- Do land surface models need to include differential plant
 species responses to drought? Examining model
 predictions across a mesic-xeric gradient in Europe.
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27 Abstract

Future climate change has the potential to increase drought in many regions of the globe, making it essential that land surface models (LSMs) used in coupled climate models, realistically capture the drought responses of vegetation. Recent data syntheses show that drought sensitivity varies considerably among plants from different climate zones, but state-of-the-art LSMs currently assume the same drought sensitivity for all vegetation. We tested whether variable drought sensitivities are needed to explain the observed large-scale patterns of drought impact on the carbon, water and energy fluxes. We implemented data-driven drought sensitivities in the Community Atmosphere Biosphere Land Exchange (CABLE) LSM and evaluated alternative sensitivities across a latitudinal gradient in Europe during the 2003 heatwave. The model predicted an overly abrupt onset of drought unless average soil water potential was calculated with dynamic weighting across soil layers. We found that high drought sensitivity at the most mesic sites, and low drought sensitivity at the most xeric sites, was necessary to accurately model responses during drought. Our results indicate that LSMs will over-estimate drought impacts in drier climates unless different sensitivity of vegetation to drought is taken into account.

55 **1** Introduction

56 Changes in regional precipitation patterns with climate change are highly uncertain (Sillmann 57 et al. 2014), but are widely expected to result in a change in the frequency, duration and severity of drought events (Allen et al. 2010). Drought is broadly defined, but for plants is a 58 59 marked deficit of moisture in the root zone which results from a period of low rainfall and/or 60 increased atmospheric demand for evapotranspiration. Recently, a series of high-profile drought events (Ciais et al. 2005; Fensham et al. 2009; Phillips et al. 2009; Lewis et al. 2011) 61 62 and associated tree mortality (Breshears et al. 2005; van Mantgem et al. 2009; Peng et al. 63 2011; Anderegg et al. 2013), have occurred across the globe and these events have led to 64 debate as to whether incidence of drought are increasing (Allen et al. 2010; Dai et al. 2013, but see Sheffield et al. 2012). Drought and any ensuing vegetation mortality events have the 65 66 potential to change land ecosystems from a sink to source (Lewis et al. 2011), and the 67 dominant mechanisms governing the ecosystem responses to drought can vary from reducing 68 stomatal conductance (Xu and Baldocchi, 2003) to increasing tree mortality (Lewis et al. 69 2011) and changing community species composition (Nepstad et al. 2007).

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Our ability to model drought effect on vegetation function (carbon and water fluxes) is 71 72 currently limited (Galbraith et al. 2010; Egea et al. 2011; Powell et al. 2013). Remarkably, given the importance of correctly capturing drought impacts on carbon and water fluxes, land 73 74 surface models (LSMs) designed for use in climate models have rarely been benchmarked against extreme drought events. Mahfouf et al. (1996) compared summertime crop 75 76 transpiration from 14 land surface schemes, finding that only half of the models fell within the 77 uncertainty range of the observations. They attributed differences among models to the 78 various schemes used by models to represent transpiration processes (e.g. soil water stress 79 function, different number of soil layers) and variability in the initial soil water content at the 80 start of the growing season which relates to variability in the way bare soil evaporation and 81 drainage are represented among different models. Galbraith et al. (2010) showed that a set of 82 dynamic global vegetation models (DGVMs) were unable to capture the 20–30% reduction in 83 biomass due to drought during a set of throughfall exclusion experiments in the Amazon. 84 Galbraith et al. (2010) attributed model variability during drought to: changes in autotrophic respiration (which was not supported by the data), model insensitivity to observed leaf area 85 reductions, and the use of different empirical functions to down-regulate productivity during 86

87 water stress. The models differed both in terms of time-scale of the application of this 88 function (sub-diurnal vs. daily) and whether it was used to down-regulate net photosynthesis or the maximum rate of Rubisco activity, V_{cmax} . Similarly, Powell et al. (2013) demonstrated 89 90 that a group of five models were unable to predict drought-induced reductions in aboveground 91 biomass (~20%) in two large-scale Amazon experiments. Gerten et al. (2008) compared the 92 effect of adjusting precipitation regimes on simulated net primary productivity (NPP) by four 93 ecosystem models across a range of hydroclimates. They found a consistent direction of 94 change (in terms of NPP) with different scenarios across models but found that the seasonal 95 evolution of soil moisture differed among the models.

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97 In order for models to better capture realistic responses during drought, they need to draw 98 more closely on experimental data (see Chaves et al. 1993 for a review). One key observation 99 is that there is a continuum of species responses to soil moisture deficit, ranging from 100 isohydric (stomata close rapidly during drought, maintaining a minimum leaf water potential, 101 Ψ_l) to anisohydric (stomata remain open during drought, which allows Ψ_l to decrease) 102 hydraulic strategies (Tardieu and Simonneau, 1998; Klein, 2014). These differences are 103 widely observed and are thought to be important in determining resilience to drought 104 (McDowell et al. 2008; Mitchell et al. 2013; Garcia-Forner et al. 2015). Many traits, including 105 hydraulic conductivity, resistance to cavitation, turgor loss point, stomatal regulation and 106 rooting depth, contribute to these differences. Systematic differences in the response of leaf 107 gas exchange to soil moisture potential have been observed among species originating from 108 different hydroclimates (Zhou et al. 2013), with species from mesic environments showing 109 stronger stomatal sensitivity to drought than species from xeric environments. Currently, 110 these environmental gradients in species behaviour are not captured in LSMs, which typically 111 assume static plant functional type (PFT) parameterisations. This is in part because 112 historically the data required to describe these attributes have not been available at the global scale, but also due to the necessity of simplification required to run global climate model 113 114 simulations. Species with a PFT are assumed to have similar or identical sensitivities to 115 drought. Such an approach ignores experimental evidence of the range of sensitivities to 116 drought among species (Choat et al. 2012; Limousin et al. 2013; Zhou et al. 2014; Mitchell et 117 al., 2014; Mencuccini et al. 2015). For example, Turner et al. (1984) found contrasting 118 responses in leaf water potential to increasing vapour pressure deficit, ranging from isohydric

to anisohydric, among a group of woody and herbaceous species. Similarly, Zhou et al. (2014)
found that in a dry-down experiment, European sapling species originating from more mesic
environments were more sensitive to water stress (more rapid reduction of photosynthesis and
stomatal conductance) than species from more xeric regions. However, it is not known
whether observed differences in the response to soil moisture deficit among species are
important in determining fluxes at large scales.

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126 In this study we test whether differences in species' responses to drought are needed to 127 capture drought responses on a continental scale. We built on recent changes to the stomatal 128 conductance (g_s) scheme (De Kauwe et al. 2015) within the Community Atmosphere 129 Biosphere Land Exchange (CABLE) LSM (Wang et al. 2011), by implementing a new 130 formulation for drought impacts based on plant ecophysiological studies for 31 species (Zhou 131 et al. 2013; 2014). We obtained three parameterisations for drought response from these 132 studies, characterising low, medium and high sensitivities to drought. We then applied 133 CABLE to simulate responses to an extreme meteorological event, the European 2003 134 heatwave, at five eddy covariance sites covering a latitudinal gradient, transitioning from 135 mesic sites at the northern extreme to xeric at the southern sites. Observations show that there 136 was a significant impact of drought on ecosystem fluxes at these sites (Ciais et al. 2005; Schär et al. 2005). We note that models have been applied to simulate drought effects on 137 138 productivity (net primary production) and leaf area at individual sites (Ciais et al. 2005; 139 Fischer et al. 2007; Granier et al. 2007; Reichstein et al. 2007) but have not been used to 140 examine whether alternative parameterisations are needed to capture drought responses across 141 sites. We therefore tested how well CABLE was able to simulate the impact of drought on 142 carbon and water fluxes at these sites using alternative parameterisations for drought sensitivity. We hypothesised that drought sensitivity would increase as sites transitioned from 143 144 xeric to mesic. We hypothesised that trees at more mesic sites, with a greater abundance of 145 available water than at xeric sites, would be more vulnerable to shorter duration droughts, and 146 thus have higher drought sensitivity (or lower resistance to drought). Therefore, accounting 147 for this latitudinal gradient in drought sensitivity would improve the performance of CABLE.

148 **2 Methods**

149 **2.1 Model description**

150 CABLE represents the vegetation using a single layer, two-leaf canopy model separated into sunlit and shaded leaves (Wang and Leuning, 1998), with a detailed treatment of within 151 canopy turbulence (Raupach 1994; Raupach et al. 1997). Soil water and heat conduction is 152 153 numerically integrated over six discrete soil layers following the Richards equation and up to 154 three layers of snow can accumulate on the soil surface. A complete description can be found 155 in Kowalczyk et al. (2006) and Wang et al. (2011). CABLE has been used extensively for 156 both offline (Abramowitz et al. 2008; Wang et al. 2011; De Kauwe et al. 2015) and coupled 157 simulations (Cruz et al. 2010; Pitman et al. 2011; Mao et al. 2011; Lorenz et al. 2014) within 158 the Australian Community Climate Earth System Simulator (ACCESS, see 159 http://www.accessimulator.org.au; Kowalczyk et al. 2013); a fully coupled earth system model. The source code can be accessed after registration at https://trac.nci.org.au/trac/cable. 160

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162 **2.2 Representing drought stress within CABLE.**

We build on the work by De Kauwe et al. (2015), who introduced a new g_s scheme into CABLE. In this scheme, stomata are assumed to behave optimally; that is, stomata are regulated to maximise carbon gain whilst simultaneously minimising water loss, over short time periods (i.e. a day) (Cowan and Farquhar, 1977) leading to the following formulation of g_s (Medlyn et al. 2011)

$$g_s = g_0 + 1.6 \left(1 + \frac{g_1}{\sqrt{D}}\right) \frac{A}{C_s} \tag{1}$$

where *A* is the net assimilation rate (μ mol m⁻² s⁻¹), *C_s* (μ mol mol⁻¹) and *D* (kPa) are the CO₂ concentration and the vapour pressure deficit at the leaf surface, respectively, and g_0 (mol m⁻² s⁻¹), and g_1 are fitted constants representing the residual stomatal conductance when *A* reaches zero, and the slope of the sensitivity of g_s to *A*, respectively. The model was parameterised for different PFTs using data from Lin et al. (2015) (see De Kauwe et al. 2015).

174 In the standard version of CABLE, drought stress is implemented as an empirical scalar (β) 175 that depends on soil moisture content, weighted by the fraction of roots in each of CABLE's 176 six soil layers:

$$\beta = \sum_{i=1}^{n} f_{root,i} \frac{\theta_i - \theta_w}{\theta_{fc} - \theta_w}; \ \beta \in [0,1]$$
⁽²⁾

177 where θ_i is the volumetric soil moisture content (m³ m⁻³) in soil layer *i*, θ_w is the wilting point 178 (m³ m⁻³), θ_{fc} is the field capacity (m³ m⁻³) and $f_{root,i}$ is the fraction of root mass in soil layer 179 *i*. The six soil layers in CABLE have depths 0.022 m, 0.058 m, 0.154 m, 0.409 m, 1.085 m 180 and 2.872 m. The factor β is assumed to limit the slope of the relationship between stomatal 181 conductance (g_s , mol m⁻² s⁻¹; Leuning 1995) by acting as a modifier on the parameter g_1 .

182 In this study, we introduced a new expression for drought sensitivity of gas exchange, based 183 on the work of Zhou et al. (2013, 2014). In this model, both g_1 and the photosynthetic 184 parameters V_{cmax} and J_{max} are assumed to be sensitive to pre-dawn leaf water potential, but 185 this sensitivity varies across species. There is considerable evidence that both g1 and V_{cmax} are sensitive to soil moisture (Keenan et al. 2009; Egea et al. 2011; Flexas et al. 2012; Zhou et al. 186 187 2013). There is also widespread evidence that plants are more directly respond to water 188 potential rather than water content (Comstock and Mencuccini 1998; Verhoef and Egea, 189 2014).

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191 Zhou et al. (2013) extended the optimal stomatal model of Medlyn et al. (2011) by fitting an 192 exponential function to relate g_1 to pre-dawn leaf water potential (Ψ_{pd}):

$$g_1 = g_{1wet} \times \exp\left(b\Psi_{pd}\right) \tag{3}$$

where $g_{1\text{wet}}$ is fitted parameter representing plant water use under well watered conditions (i.e. when $\Psi_{pd} = 0$) and *b* is a fitted parameter representing the sensitivity of g_1 to Ψ_{pd} . Species with different water use strategies can by hypothesised to differ in not only their g_1 parameter under well-watered conditions, $g_{1\text{wet}}$ (see Lin et al. 2015), but also with the sensitivity to Ψ_{pd} , *b*. Zhou et al. (2013) also advanced a non-stomatal limitation to the photosynthetic biochemistry, which describes the apparent effect of water stress on V_{cmax} :

$$V_{cmax} = V_{cmax,wet} \frac{1 + \exp(S_f \Psi_f)}{1 + \exp(S_f (\Psi_f - \Psi_{pd}))}$$
(4)

199 where $V_{cmax,wet}$ is the V_{cmax} value in well watered conditions, S_f is a sensitivity parameter 200 describing the steepness of the decline with water stress, Ψ_f is the water potential at which 201 Ψ_{pd} decreases to half of its maximum value. As with g_1 , it is hypothesised that in the same 202 way species vary in their V_{cmax} values in well-watered conditions ($V_{cmax,wet}$), they would also 203 differ in their sensitivity of down-regulated V_{cmax} with water stress (Zhou et al. 2014). In 204 CABLE, as there is a constant ratio between the parameters J_{max} and V_{cmax} , the parameter J_{max} 205 is similarly reduced by drought.

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To implement Eq. (6) in CABLE we first had to convert soil moisture content (θ) to pre-dawn leaf water potential (Ψ_{pd}). We did so by assuming that overnight Ψ_{pd} and Ψ_s equilibrate before sunrise, thus ignoring any night-time transpiration (Dawson et al. 2007). Following Campbell (1974), we related θ to Ψ_s in each soil layer by:

$$\Psi_{S,i} = \Psi_e \left(\frac{\theta_i}{\theta_{sat}}\right)^{-k} \tag{5}$$

where Ψ_e is the air entry water potential (MPa) and k (unitless) is an empirical coefficient which is related to the soil texture. Values for Ψ_e and b are taken from CABLE's standard lookup table following Clapp and Hornberger (1978). We then needed to obtain a representative weighted estimate of Ψ_s across CABLE's soil layers. We tested three potential approaches for weighting in this paper:

- 216 (i) Using the root-biomass weighted θ and converting this to Ψ_s using Eq. (8), 217 hereafter denoted M1. Such an approach is often favoured by models, following 218 experimental evidence that plants preferentially access regions in the root zone 219 where water is most freely available (Green and Clotheir 1995; Huang et al. 1997). 220 (ii) Taking the integrated θ over the top 5 soil layers (1.7 m depth) and converting this 221 to Ψ_s using Eq. (8), hereafter denoted M2. This method assumes the plant 222 effectively has access to an entire "bucket" of soil water. This approach is often 223 favoured by "simpler" forest productivity models (e.g. Landsberg and Waring,
- 224

1997).

225 (iii) Weighting the average Ψ_s for each of the six soil layers by the weighted soil-to-226 root conductance to water uptake of each layer, following Williams et al. (1996; 227 2001), hereafter denoted M3. The total conductance term depends the combination 228 of a soil component (R_s) and a root component (R_r). R_s is defined as (Gardner, 229 1960):

$$R_s = \frac{\ln\left(\frac{r_s}{r_r}\right)}{2\pi l_r DG_{soil}} \tag{6}$$

where r_s is the mean distance between roots (m), r_r is the fine root radius (m), Dis the depth of the soil layer, G_{soil} is the soil conductivity (mmol m⁻¹ s⁻¹ MPa⁻¹) which depends on soil texture and soil water content, l_r is the fine root density (mm⁻³). R_r is defined as:

$$R_r = \frac{R_r^*}{FD} \tag{7}$$

234 where R_r^* is the root resistivity (MPa s g mmol⁻¹), F is the root biomass per unit 235 volume (g m⁻³). This method weights Ψ_S to the upper soil layers when the soil is 236 wet, but shifts towards layer lowers as the soil dries, due to the lower soil 237 hydraulic conductance (e.g. Duursma et al. 2011).

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239 2.3 Model simulations

During 2003, Europe experienced an anomalously dry summer, amplified by a combination of
a preceding dry spring and high summer temperatures (Ciais et al. 2005; Schär et al. 2005).
Summer temperatures were recorded to have exceeded the 30-year June-July-August (JJA)
average by 3°C (Schär et al. 2005). Consequently we choose to focus our model comparisons
on this period, in particular the period between June and September 2003.

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At each of the five Fluxnet sites we ran three sets of simulations:

- A control simulation ("CTRL"), representing CABLE version 2.0.1.

Three simulations to explore the new drought model using a "high" (*Quercus robur*),
"medium" (*Quercus ilex*) and "low" (*Cedrus atlantica*) sensitivity to soil moisture.

250 Parameter values were obtained from the meta-analysis by Zhou et al. (2013; 2014) 251 and are given in Table 1. For each of these simulations we also tested the three 252 different methods of obtaining Ψ_s as described above.

- A "no drought" simulation in which any transpired water was returned to the soil. By
 comparing this simulation with either the control or any of the new drought model
 simulations (high, medium, low), a guide to the magnitude of the drought should be
 apparent.
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258 Model parameters were not calibrated to match site characteristics; instead default PFT 259 parameters were used for each site. Although CABLE has the ability to simulate full carbon, 260 nitrogen and phosphorus biogeochemical cycling, this feature was not activated for this study, 261 instead only the carbon and water cycle were simulated. For all simulations, leaf area index 262 (LAI) was prescribed using CABLE's gridded monthly LAI climatology derived from 263 Moderate-resolution Imaging Spectroradiometer (MODIS) LAI data (Knyazikhin et al. 1998; 1999) and the g_s scheme following Medlyn et al. (2011; see De Kauwe et al. 2015) was used 264 265 throughout. All model simulations were spun-up by repeating the meteorological forcing site 266 data until soil moisture and soil temperatures reached equilibrium (as we were ignoring the 267 full biogeochemical cycling in these simulations).

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269 **2.4 Datasets used**

To assess the performance of the CABLE model both with and without the new drought scheme, we selected a gradient of five forested Fluxnet (http://www.fluxdata.org/) sites across Europe (Table 2) from those available through the Protocol for the Analysis of Land Surface models (PALS; pals.unsw.edu.au; Abramowitz, 2012). These data have previously been preprocessed and quality controlled for use within the LSM community. Consequently, all siteyears had near complete observations of key meteorological drivers (as opposed to significant gap-filled periods).

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278 Model simulations were compared to measured latent heat and flux-derived gross primary 279 productivity (GPP) at each of the FLUXNET sites. Flux-derived GPP estimates are calculated

- 280 from the measured net ecosystem exchange (NEE) of carbon between the atmosphere and the
- 281 vegetation/soil, and the modelled ecosystem respiration (R_{eco}), where GPP is calculated as 282 NEE + R_{eco} .

294 **3 Results**

295 Severity of the 2003 drought

Table 3 summarises summer differences in rainfall, air temperature, GPP and LE between 2002 and 2003 across the five sites covering the latitudinal gradient from mesic to xeric sites across Europe. Whilst the impact of the 2003 heatwave varied between sites, every site was warmer and drier in 2003. Similarly, GPP was lower at every site except Espirra, and LE was lower at three of the sites (Hesse, Roccarespampani and Castelporziano) in 2003 than in 2002.

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302 Simulated fluxes during drought from the standard model

Figure 1 shows a site-scale comparison between standard CABLE (CTRL) transpiration (E), flux derived GPP, and the observed LE at the five sites. Table 4 and 5 shows a series of summary statistics (Root Mean Squared Error (RMSE), Nash-Sutcliffe efficiency (NSE), Pearsons's correlation coefficient (r) between modelled and observed GPP and LE. An indication of the severity of the drought can be obtained by comparing the difference between the "No drought" and the CTRL simulation.

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310 For the two more mesic sites (Tharandt and Hesse), the CTRL simulation generally matched 311 the trajectory of the observed LE, but displayed systematic periods of over-estimation (i.e. 312 under-estimated the drought effect). By contrast, in the three more xeric sites 313 (Roccarespampani, Castelporziano and Espirra), the reverse was true: the CTRL simulations descended into drought stress much more quickly than the observed fluxes. This rapid drought 314 315 progression was particularly evident around day of year 155 at the Roccarespampani site. 316 Across all sites, agreement with observed LE fluxes was generally poor (RMSE = 21.25 W m^{-1} ² to 38 W m⁻²; NSE = -8.95 to 0.15). This outcome is partly a result of the high soil 317 318 evaporation around mid-spring, which results in CABLE simulating very large LE fluxes 319 during this period.

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At Tharandt, Hesse and Roccarespampani, simulated GPP systematically underestimated the flux-derived peak GPP, particularly evident before day of year 180. Transitioning to the more xeric sites (Roccarespampani, Castelporziano and Espirra), simulated GPP was apparently too sensitive to water stress, contributing to a poor agreement with flux-derived data (RMSE = 2.22 g C m^{-2} to 3.03 g C m^{-2} ; NSE = -2.67 to 0.42).

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327 Theoretical behaviour of new drought scheme

We now consider the implementation of the new drought model and the three sensitivity 328 329 parameterisations. Figure 2a shows how leaf-level photosynthesis is predicted to decline 330 (using Eqs. 3 and 4) in the new drought model with increasing water stress (more negative 331 $\Psi_{\rm s}$). The different sensitivities to drought are clearly visible, with the three parameterisations 332 representing a spectrum of behaviour ranging from high to low drought sensitivity. Figures 2b and c show how the new drought model compares to the standard CABLE (CTRL; using Eq. 333 2) model on a sandy and clay soil type. The CTRL model is seen to most closely match the 334 335 high sensitivity simulation on a sandy soil, but it predicts an earlier descent into drought 336 stress. By contrast on the clay soil, the new medium and high sensitivity simulations 337 encompass the predictions from the CTRL model. The new drought model and 338 parameterisations afford a more flexible sensitivity to the down-regulation of photosynthesis 339 with drought, which is particularly evident in the low sensitivity simulation.

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341 Impact of new drought scheme on modelled LE

342 Figures 3–7 show the same site comparisons as Fig. 1, but with the addition of the new 343 drought model and the three different ways (M1-3) in which Ψ_s can be averaged over the soil 344 profile. Across all sites it is clear that using M1, the new drought model behaves in much the same way as the CTRL simulation. The explanation is that weighting Ψ_s by the fraction of 345 346 roots in each layer, results in water being principally extracted from the top three shallow 347 layers (Supplementary figures S1–S5). Consequently, small changes in θ result in a rapid decline in Ψ_{S} (owing to the non-linear relationship between θ and Ψ_{S} , Fig. 1), which causes 348 349 an unrealistically abrupt shutdown of transpiration. M2 showed a greater separation between 350 the three sensitivity parameterisations than method one. The greater separation is most 351 evident at the xeric sites; the model performs particularly well at Espirra (LE RMSE < 16 W m^{-2} vs. CTRL RMSE = 35.31 W m^{-2}) and to a lesser extent at Castelporziano (LE low 352 sensitivity RMSE = 19.72 W m⁻² vs. CTRL RMSE = 31.76 W m⁻²). Nevertheless, at the two 353 mesic sites, the model completely underestimates the size of the drought, as a result of using a 354

355 large soil water bucket (1.7 m) to calculate Ψ_s . M3 in combination with the new drought 356 model generally performed the best across all the sites, as it allows CABLE to simulate a more gradual reduction of fluxes during drought. At Roccarespampani a medium drought 357 sensitivity performed best at reproducing the observed LE (CTRL RMSE = $38.0 \text{ W m}^{-2} \text{ vs.}$ 358 18.27 W m⁻²), whilst at Espirra (CTRL RMSE = 35.31 W m⁻² vs. 15.40 W m⁻²) the low 359 sensitivity performed best. At Castelporziano, both low (CTRL RMSE = 31.76 W m⁻² vs. 360 20.41 W m⁻²) and medium sensitivity (LE RMSE = 20.47 W m⁻²) performed well. In contrast, 361 at the two mesic sites, a high drought sensitivity performed best, although at both Hesse (LE 362 CTRL RMSE = 21.25 W m⁻² vs. 25.90 W m⁻²) and Tharandt (LE CTRL RMSE = 28.5 W m⁻²) 363 vs. 28.82 W m⁻²), the new drought model performed marginally worse than the CTRL. 364

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366 Impact of new drought scheme on modelled GPP

At the more xeric sites, there were noticeable improvements in simulated GPP during the 367 drought period. Similar to the LE result, across all sites M3 worked best: using a medium 368 drought sensitivity at both Roccarespampani (CTRL RMSE = $2.49 \text{ g C m}^{-2} \text{ d}^{-1} \text{ vs. } 1.73 \text{ g C m}^{-2}$ 369 ² d⁻¹) and Castelporziano (CTRL RMSE = 2.22 g C m⁻² d⁻¹ vs. 0.95 g C m⁻² d⁻¹), and a low 370 sensitivity at Espirra (CTRL RMSE = $3.03 \text{ g C m}^{-2} \text{ d}^{-1} \text{ vs.} 1.43 \text{ g C m}^{-2} \text{ d}^{-1}$). At the mesic end 371 of the gradient, a medium sensitivity at Hesse (CTRL RMSE = 2.85 g C m⁻² d⁻¹ vs. 2.71 g C 372 m⁻² d⁻¹) and a medium or high sensitivity at Tharandt worked best; although using either 373 sensitivity performed slightly worse than the CTRL (CTRL RMSE = 2.06 g C m⁻² d⁻¹ vs. >= 374 $2.23 \text{ g C m}^{-2} \text{ d}^{-1}$). 375

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384 **4 Discussion**

385 Experimental data suggest that plants exhibit a continuum of drought sensitivities, with 386 species originating in more mesic environments showing higher sensitivity than species from more xeric environments (Bahari et al. 1985; Reich and Hinckley, 1989; Ni and Pallardy, 387 388 1991; Zhou et al. 2014). We investigated whether variable drought sensitivity improves the 389 ability of the CABLE LSM to reproduce observed drought impacts across a latitudinal 390 gradient. We found that, at the mesic sites, a high drought sensitivity was required; moving 391 southwards towards more xeric sites, the sensitivity parameterisation transitioned to a medium 392 and finally to a low drought sensitivity. This work demonstrates the importance of 393 understanding how plant traits vary with climate across the landscape. However, our analysis 394 also highlighted the importance of identifying which soil layers matter most to the plant: our 395 results depended strongly on how we weighted soil moisture availability through the profile.

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397 Weighting soil moisture availability

398 Commonly, empirical dependences of gas exchange on soil moisture content or potential 399 (Eqns 3, 4) are estimated from pot experiments (e.g. Zhou et al. 2013; 2014), in which it is 400 fair to assume that the soil moisture content is relatively uniform and fully explored by roots. 401 In contrast, soil moisture content and rooting depth in the field typically have strong vertical 402 profiles. Thus, to implement such equations in a land surface model requires that we specify 403 how to weight the soil layers to obtain a representative value of whole-profile θ or Ψ_{s} . In this 404 study we tested three potential implementations. Our first approach was to weight each laver 405 by root biomass. Evidence suggests that plants preferentially access regions in the root zone 406 where water is most freely available (Green and Clotheir 1995; Huang et al. 1997). Hence, 407 many models follow this approach: for example, the original version of CABLE weighted soil 408 moisture content by root biomass (Eqn 2) while the Community Land Model (CLM) 409 estimates a water stress factor based on a root-weighted Ψ_s , using a PFT-defined minimum 410 and maximum water potential (Oleson et al. 2013). However, we found that this approach 411 performed poorly. We observed an 'on-off' behaviour in response to drought, which occurs 412 because the behaviour of the model is driven by the top soil layers, whose total soil moisture 413 content is relatively small and root biomass is relatively high, and can be depleted rapidly, 414 leading to a sudden onset of severe drought. Many other LSMs show this abrupt effect of 415 drought (Egea et al., 2011; Powell et al., 2013). Powell et al. (2013) found that four models 416 (CLM version 3.5, Integrated BIosphere Simulator version 2.6.4 (IBIS), Joint UK Land Environment Simulator version 2.1 (JULES), and Simple Biosphere model version 3 (SiB3)) 417 418 implement abrupt transitions of this kind. We also found that with this weighting of soil layers, there was little effect of variable drought sensitivity: the depletion of soil moisture 419 420 content of the top layers is so rapid that there is little difference between low and high 421 sensitivities to drought. Such an outcome suggests that there is little adaptive significance of 422 drought sensitivity, which seems unlikely. A further implication of using a root-weighted 423 function to calculate Ψ_s is that two distinctly different scenarios, a soil that has been very wet but experienced a short dry period, allowing the topsoil to dry, and a soil that has had a 424 425 prolonged period of drought but experienced a recent rainfall event, would have similar 426 impacts on gas exchange. Again, this outcome seems unlikely.

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We tested a second implementation in which soil moisture potential was calculated from the moisture content of the entire rooting zone (top five soil layers = 1.7 m). Such an approach is commonly used in forest productivity models (e.g. Landsberg and Waring, 1997). However, this approach severely underestimates drought impacts because the moisture content of the total soil profile is so large, meaning that it is rarely depleted enough to impact on gas exchange.

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435 In reality, plant water uptake shifts lower in the profile as soil dries out (e.g. Duursma et al. 436 2011). Thus, in our third implementation, we tested an approach in which the weighting of 437 soil layers moves downwards as drought progresses. This approach is effectively similar to that used by the soil-plant-atmosphere (SPA) model (Williams et al. 1996; 2001), in which 438 439 soil layers are weighted by their soil-to-root conductance, which declines as the moisture 440 content declines. Of the three approaches we tested, this method performed best, allowing 441 CABLE to replicate the observations across the latitudinal mesic to xeric gradient. This 442 dynamic weighting of Ψ_S may partially explain previous good performance by SPA in other 443 model inter-comparisons focussed on drought (e.g. Powell et al. 2013). Recently, Bonan et al. 444 (2014) tested the suitability of using a model that considers optimal stomatal behaviour and 445 plant hydraulics (SPA; Williams et al. 1996) for earth system modelling, and demonstrated 446 marked improvement over the standard model during periods of drought stress. We thus 447 suggest that models using a soil moisture stress function to simulate drought effects on gas 448 exchange should consider a dynamic approach to weighting the contribution of different soil 449 layers.

450

451 We note that this issue is related to another long-standing problem for LSMs: that of 452 determining the vertical distribution of root water uptake (e.g. Feddes et al., 2001; Federer et 453 al., 2003; Kleidon and Heimann, 1998, 2000). In the standard version of CABLE, water 454 uptake from each soil layer initially depends on the fraction of root biomass in each layer, but 455 moves downwards during drought as the upper layers are depleted. It is possible that changes 456 to the weighting of soil moisture in determining drought sensitivity should also be 457 accompanied by changes to the distribution of root water uptake, but we did not explore this 458 option here. Li et al. (2012) previously tested an alternative dynamic root water uptake 459 function (Lai and Katul, 2000) in CABLE, but found little improvement in predicted LE 460 during seasonal droughts without also considering a mechanism for hydraulic redistribution. 461 Further work should evaluate models not only against LE fluxes, but also against 462 measurements of soil moisture profiles. Many experimental sites now routinely install 463 multiple soil moisture sensors (e.g. direct gravimetric sampling, neutron probes, time domain reflectometry), which provide accurate insight into root water extraction and hydraulic 464 465 redistribution, even down to considerable depths (>4 m). These data have thus far been 466 underutilised for model improvement, but should be a priority for reducing the uncertainty in 467 soil moisture dynamics.

468

469 Incorporating different sensitivities to drought

Using the third and best method to calculate overall Ψ_s , we found that varying drought sensitivity across sites enabled the model to better capture drought effects across the mesic/xeric gradient, with a high drought sensitivity implied in mesic sites and a low drought sensitivity implied in xeric sites. These results should not be surprising, given the increasing amount of experimental evidence suggesting that drought sensitivity varies among species and across climates (e.g. Engelbrecht and Kursar, 2003; Engelbrecht et al. 2007; Skelton et al. 2015). In contrast to these data, most LSMs assume a single parameterisation for drought 477 sensitivity, which is typically based on mesic vegetation. Our results suggest that such a
478 parameterisation is very likely to overstate the impacts of drought on both carbon and water
479 fluxes in drier regions.

480

481 Our work thus underlines a need to move beyond models that implement drought sensitivity 482 through a single PFT parameterisation. In order to capture the observed variability in plant 483 responses to drought, models need to consider a continuum of sensitivities. It is, of course, 484 challenging to implement such a continuum in a global vegetation model. In this study, we 485 used a simple site-specific approach in which we selected three sets of model parameters from 486 a meta-analysis by Zhou et al. (2013; 2014), allowing us to characterise a range of plant 487 responses to drought. Global vegetation models would require a more sophisticated approach 488 that relates drought sensitivity to the climate of each pixel. One potential solution would be to 489 develop an empirical correlation between drought sensitivity and a long-term moisture index 490 (e.g. the ratio of mean precipitation to the equilibrium evapotranspiration; Cramer and 491 Prentice, 1988; Gallego-Sala et al. 2010). Previous studies have demonstrated the feasibility 492 of linking model parameters that determine plant water use strategy to such a moisture index 493 in global simulations (Wang et al. 2014; De Kauwe et al. 2015). Such an approach would 494 requires a concerted effort to collate appropriate data, as there are few compilations to date of 495 traits related to drought sensitivity (but see Manzoni et al. 2011; Zhou et al. 2013). Another, 496 more challenging, alternative, would be to develop optimization hypotheses that can predict 497 vegetation drought sensitivity from climate (e.g. Manzoni et al. 2014).

498

499 Further model uncertainties

500 Whilst this work advances the ability of LSMs to simulate drought, it does not address all 501 processes needed to correctly capture drought impacts. Other issues to consider include: (i) 502 rooting depth; (ii) leaf shedding; (iii) soil evaporation; and (iv) soil heterogeneity, among 503 others.

504

Here we have assumed that all sites had the soil depth (4.6 m), with rooting depth distributed exponential through the profile, as is commonly used in LSMs. However, this assumption may be incorrect. Access to water by deep roots could be a potential alternative explanation for the low drought sensitivity that we inferred at the southernmost (xeric) site, Espirra. Here the dominant species is not native to the region, but rather a plantation of blue gum (*Eucalyptus globulus*), a species that is generally found to have high, not low, drought sensitivity (White 1996; Mitchell et al. 2014). Many eucalypts have a deep rooting strategy (Fabiao et al. 1987), suggesting a possible alternative explanation for drought tolerance at this site. More in-depth study of fluxes and soil moisture patterns at this site would be needed to determine the role of rooting depth.

515

516 During droughts, plants are often observed to shed their leaves. This is a self-regulatory 517 mechanism to reduce water losses (Tyree et al. 1993; Jonasson et al. 1997; Bréda et al. 2006). During the 2003 heatwave at Hesse, an early reduction of approximately 1.7 m² m⁻² was 518 observed. Similarly, at Brasschaat there was a observed reduction of 0.8 m² m⁻² and at 519 520 Tharandt needle-litter was increased during September until November, with LAI estimated to be 0.9 m² m⁻² lower (Bréda et al. 2006; Granier et al. 2007). In contrast, models typically fix 521 turnover rates for leaves and as such this feedback is largely absent from models. During 522 523 periods of water stress, models do simulate an indirect reduction in LAI via down-regulated 524 net primary productivity, but this feedback is much slower than is commonly observed. Not 525 accounting for this canopy-scale feedback will result in models over-estimating carbon and 526 water fluxes and thus losses in θ during drought.

527

Existing models also disagree as to the mechanism by which to down-regulate productivity 528 529 during periods of water stress (De Kauwe et al. 2013). In the standard version of CABLE, 530 only the slope of the relationship between g_s and A is reduced by water stress. The SPA model behaves similarly. In contrast, JULES (Clark et al. 2011) and the Sheffield Dynamic Global 531 Vegetation Model (SDGVM; Woodward and Lomas, 2004), down-regulate the 532 photosynthetic capacity via the biochemical parameters V_{cmax} and J_{max} (maximum electron 533 534 transport rate). Here, we assumed that water stress affects both the slope of g_s -A and the biochemical parameters V_{cmax} and J_{max} , supported by results from Zhou et al. (2013, 2014). 535 536 We did not evaluate this assumption against the eddy flux data. However, previous studies 537 have also suggested that both effects are needed to explain responses of fluxes during drought 538 (Keenan et al. 2010).

539

540 Finally, although models do have the capacity to simulate vertical variations in θ , they do not 541 always represent horizontal sub-grid scale variability. This assumption is likely to contribute 542 to the abruptness of modelled transitions from well-watered to completely down-regulated 543 carbon and water fluxes. Earlier work by Entekhabi and Eagleson (1989), and models such as 544 the variable infiltration capacity (VIC) model (Liang et al. 1994), and most recently Decker 545 2015 (submitted) have attempted to address this issue by employing statistical distributions to 546 approximate horizontal spatial heterogeneity in soil moisture (see also Crow and Wood, 547 2002). These parsimonious approaches typically require few parameters, making them 548 attractive in the LSM context and potentially suitable for modelling ecosystem and 549 hydrological responses to drought (Luo et al. 2013).

550

551 *Testing models against extreme events*

552 In conclusion, we have used a model evaluation against flux measurements during a large-553 scale heatwave event to make significant progress in modelling of drought impacts. While 554 model evaluation against data is now commonplace (Prentice et al. 2015) and has recently 555 been extended to formal benchmarking, particularly in the land surface community 556 (Abramowitz, 2005; Best et al. 2015), many of these benchmarking indicators are based on 557 seasonal or annual outputs and thus miss the opportunity to examine model performance 558 during extreme events. Model projections under future climate change require good 559 mechanistic representations of the impacts of extreme events. However, responses to extreme 560 events are rarely evaluated and there is therefore an urgent need to orient model testing to 561 periods of extremes. To that end, precipitation manipulation experiments (e.g. Nepstad et al. 562 2002; Hanson et al. 2003; Pangle et al. 2012) represent a good example of a currently under-563 exploited avenue (but see Fisher et al. 2007; Powell et al. 2013) that could be used for model 564 evaluation and/or benchmarking (Smith et al. 2014). However, we urge that these exercises do 565 not focus solely on overall model performance, but also test the realism of individual model 566 assumptions (Medlyn et al. 2015).

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1076 Figure Captions

Figure 1: A comparison of the observed (OBS) and modelled (CTRL) Latent Heat (LE) and
transpiration (E) at five Fluxnet sites during 2003. The data have been smoothed with a 5-day
moving window to aid visualisation.

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1081 Figure 2: Modelled impact of drought on the assimilation rate (A), shown as (a) a function of

1082 volumetric soil moisture content (θ) and (b) soil water potential (Ψ_S) for a sand and clay soil.

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Figure 3: A comparison of the observed (OBS) and modelled latent Heat (LE) and transpiration (E) at the Tharandt site during 2003. Simulations show the control (CTRL) and the three drought sensitivities to drought (high, medium, low) based on Zhou et al. (2013; 2014) and three different methods to calculate soil water potential (Ψ_s). The data have been smoothed with a 5-day moving window to aid visualisation.

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1090 Figure 4: A comparison of the observed (OBS) and modelled latent Heat (LE) and 1091 transpiration (E) at the Hesse site during 2003. Simulations show the control (CTRL) and the 1092 three drought sensitivities to drought (high, medium, low) based on Zhou et al. (2013; 2014) 1093 and three different methods to calculate soil water potential (Ψ_s). The data have been 1094 smoothed with a 5-day moving window to aid visualisation.

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Figure 5: A comparison of the observed (OBS) and modelled latent Heat (LE) and transpiration (E) at the Roccarespampani site during 2003. Simulations show the control (CTRL) and the three drought sensitivities to drought (high, medium, low) based on Zhou et al. (2013; 2014) and three different methods to calculate soil water potential (Ψ_s). The data have been smoothed with a 5-day moving window to aid visualisation.

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1102 Figure 6: A comparison of the observed (OBS) and modelled latent Heat (LE) and

transpiration (E) at the Castelporziano Fluxnet site during 2003. Simulations show the control (CTRL) and the three drought sensitivities to drought (high, medium, low) based on Zhou et al. (2013; 2014) and three different methods to calculate soil water potential (Ψ_s). The data have been smoothed with a 5-day moving window to aid visualisation.

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Figure 7: A comparison of the observed (OBS) and modelled latent Heat (LE) and transpiration (E) at the Espirra site during 2003. Simulations show the control (CTRL) and the three drought sensitivities to drought (high, medium, low) based on Zhou et al. (2013; 2014) and three different methods to calculate soil water potential (Ψ_s). The data have been smoothed with a 5-day moving window to aid visualisation.

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Supplementary Figure 1: Simulated soil water content of each of CABLE's six layers for the control (CTRL), and three drought sensitivities (high, medium, low) based on Zhou et al. (2013; 2014) at the Tharandt site. The grey shading highlights the heatwave period between the 1st of June and the 31st of August. The data have been smoothed with a 5-day moving window to aid visualisation.

Supplementary Figure 2: Simulated soil water content of each of CABLE's six layers for the control (CTRL), and three drought sensitivities (high, medium, low) based on Zhou et al. (2013; 2014) at the Hesse site. The grey shading highlights the heatwave period between the lst of June and the 31st of August. The data have been smoothed with a 5-day moving window to aid visualisation.

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Supplementary Figure 3: Simulated soil water content of each of CABLE's six layers for the control (CTRL), and three drought sensitivities (high, medium, low) based on Zhou et al. (2013; 2014) at the Roccarespampani site. The grey shading highlights the heatwave period between the 1st of June and the 31st of August. The data have been smoothed with a 5-day moving window to aid visualisation. 1131

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1152 Table 1. Baseline parameter values used to represent the three sensitivities: "high" (Quercus

1153 robur), "medium" (Quercus ilex) and "low" (Cedrus atlantica) to drought stress. Paramater

1154 values are taken from Zhou et al. (2013; 2014).

Sensitivity	b	$S_{ m f}$	$\Psi_{ m f}$	
High	1.55	6.0	-0.53	
Medium	0.82	1.9	-1.85	
Low	0.46	5.28	-2.31	

1156 Table 2: Summary of flux tower sites.

Site	PFT	Dominant	Latitude	Longitude	Country	Sand/Silt/Clay
		species				Fraction
Tharandt	ENF	Picea abies	50°58' N	13°34' E	Germany	0.37/0.33/0.3
Hesse	DBF	Fagus	48°40' N	7°05' Е	France	0.37/0.33/0.3
		sylvatica				
Roccarespampani	DBF	Quercus	42°24' N	11°55' E	Italy	0.6/0.2/0.2
		cerris				
Castelporziano	EBF	Quercus	41°42' N	12°22' E	Italy	0.6/0.2/0.2
		ilex				
Espirra	EBF	Eucalyptus	38°38' N	8°36' W	Portugal	0.37/0.33/0.3
		globulus				

1165	Table 3: Mean change in climate and fluxes between 2002 and 2003 covering the period
1166	between June and September.

Site	Precipitation	Air temperature	GPP	LE
	(mm month ⁻¹)	(° C)	(g C m ⁻² month ⁻¹)	(W m ⁻²)
Tharandt	-115.57	1.45	-38.45	0.52
Hesse	-49.20	2.98	-123.38	-11.90
Roccarespampani	-87.36	2.18	-71.94	-6.17
Castelporziano	-20.31	4.57	-49.73	-6.47
Espirra	-14.45	1.77	28.46	22.83

1172Table 4: Summary statistics of modelled and observed LE at the five FLUXNET sites during the main drought period $(1^{st} of June - 31^{st}$ 1173August, 2003). For each site the best performing model simulation has been highlighted in bold.

Site	Ψ_S Method	Root Mean Squared Error				Nas	sh-Sutcliff	e efficiency	(NSE)	Pearsons's correlation coefficient (r)				
			(RMSE)	; W m ⁻²)										
		CTRL	High	Medium	Low	CTRL	High	Medium	Low	CTRL	High	Medium	Low	
Tharandt	1	21.25	24.64;	26.57	29.55	-0.70	-1.28	-1.65	-2.28	0.69	0.73	0.73	0.70	
	2		34.59	36.20	36.97		-3.50	-3.93	-4.14		0.58	0.56	0.55	
	3		25.90	29.39	32.26		-1.52	-2.25	-2.94		0.72	0.67	0.63	
Hesse	1	28.50	36.22	41.59	51.49	0.15	-0.37	-0.81	-1.77	0.68	0.66	0.74	0.79	
	2		52.60	59.87	63.46		-1.89	-2.75	-3.21		0.80	0.75	0.71	
	3		28.82	45.32	56.46		0.13	-1.15	-2.33		0.79	0.84	0.77	
Roccarespampani	1	38.00	48.41	40.98	34.27	-0.34	-1.17	-0.55	-0.09	0.67	0.52	0.67;	0.81	
	2		31.62	22.81	26.81		0.08	0.52	0.34		0.83	0.84;	0.79	
	2		45.12	18.27	29.50		-0.88	0.69	0.20		0.67	0.85	0.81	
	3													
Castelporziano	1	31.76	38.77	40.54	40.40	-8.95	-13.82	-15.21	-15.10	0.18	-0.08	0.01	0.06	
	2		31.04	27.19	19.72		-8.50	-6.29	-2.84		0.47	0.54	0.57	
	3		39.17	20.47	20.41		-14.40;	-3.13	-3.11		-0.02	0.55	0.61	
Espirra	1	35.31	41.52	40.97	33.87	-3.35	-5.02;	-4.86	-3.01;	0.42	0.32	0.59	0.70	
			16 60	12.00	1101		0.16	A 33	A 33		A 33	A F 4	0.72	

- 1174
- 1175 Table 5: Summary statistics of modelled and observed GPP at the five FLUXNET sites during the main drought period $(1^{st} \text{ of June} 31^{st})$

Site	Ψ_S Root Mean Squared ErrorMethod(RMSE; g C m ⁻² d ⁻¹)			<u>.</u>	Nash	efficiency (NS	Pearsons's correlation coefficient (r)						
		CTRL	High	Medium	Low	CTRL	High	Medium	Low	CTRL	High	Medium	Low
Tharandt	1	2.06	2.27	2.07	2.10	0.33	0.19	0.33	0.31	0.80	0.71	0.66	0.61
	2		2.25	2.29	2.30		0.20	0.18	0.17		0.52	0.51	0.50
	3		2.23	2.12	2.20		0.22	0.30	0.25		0.66	0.59	0.55
Hesse	1	2.85	3.57	2.48	2.94	0.48	0.18	0.60	0.44	0.79	0.78	0.78	0.71
	2		2.65	3.22	3.47		0.55	0.33	0.22		0.75	0.67	0.62
	3		3.51	2.71	3.24		0.21	0.53	0.32		0.83	0.75	0.66
Roccarespampani	1	2.49	3.70	2.69	2.38	0.42	-0.28	0.32	0.47	0.85	0.64	0.82	0.87
	2		2,12	1.47	2.84		0.58	0.80	0.24		0.92	0.91	0.87
	3		3.74	1.73	3.08		-0.31	0.72	0.11		0.84	0.91	0.85
Castelporziano	1	2.22	3.46	3.64	3.76	-2.16	-6.71	-7.51	-8.08	0.55	-0.18	0.07	0.13
	2		2.65;	1.84	1.22		-3.52	-1.17	0.04		0.63	0.63	0.81
	3		3.71	0.95	1.46		-7.82	0.42	-0.37		0.05	0.81	0.84
Espirra	1	3.03	4.39	4.33	3.72	-2.67	-6.72	-6.51	-4.55	0.74	0.58	0.53	0.67
	2		1.92	1.46	1.34		-0.48	0.14	0.28		0.80	0.81	0.81
	3		4 70	2.01	1 43		-7 84	-0.62	0.18		0.34	0 74	0 78

1176 August, 2003). For each site the best performing model simulation has been highlighted in bold.





















Figure S4



