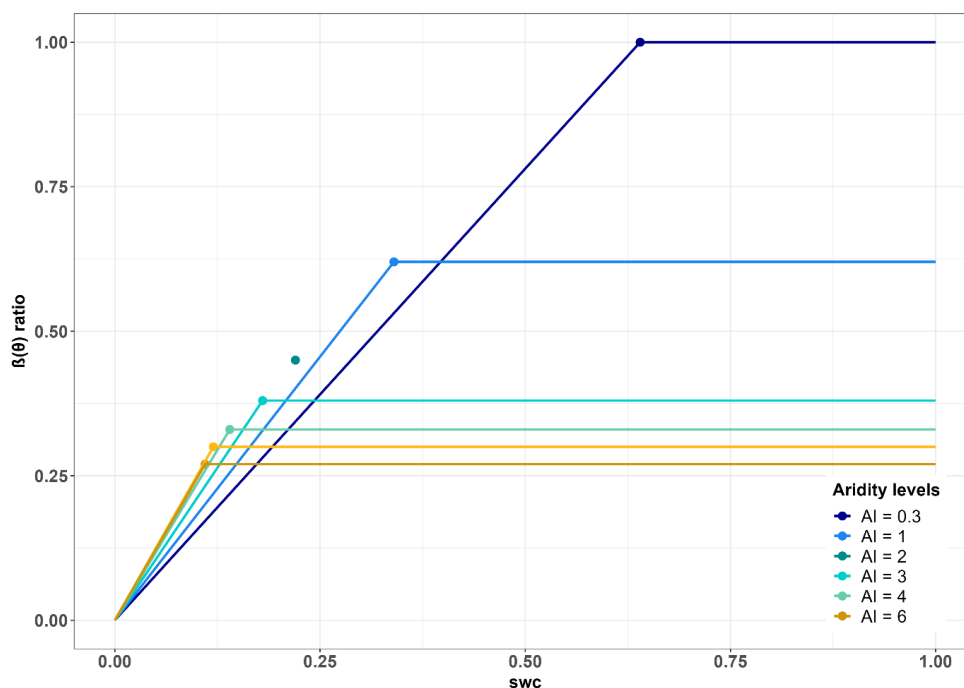
253 and

254
$$\psi = \min [0.34 AI^{-0.60}, 1] \tag{5}$$

255

256

257



258

259 **Figure 4.** Predicted $\beta(\theta)$ ratio (the ratio of actual flux-derived to modelled well-watered gross
 260 primary production) functions based on the regressions shown in Figure 3, for different levels
 261 of the aridity index (AI).

262

263

264

265

266

267

268

269

270

271

272

273

274

275

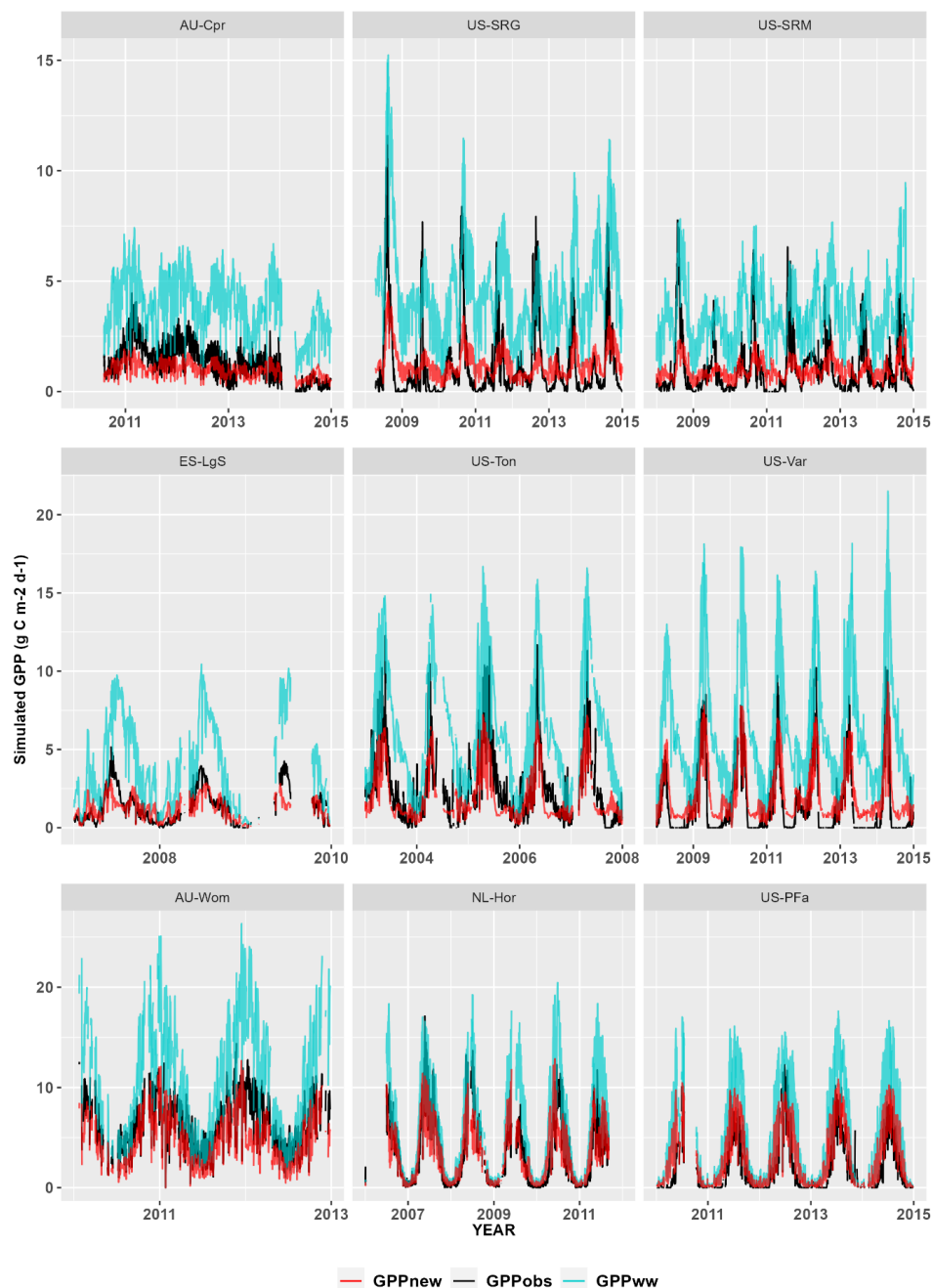
276

277

278

279

Implementation of the new soil-moisture stress function produced a substantial improvement in model performance compared to simulations with no soil-moisture stress function (Figure 5, Supplementary Figures 6–8). At arid sites, simulations that did not account for soil-water stress overestimated maximum GPP by 2 to 8 $\text{g C m}^2 \text{d}^{-1}$. (The only exception to this was AU-Lox where the P model predictions that did not account for soil-water stress accurately matched the observed magnitude of GPP; see Supplementary Figure 4. This site is an irrigated orchard.) Model performance also generally improved at semi-arid and even humid sites (Figure 5; Supplementary Figure 8). The RMSE values (Table 1) for arid sites ranged from 0.51 to 1.46 $\text{gC m}^2 \text{d}^{-1}$, compared to 2.07 to 4.01 $\text{gC m}^2 \text{d}^{-1}$ when no stress function was applied. All of the arid sites showed a reduction in RMSE. The RMSE for semi-arid sites ranged from 0.46 to 5.0 $\text{gC m}^2 \text{d}^{-1}$, compared to 1.63 to 5.6 $\text{gC m}^2 \text{d}^{-1}$ when no stress function was applied. All but four of the 22 semi-arid sites showed a reduction in RMSE. The RMSE for humid sites ranged from 1.05 to 5.23 $\text{gC m}^2 \text{d}^{-1}$, compared to 1.75 to 13.08 $\text{gC m}^2 \text{d}^{-1}$ when no stress function was applied. All but five of the 36 humid sites showed a reduction in RMSE.



280

281 **Figure 5.** Examples of how the new soil-moisture stress function modifies simulated gross
282 primary production (GPP_{new}) at nine sites representing the range of climatological aridity. The
283 new model is compared to the simulated level of GPP under well-watered conditions (GPP_{ww}),
284 and to flux-derived values (GPP_{obs}). Note that the scale varies between the rows. Plots for all
285 the flux tower sites are given in Supplementary Figures 6–8.



286 **Table 1:** Statistics of P model performance (root mean squared error, RMSE) using the new
 287 soil moisture stress function (new) and the previous stress function (Pv1.0) from Stocker et al.
 288 (2020), compared to P model performance with no soil moisture correction (ww). The sites are
 289 grouped by aridity index (AI) classes (see also Supplementary Table 1).

Site ID	AI	AI class	RMSE (ww)	RMSE (new)	RMSE (v1.0)
AU-TTE	7.17	arid	2.07	0.51	0.94
AU-ASM	6.97	arid	2.47	0.96	1.02
AU-Cpr	6.36	arid	2.83	0.77	0.87
US-Wkg	6.34	not used	3.93	0.9	1.86
AU-Lox	6.32	not used	2.15	7.03	5.79
US-Whs	5.89	arid	3.4	0.93	1.68
AU-GWW	5.75	arid	2.57	0.53	1.1
US-SRG	5.08	arid	4.01	1.46	2.25
US-SRM	5.02	arid	2.82	1.04	1.45
US-Cop	3.99	semiarid	1.89	0.46	1.05
AU-Ync	3.96	semiarid	2.75	0.67	1.7
ES-Ln2	3.84	semiarid	3.92	0.77	1.71
AU-Stp	3.71	semiarid	2.62	1.33	1.44
AU-Emr	3.08	semiarid	4.39	1.03	2.87
AU-Gin	2.93	semiarid	3.22	1.61	1.71
AR-SLu	2.89	semiarid	2.07	5	2.13
ES-LgS	2.88	semiarid	3.33	0.78	1.69
CN-Du2	2.7	semiarid	4.53	1.47	3.02
ZA-Kru	2.69	semiarid	2.14	3.3	1.82
US-AR2	2.61	semiarid	3.88	1.39	2.59
US-AR1	2.49	semiarid	3.1	1.5	2.15
AU-Whr	2.39	semiarid	3.13	1.41	1.63
CN-HaM	2.34	semiarid	1.63	1.68	1.02
AU-Dry	2.32	semiarid	3.31	1.85	1.63
IT-Noe	2.26	semiarid	4.04	1.61	1.86
US-Ton	2.23	semiarid	4.39	1.4	3.05
US-Var	2.22	semiarid	5.6	1.27	4.01
ZM-Mon	2.18	semiarid	3.11	3.2	1.88
AU-RDF	2.16	not used	4.34	2.3	3.46
US-ARc	2.04	semiarid	3.46	2.54	2.43
US-ARb	2.04	semiarid	4.02	2.91	3.05
AU-DaS	1.81	humid	2.3	2.9	1.56
AU-Rig	1.81	humid	3.91	1.81	3.45
AU-DaP	1.8	humid	3.76	3.21	2.66



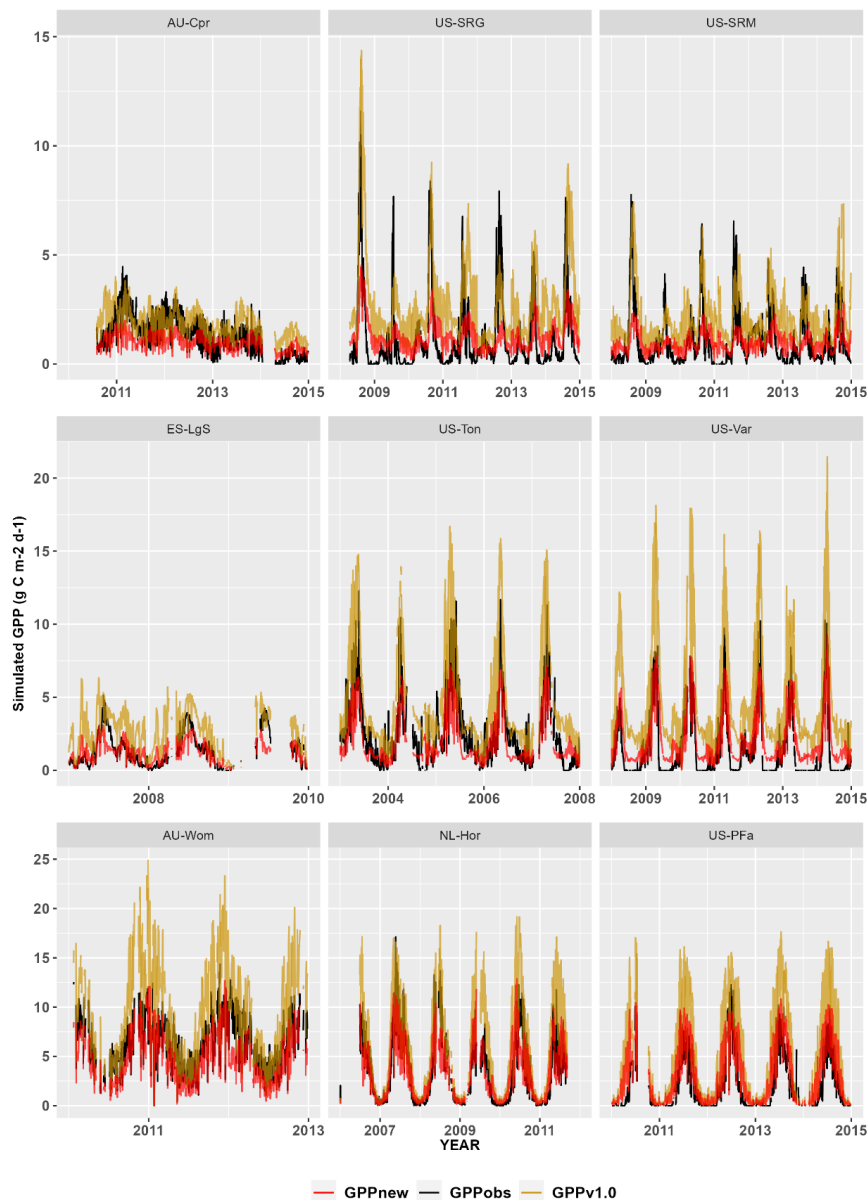
AU-Wom	1.75	humid	5.63	2.26	4.25
IT-Cp2	1.73	humid	6.05	2.49	4.1
AU-Wac	1.69	humid	3.79	2.54	2.54
FR-Pue	1.57	humid	5.22	1.56	3.6
AU-Ade	1.55	humid	2.3	3.5	1.88
AU-How	1.46	humid	2.83	3.23	2.01
CA-SF3	1.41	humid	4.38	1.12	3.61
FR-Fon	1.39	humid	3.04	3.39	2.59
IT-Col	1.35	humid	4.95	3.32	3.59
IT-SRo	1.34	humid	4.34	2.75	2.9
AU-Tum	1.34	humid	4.51	3.78	3.76
US-KS2	1.21	humid	13.08	5.23	12.65
CA-Man	1.19	humid	5.38	2.06	4.94
CA-NS4	1.19	humid	4.09	1.48	3.82
DE-Gri	1.18	humid	2.32	2.87	2.07
IT-MBo	1.18	humid	4.51	2.13	4.09
RU-Ha1	1.11	humid	1.75	1.05	1.58
FR-LBr	1.1	humid	3.27	2.18	2.56
US-Wi6	1.08	humid	5.5	2.18	5.46
US-PFa	1.02	humid	4.33	1.91	4.26
AR-Vir	1.02	humid	4.24	2.9	3.87
US-Syv	1.01	humid	4.88	2	4.84
RU-Fyo	0.97	humid	2.92	2.14	2.79
BE-Bra	0.91	humid	3.01	1.32	3
FI-Hyy	0.87	humid	2.96	1.97	2.86
NL-Hor	0.84	humid	3.31	1.73	3.14
CH-Oe1	0.8	humid	3.67	3.94	3.67
DE-RuR	0.78	humid	6.42	2.96	6.4
CZ-BK2	0.78	humid	5.74	3.16	5.73
BR-Sa3	0.78	humid	11.1	5.04	11.03
BE-Vie	0.73	humid	2.54	2.33	2.54
CH-Fru	0.71	humid	7.17	3.85	7.17
IT-Tor	0.63	humid	3.83	2.14	3.83

290

291 The new soil-moisture stress function also performed substantially better than the stress
 292 function used in Pv1.0, reducing the overestimation of peak GPP across arid, semi-arid and
 293 humid sites (Figure 6; Supplementary Figures 9-11). The RMSE for arid sites ranged from 0.51
 294 to 1.46 $\text{gC m}^2 \text{d}^{-1}$ compared to 0.87 to 2.25 $\text{gC m}^2 \text{d}^{-1}$ when the Pv1.0 moisture-stress function
 295 was applied. All of these sites showed reduced RMSE. The RMSE for semi-arid sites ranged
 296 from 0.46 to 5.0 $\text{gC m}^2 \text{d}^{-1}$ compared to 1.02 to 4.01 $\text{gC m}^2 \text{d}^{-1}$ when the Pv1.0 moisture-stress



297 function was applied. All but six of these 22 sites showed reduced RMSE. The RMSE for
 298 humid sites ranged from 1.05 to 5.23 $\text{gC m}^{-2} \text{d}^{-1}$ compared to 1.56 to 12.65 $\text{gC m}^{-2} \text{d}^{-1}$ when the
 299 P_{v1.0} moisture-stress function was applied. All but eight of these 36 sites showed reduced
 300 RMSE.



301
 302 **Figure 6.** Comparison of simulated gross primary production including the new soil-moisture
 303 stress function (GPP_{new}) and the original stress function ($\text{GPP}_{\text{v1.0}}$) from Stocker et al. (2020)
 304 against flux-derived values (GPP_{obs}) at nine sites representing the range of climatological
 305 aridity. Note that the scale varies between the rows. Plots for all the flux tower sites are given
 306 in Supplementary Figures 9-11.



307

308 **4 Discussion**

309

310 We have developed an empirical function to take account of soil-moisture stress in the P model.
311 The previous introduction of an empirical function to account for soil-moisture stress (Stocker
312 et al., 2020) produced some improvement in the simulation of GPP by focusing on reducing
313 GPP when soil moisture was below a critical threshold of the $\beta(\theta)$ ratio. By incorporating a
314 reduction in the maximum level of the $\beta(\theta)$ ratio with increasing aridity, we have further
315 improved the performance of the model.

316 The reduction in the maximum level of LUE with increasing aridity is consistent with the
317 analyses of Fu et al. (2022), which focused on EF. The climatological aridity index provides a
318 measure of the degree to which water is likely to be limiting (to both EF and LUE) at some
319 time during the growing season. The fact that there is a limitation on EF and LUE – even during
320 intervals with abundant soil moisture – in more arid climates suggests an underlying optimality
321 principle: that plants adopt water conservation strategies to optimize assimilation over the
322 whole growing season in the climate to which they are adapted (Manzoni et al., 2011b; Vico
323 et al., 2013; Fu et al., 2022). Moreover, as also noted by Fu et al. (2022) for EF, the slope of
324 $\beta(\theta)$ against θ (y/ψ in equation (1)) becomes steeper with increasing aridity. This is a
325 consequence of the values of the exponent of AI in equations (4) and (5) ($0.60 > 0.45$, hence
326 y/ψ is an increasing function of AI). It implies that for every value of AI, there is a value of θ
327 for which the associated LUE exceeds that of all other $\beta(\theta)$ functions; and that this value
328 declines as AI increases.

329

330 It is well known that some plants continue to photosynthesize at higher levels of drought stress
331 than others, a behaviour that reflects variability in the strictness of stomatal regulation (Tardieu
332 and Simmoneau, 1998; McDowell et al., 2008). However, both strict (isohydric) regulation and
333 less strict (anisohydric) regulation can occur within the same community (e.g. Mediavilla and
334 Escudero 2003; Cruz de Souza et al., 2020; Raffelsbauer et al., 2023) and species may show
335 variable regulation over the season and between years (Klein, 2014; Konings and Gentine,
336 2017). Thus, although there is some evidence that this behaviour is environmentally controlled
337 (Manzoni et al., 2011; McDowell, 2011; Kumagai and Porporato, 2012; Zhou et al., 2014;
338 Konings and Gentine, 2017), consistent with our finding that the critical threshold become
339 lower as climatological aridity increases, it is likely that plant communities often show a
340 diversity of responses. Our results indicate considerable scatter in both fitted parameters, whose
341 origin and potential adaptive significance would repay more detailed study.

342

343 This work was designed to improve the performance of the P model, which despite its relative
344 simplicity has been shown to predict the diurnal and seasonal cycles of GPP under well-watered
345 conditions as well as or better than more complex models (Stocker et al., 2020; Harrison et al.,
346 2021; Mengoli et al., 2022). How best to represent soil moisture in this context is a challenge.
347 We have opted for a minimalist approach, using SPLASH. SPLASH is a single-bucket model
348 that considers only water that is held between the wilting point and field capacity, and does not
349 account for variation in water holding capacity among soils. The x -intercept of the breakpoint
350 relationship corresponds to the wilting point. We have constrained breakpoint regressions
351 through the origin since little information was lost by doing so. In reality, the permanent wilting
352 point varies across species (Koepke et al., 2010; Bartlett et al., 2012) but is also strongly
353 affected by soil properties (Czyż and Dexter, 2012; Chagas Torres et al., 2021), aspects that
354 we have ignored. By using a generic soil water-balance model we have also intentionally
355 decoupled AET (computed by SPLASH on the assumption that the ratio AET/PET is



356 proportional to relative soil water content) from GPP, thus disregarding the feedback by which
357 seasonal changes in GPP can influence the seasonal time course of AET and soil moisture. This
358 research therefore represents a step towards an empirically well-founded representation of the
359 interactions between carbon and water cycling. A next step will involve the interactive coupling
360 of transpiration and GPP in a land-surface modelling framework.
361

362 *Code and data availability.* The sub-daily P model is implemented in RStudio and is available
363 on Zenodo (Mengoli G. 2023. <https://doi.org/10.5281/zenodo.8018599>) and through GitHub
364 public repository: https://github.com/GiuliaMengoli/P-model_subDaily under the GNU v2.0
365 license (Mengoli et al. 2022). The new soil moisture stress function and the code to reproduce
366 the results used in this study is archived on Zenodo (Mengoli G. 2023.
367 <https://doi.org/10.5281/zenodo.8018299>) under GNU v2.0 license together with inputs data for
368 two sites analysed in this study. The code for the SPLASH model v.1.0, in four programming
369 languages (FORTRAN, C++, Python, R) is available on Zenodo (Devis et al. 2017.
370 <https://doi.org/10.5281/zenodo.376293>) and part of
371 <https://bitbucket.org/labprentice/splash/src/master/> under GNU Lesser General License (Devis
372 et al. 2017). Meteorological, satellite and gridded climate datasets for this research is available
373 in these in-text data citation references: Pastorello et al. (2020), [Creative Commons (CC-BY
374 4.0) license], Stocker B. (2020, December 24), [<http://doi.org/10.5281/zenodo.4392703>],
375 Harris et al. (2020), [<https://doi.org/10.1038/s41597-020-0453-3>]

376 *Author contributions.* Conceptualization: GM, SPH and ICP; methodology: GM and ICP; data
377 analysis: GM; writing, first draft: GM and SPH; final draft: all authors.

378 *Competing interests.* The authors declare no competing interests.

379 *Financial support and acknowledgments.* GM and ICP acknowledge support from the
380 European Research Council (787203 REALM) under the European Union's Horizon 2020
381 research programme. SPH acknowledges support from the ERC-funded project GC2.0 (Global
382 Change 2.0: Unlocking the past for a clearer future, grant number 694481). This work is a
383 contribution to the LEMONTREE (Land Ecosystem Models based On New Theory,
384 obseRvations and ExperimEnts) project, funded through the generosity of Eric and Wendy
385 Schmidt by recommendation of the Schmidt Futures program. GM acknowledges Carlo Trotta
386 for providing technical assistance with the code and David Sandoval and Victor Flo for useful
387 discussions.



388 **References**

- 389
- 390 Balzarolo, M., Peñuelas, J., Veroustraete, F.: Influence of landscape heterogeneity and spatial
391 resolution in multi-temporal in situ and MODIS NDVI data proxies for seasonal GPP
392 dynamics, *Remote Sens.*, 11, 1656. 2019.
- 393 Bartlett, M.K., Scoffoni, C., and Sack, L.: The determinants of leaf turgor loss point and
394 prediction of drought tolerance of species and biomes; A global meta-analysis, *Ecol. Lett.*,
395 15, 393–405, <https://doi.org/10.1111/j.1461-0248.2012.0175.x>, 2012.
- 396 Best, M.J., Pryor, M., Clark, D.B., Rooney, G.G., Essery, R.L.H., Ménard, C.B., Edwards,
397 J.M., Hendry, M.A., Porson, A., Gedney, N., Mercado, L.M., Sitch, S., Blyth, E., Boucher,
398 O., Cox, P.M., Grimmond, C.S.B., and Harding, R.J.: The Joint UK Land Environment
399 Simulator (JULES), model description – Part 1: Energy and water fluxes, *Geosci. Model*
400 *Dev.*, 4, 677–699, <https://doi.org/10.5194/gmd-4-677-2011>, 2011.
- 401 Bonan, G.: *Climate Change and Terrestrial Ecosystem Modeling*, Cambridge Univ. Press,
402 Cambridge, 2019.
- 403 Boussetta, S., Balsamo, G., Beljaars, A., Agusti-Panareda, A., Calvet, J.-C., Jacobs, C., van
404 den Hurk, B., Viterbo, P., Lafont, S., Dutra, E., Jarlan, L., Balzarolo, M., Papale, D., and
405 van der Werf, G.: Natural land carbon dioxide exchanges in the ECMWF Integrated
406 Forecasting System: Implementation and offline validation, *J. Geophys. Res. Atmos.*, 118,
407 5923–5946, <http://dx.doi.org/10.1002/jgrd.50488>, 2013.
- 408 Cai, W., and Prentice, I.C.: Recent trends in gross primary production and their drivers:
409 analysis and modelling at flux-site and global scales, *Environ. Res. Lett.*, 15, 124050,
410 2020.
- 411 Chagas Torres, L., Keller, T., Paiva de Lima, R., Tormena, C.A., Veras de Lima, H., and
412 Balazero Giarola, N.F.: Impacts of soil type and crop species on permanent wilting of
413 plants, *Geoderma*, 384, 114798, <https://doi.org/10.1016/j.geoderma.2020.114798>, 2021.
- 414 Cowan, I.R., and Farquhar, G. D.: Stomatal function in relation to leaf metabolism and
415 environment, *Symp. Soc. Exp. Biol.*, 31, 471–505, 1977.
- 416 Cruz de Souza, B., Dantas Carvalho, E.C., Oliveira, R.S., Soares de Araujo, F.,
417 Alves de Lima, A.L., Nogueira Rodal, M.J.: Drought response strategies of deciduous
418 and evergreen woody species in a seasonally dry neotropical forest, *Oecologia* 194, 221–
419 236, <https://doi.org/10.1007/s00442-020-04760-3>, 2020
- 420 Czyż, E.A., and Dexter, A.R.: Plant wilting can be caused either by the plant or by the soil,
421 *Soil Res.*, 50, 708–713, 2012.
- 422 Davis, T.W., Prentice, I.C., Stocker, B.D., Thomas, R.T., Whitley, R.J., Wang, H., Evans,
423 B.J., Gallego-Sala, A.V., Sykes, M.T., and Cramer, W.: Simple process-led algorithms for
424 simulating habitats (SPLASH v.1.0): robust indices of radiation, evapotranspiration and
425 plant-available moisture, *Geosci. Model Develop.*, 10, 689–708. Zenodo.
426 <https://doi.org/10.5281/zenodo.376293>, 2017.
- 427 Davis, T.W., Prentice, I.C., Stocker, B.D., Thomas, R.T., Whitley, R.J., Wang, H., Evans,
428 B.J., Gallego-Sala, A.V., Sykes, M.T., and Cramer, W.: Simple process-led algorithms for
429 simulating habitats (SPLASH v.1.0): robust indices of radiation, evapotranspiration and
430 plant-available moisture, *Geosci. Model Develop.*, 10, 689–708, 2017.
- 431 Franklin, O., Harrison, S.P., Dewar, R., Farrior, C.E., Brännström, A., Dieckmann, U.,
432 Pietsch, S., Falster, D., Cramer, W., Loreau, M., Wang, H., Mäkelä, A., Rebel, K.T.,
433 Meron, E., Schymanski, S.J., Rovenskaya, E., Stocker, B.D., Zaehle, S., Manzoni, S., van
434 Oijen, M., Wright, I.J., Ciais, P., van Bodegom, P., Penuelas, J., Hofhansl, F., Terrer, C.,
435 Soudzilovskaia, N.A., Midgley, G., and Prentice, I.C.: Organizing principles for
vegetation dynamics, *Nature Plants*, 10.1038/s41477-020-0655-x, 2020.



- 437 Fu, Z., Ciais, P., Makowski, D., Bastos, A., Stoy, P.C., Ibrom, A., Knohl, A., Migliavacca,
438 M., Cuntz, M., Sigut, L., Peichl, M., Loustau, D., El-Madany, T. S., Buchmann, N.,
439 Gharun, M., Janssens, I., Markwitz, C., Grunwald, T., Rebmann, C., Molder, M.,
440 Varlagin, A., Mammarella, I., Kolari, P., Bernhofer, C., Heliasz, M., Vincke, C., Pitacco,
441 A., Cremonese, E., Foltynova, L., and Wigneron, J.P.: Uncovering the critical soil
442 moisture thresholds of plant water stress for European ecosystems, *Glob Chang. Biol.*, 28,
443 2111–2123, 2021.
- 444 Fu, Z., Ciais, P., Feldman, A.F., Gentine, P., Makowski, D., Prentice, I.C., Stoy, P.C., Bastos,
445 A., and Wigneron, J-P.: Critical soil moisture thresholds of plant water stress in terrestrial
446 ecosystems, *Sci. Adv.*, 8, eabq7827, 2022.
- 447 Gentine, P., Chhang, A., Rigden, A., and Salvucci, G.: Evaporation estimates using weather
448 station data and boundary layer theory, *Geophys. Res. Lett.*, 43, 11,661–611,670, 2016.
- 449 Gentine, P., Green, J.K., Guérin, M., Humphrey, V., Seneviratne, S.I., Zhang, Y., and Zhou,
450 S.: Coupling between the terrestrial carbon and water cycles—A review, *Environ. Res.*
451 *Lett.*, 14, 083003, 2019.
- 452 Grossiord, C., Buckley, T.N., Cernusak, L.A., Novick, K.A., Poulter, B., Siegwolf, R.T.,
453 Sperry, J.S., and McDowell, N.G.: Plant responses to rising vapor pressure deficit, *New*
454 *Phytol.*, 226, 1550–1566, 2020.
- 455 Harris, I., Osborn, T.J., Jones, P. and Lister, D.: Version 4 of the CRU TS monthly high-
456 resolution gridded multivariate climate dataset. *Sci Data* 7, 109,
457 <https://doi.org/10.1038/s41597-020-0453-3>, 2020.
- 458 Harrison, S.P., Cramer, W., Franklin, O., Prentice, I.C., Wang, H., Brännström, Å., de Boer,
459 H., Dieckmann, U., Joshi, J., Keenan, T.F., Lavergne, A., Manzoni, S., Mengoli, G.,
460 Morfopoulos, C., Peñuelas, J., Pietsch, S., Rebel, K.T., Ryu, Y., Smith, N.G., Stocker,
461 B.D., and Wright, I.J.: Eco-evolutionary optimality as a means to improve vegetation and
462 land-surface models, *New Phyt.*, 231: 2125–2141, doi: 10.1111/nph.17558, 2021.
- 463 Klein, T.: The variability of stomatal sensitivity to leaf water potential across tree species
464 indicates a continuum between isohydric and anisohydric behaviours, *Funct. Ecol.*, 28,
465 1313–1320, <https://doi.org/10.1111/1365-2435.12289>, 2014.
- 466 Koepke, D.F., Kolb, T.E., and Adams, H.D.: Variation in woody plant mortality and dieback
467 from severe drought among soils, plant groups, and species within a northern Arizona
468 ecotone, *Oecologia*, 163, 1079–1090, <https://doi.org/10.1007/s00442-010-1671-8>, 2010.
- 469 Konings, A.G., and Gentine, P.: Global variations in ecosystem-scale isohydricity, *Glob.*
470 *Chang. Biol.*, 23, 891–905, 2017.
- 471 Kumagai T, and Porporato A.: Strategies of a Bornean tropical rainforest water use as a
472 function of rainfall regime: isohydric or anisohydric? *Plant Cell Environ.*, 35, 61–71,
473 doi: 10.1111/j.1365-3040.2011.02428.x, 2012.
- 474 Lasslop, G., Reichstein, M., Papale, D., Richardson, A. D., Arneeth, A., Barr, A., Stoy, P., and
475 Wohlfahrt, G.: Separation of net ecosystem exchange into assimilation and respiration
476 using a light response curve approach: Critical issues and global evaluation, *Glob. Change*
477 *Biol.*, 16, 187–208, <https://doi.org/10.1111/j.1365-2486.2009.02041.x>, 2010.
- 478 Manzoni, S., Katul, G., Fay, P.A., Polley, H.W., and Porporato, A.: Modeling the vegetation-
479 atmosphere carbon dioxide and water vapor interactions along a controlled CO₂ gradient,
480 *Ecol. Modelling*, 222, 653–665, <https://doi.org/10.1016/j.ecolmodel.2010.10.016>, 2011a.
- 481 Manzoni, S., Vico, G., Katul, G., Fay, P.a., Polley, W., Palmroth, S., and Porporato, A.:
482 Optimizing stomatal conductance for maximum carbon gain under water stress: a meta-
483 analysis across plant functional types and climates, *Funct. Ecol.*, 25, 456–467, 2011b.
- 484 McDowell N.G.: Mechanisms linking drought, hydraulics, carbon metabolism, and
485 vegetation mortality. *Plant Physiol.*, 155, 1051–1059, 2011.



- 486 McDowell, N., Pockman, W.T., Allen, C.D., Breshears, D.D., Cobb, N., Kolb, T., Plaut, J.,
487 Sperry, J., West, A., and Williams, D.G.: Mechanisms of plant survival and mortality
488 during drought: why do some plants survive while others succumb to drought? *New Phyt.*,
489 178, 719–739, 2008.
- 490 Mediavilla, S., Escudero, A.: Stomatal responses to drought at a Mediterranean site: A
491 comparative study of co-occurring woody species differing in leaf longevity. *Tree Physiol.*
492 23, 987–996, <https://doi.org/10.1093/treephys/23.14.987>, 2003.
- 493 Mengoli, G., Agusti-Panareda, A. Boussetta, S., Harrison, S.P., Trotta, C., Prentice, I.C.:
494 Ecosystem photosynthesis in land-surface models: a first-principles approach
495 incorporating acclimation. *J. Adv. Mod. Earth Syst.*, 14, e2021MS002767, <https://doi.org/10.1029/2021MS002767>, 2022.
- 497 Mengoli, G.: GiuliaMengoli/P-model_new_water_stress_function: v1.0.0 - P-
498 model_SoilMoistureStressFx (v1.0.0). Zenodo. <https://doi.org/10.5281/zenodo.8018299>,
499 2023.
- 500 Mengoli G.: GiuliaMengoli/P-model_subDaily: v1.0.0 - Sub-daily P model (v1.0.0). Zenodo.
501 <https://doi.org/10.5281/zenodo.8018599>, 2023.
- 502 Myneni, R., Knyazikhin, Y., and Park, T.: MOD15A3H MODIS/Combined Terra+Aqua Leaf
503 Area In- dex/FPAR Daily L4 Global 500m SIN Grid V006, Data set, NASA EOSDIS
504 Land Processes DAAC, <https://doi.org/10.5067/MODIS/MCD15A3H.006>, 2015.
- 505 Oleson, K., Lawrence, D.M., Bonan, G.B., Drewniak, B., Huang, M., Koven, C.D., Levis, S.,
506 Li, F., Riley, W.J., Subin, Z.M., Swenson, S., Thornton, P.E., Bozbiyik, A., Fisher, R.,
507 Heald, C.L., Kluzek, E., Lamarque, J.-F., Lawrence, P.J., Leung, L.R., Lipscomb, W.
508 Muszala, S.P., Ricciuto, D.M., Sacks, W.J., Sun, Y., Tang, J., and Yang, Z.-L.: Technical
509 description of version 4.5 of the Community Land Model (CLM). NCAR Technical Note
510 NCAR/TN-503+STR, 420 pp., DOI: 10.5065/D6RR1W7M, 2013.
- 511 Pastorello, G., Trotta, C., Canfora, E., Chu, H., Christianson, D., Cheah, Y. W., et al.: The
512 FLUXNET2015 dataset and the ONEFlux processing pipeline for eddy covariance data,
513 *Sci. Data*, 7, 225, <https://doi.org/10.1038/s41597-020-0534-3>, 2020.
- 514 Prentice, I. C., Dong, N., Gleason, S. M., Maire, V., and Wright, I. J.: Balancing the costs of
515 carbon gain and water transport: Testing a new theoretical framework for plant functional
516 ecology, *Ecol. Lett.*, 17, 82–91, <https://doi.org/10.1111/ele.12211>, 2014.
- 517 Seneviratne, S.I., Corti, T., Davin, E.L., Hirschi, M., Jaeger, E.B., Lehner, I., Orlowsky, B.,
518 and Teuling, A.J.: Investigating soil moisture–climate interactions in a changing climate:
519 A review, *Earth Sci. Rev.*, 99, 125–161, 2010.
- 520 Stocker, B.: stineb/ingestr: Dummy release for Zenodo (Version v1.1). Zenodo.
521 <http://doi.org/10.5281/zenodo.4392703>, 2020.
- 522 Stocker, B. D., Wang, H., Smith, N. G., Harrison, S. P., Keenan, T. F., Sandoval, D., et al.: P-
523 model v1.0: An optimality-based light use efficiency model for simulating ecosystem
524 gross primary production *Geosci. Model Dev.*, 13, 1545–1581, <https://doi.org/10.5194/gmd-13-1545-2020>, 2020.
- 526 Tardieu, F., and Simmoneau, T.: Variability among species of stomatal control under
527 fluctuating soil water status and evaporative demands: Modelling isohydric and
528 anisohydric behaviours, *J. Experiment. Bot.*, 49, 419–432, 1998.
- 529 Toms, J.D., and Lesperance, M.L.: Piecewise regression: A tool for identifying ecological
530 thresholds, *Ecology*, 84, 2034–2041, <https://doi.org/10.1890/02-0472>, 2003.
- 531 Vico, G., Manzoni, S., Palmroth, S., Weih, M., and Katul, G.: A perspective on optimal leaf
532 stomatal conductance under CO₂ and light co-limitations, *Agric. Forest Meteorol.* 182-
533 183, 191–199, 2013.
- 534 Wang, H., Prentice, I.C., and Davis, T.W.: Biophysical constraints on gross primary
535 production by the terrestrial biosphere, *Biogeosci.*, 11, 5987–6001, 2014.



- 536 Wang, H., Prentice, I.C., Keenan, T.F., Davis, T.W., Wright, I.J., Cornwell, W.K., et al.
537 Towards a universal model for carbon dioxide uptake by plants, *Nature Plants*, 3, 734–
538 741, <https://doi.org/10.1038/s41477-017-0006-8>, 2017.
539 Zhou, S., Medlyn, B., Sabaté, S., Sperlich, D., and Prentice, I.C.: Short-term water-stress
540 impacts on stomatal, mesophyll and biochemical limitations to photosynthesis differ
541 consistently among tree species from contrasting climates, *Tree Physiol.*, 34, 1035-1046,
542 2014.
543