

# 1 The interaction of CO<sub>2</sub> concentrations and water stress in 2 semi-arid areas causes diverging response in instantaneous 3 water use efficiency and carbon isotope composition

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7 **Abstract.** In the context of global warming attributable to the increasing levels of CO<sub>2</sub>, severe drought  
8 can be anticipated in areas with chronic water shortages (semi-arid areas), which necessitates research  
9 on the interaction between elevated atmospheric concentrations of CO<sub>2</sub> and drought on plant  
10 photosynthetic discrimination. The <sup>13</sup>C fractionation may be generated through the transformation from  
11 photosynthate to sugars before transporting them outward the leaf. The influence of environmental  
12 conditions (i. e. CO<sub>2</sub> concentration and water stress) and their interactions on this fractionation have not  
13 yet been identified. Therefore, saplings of species typical to a semi-arid area of Northern China that have  
14 similar growth status—*Platycladus orientalis* and *Quercus variabilis*—were selected and cultivated in  
15 growth chambers with orthogonal treatments (four CO<sub>2</sub> concentrations [CO<sub>2</sub>] × five soil volumetric  
16 water contents (SWC)). The δ<sup>13</sup>C of water-soluble compounds extracted from leaves of potted saplings  
17 was measured to determine the instantaneous water use efficiency (WUE<sub>cp</sub>) after cultivation.  
18 Instantaneous water use efficiency derived from gas exchange (WUE<sub>ge</sub>) was integrated to estimate  
19 differences in δ<sup>13</sup>C signal variation before leaf-exported translocation of primary assimilates. The WUE<sub>ge</sub>  
20 of the two saplings both decreased with increased soil moisture, and increased with elevated [CO<sub>2</sub>] at  
21 35%–80% of Field Capacity (FC) by strengthening photosynthetic capacity and reducing transpiration.  
22 Differences in instantaneous water use efficiency (iWUE) according to distinct environmental changes  
23 differed between the species. The WUE<sub>ge</sub> of *P. orientalis* was significantly greater than that of *Q.*  
24 *variabilis*, while the opposite results were obtained in a comparison of the WUE<sub>cp</sub> of the two species.  
25 Total <sup>13</sup>C fractionation from the site of carboxylation to cytoplasm before sugars transportation (total <sup>13</sup>C  
26 fractionation) was clearly species-specific, as demonstrated in the interaction of [CO<sub>2</sub>] and SWC. Rising  
27 [CO<sub>2</sub>] coupled with moistened soil generated increasing disparities of δ<sup>13</sup>C between the water soluble  
28 compounds (δ<sup>13</sup>C<sub>WSC</sub>) and estimated by gas-exchange observation (δ<sup>13</sup>C<sub>obs</sub>) in *P. orientalis* with an  
29 amplitude of 0.0328‰–0.0472‰. Further, the differences between δ<sup>13</sup>C<sub>WSC</sub> and δ<sup>13</sup>C<sub>obs</sub> of *Q.*  
30 *variabilis* increased as CO<sub>2</sub> concentration increased and water stress alleviated (0.0384‰–0.0466‰).  
31 Fractionations from mesophyll conductance and post-photosynthesis both contributed to the total <sup>13</sup>C  
32 fractionation determined by two measurements (1.06%–24.94% and 75.30%–98.9% of total <sup>13</sup>C  
33 fractionation, respectively). Total <sup>13</sup>C fractionations were linearly dependent on g<sub>s</sub>, indicating post-  
34 carboxylation fractionation was attributed to environmental variation. Thus, cautious descriptions of the  
35 magnitude and environmental dependence of apparent post-carboxylation fractionation are worth our  
36 attention in photosynthetic fractionation.

37 **Key words:** Post-carboxylation fractionation; Carbon isotope fractionation; Elevated CO<sub>2</sub> concentration;  
38 Soil volumetric water content; Instantaneous water use efficiency

## 39 1 Introduction

40 Since the onset of the industrial revolution, the atmospheric CO<sub>2</sub> concentration has increased at an  
41 annual rate of 0.4%, and is expected to increase further to 700 μmol·mol<sup>-1</sup>, together with more frequent  
42 periods of low water availability (IPCC, 2014). Increasing atmospheric CO<sub>2</sub> concentrations that trigger  
43 an ongoing greenhouse effect will not only lead to fluctuations in global patterns of precipitation, but  
44 also will amplify drought in arid regions, and lead to more frequent occurrences of extreme drought  
45 events in humid regions (Lobell et al., 2014). Accompanying the increasing concentration of CO<sub>2</sub>, the  
46 mean δ<sup>13</sup>C of atmospheric CO<sub>2</sub> is depleted by 0.02‰–0.03‰ year<sup>-1</sup> (data available from the CU-  
47 INSTAAR/NOAACMDL network for atmospheric CO<sub>2</sub>; <http://www.esrl.noaa.gov/gmd/>).

48 The carbon isotopic composition determined recently could respond more subtly to environmental  
49 changes and their influences on diffusion via plant physiology and metabolic processes (Gessler et al.,  
50 2014; Streit et al., 2013). While the depletion of δ<sup>13</sup>C<sub>CO<sub>2</sub></sub> has been shown in the atmosphere, variations  
51 in CO<sub>2</sub> concentration itself also might affect the δ<sup>13</sup>C of plant organs that, in turn, respond physiologically  
52 to climatic change (Gessler et al., 2014). The carbon discrimination (<sup>13</sup>Δ) of leaves could also provide  
53 timely feedback about the availability of soil moisture and the atmospheric vapor pressure deficit  
54 (Cernusak et al., 2012). Discrimination against <sup>13</sup>C in leaves relies mainly on environmental factors that  
55 affect the ratio of intercellular to ambient CO<sub>2</sub> concentration (*C<sub>i</sub>/C<sub>a</sub>*) and Rubisco activities, **even the**  
56 **mesophyll conductance derived from the difference of CO<sub>2</sub> concentrations between intercellular site and**  
57 **chloroplast (Farquhar et al., 1982; Cano et al., 2014)**. As changes in environmental conditions affect  
58 photosynthetic discrimination, they are expected to be recorded differentially in the δ<sup>13</sup>C of water-soluble  
59 organic matter (δ<sup>13</sup>C<sub>WSOM</sub>) of the different plant organs. Meanwhile, several processes during  
60 photosynthesis alter the δ<sup>13</sup>C of carbon transported within plants considerably. Carbon-fractionation  
61 during photosynthetic CO<sub>2</sub> fixation has been described and reviewed well elsewhere (Farquhar et al.,  
62 1982; Farquhar and Sharkey, 1982).

63 Post-photosynthetic fractionation is derived from equilibrium and kinetic isotopic effects, which  
64 determines isotopic differences between metabolites and intramolecular reaction positions, **defined as**  
65 **“post-photosynthetic” or “post-carboxylation” fractionation** (Jäggi et al., 2002; Badeck et al., 2005;  
66 Gessler et al., 2008). Post-carboxylation fractionation in plants includes the carbon discriminations that  
67 follow carboxylation of ribulose-1, 5-bisphosphate, and internal diffusion (RuBP, 27‰), as well as  
68 related transitory starch metabolism (Gessler et al., 2008; Gessler et al., 2014), fractionation in leaves,  
69 fractionation-associated phloem transport, the remobilization or storage of soluble carbohydrates, and  
70 starch metabolism fractionations in sink tissue (tree rings). **In the synthesis of soluble sugars, <sup>13</sup>C-**  
71 **depletions of triose phosphates occur during exportation from the cytoplasm, and during production of**  
72 **fructose-1, 6-bisphosphate by aldolase in transitory starch synthesis (Rossmann et al., 1991;**  
73 **Gleixner and Schmidt, 1997). Synthesis of sugars before transportation to the twig is associated with the**  
74 **post-carboxylation fractionation generated in leaves. Although these are likely to play a role, what should**  
75 **be also considered is the CO<sub>2</sub> concentration in the chloroplast (*C<sub>c</sub>*), not in the intercellular space, as used**  
76 **in the simplified equation of the Farquhar’s model (Evans et al., 1986; Farquhar et al., 1989) is actually**  
77 **defined as carbon isotope discrimination (δ<sup>13</sup>C). Indeed, the difference between gas-exchange derived**  
78 **values and online measurements of δ<sup>13</sup>C has been widely used to estimate *C<sub>i</sub>-C<sub>c</sub>* and mesophyll**  
79 **conductance for CO<sub>2</sub> (Le Roux et al., 2001; Warren and Adams, 2006; Flexas et al., 2006; Evans et al.,**  
80 **2009; Flexas et al., 2012; Evans and von Caemmerer 2013). In this regard, changes in mesophyll**  
81 **conductance could be partly responsible for the differences from two measurements, as it generally**

82 increases in the short term in response to elevated CO<sub>2</sub> (Flexas et al., 2014), whereas it tends to decrease  
83 under drought (Hommel et al., 2014; Thérault-Rancourt et al., 2014). Therefore, it is necessary to avoid  
84 confusion of carbon isotope discrimination derived from synthesis of soluble sugars or/and mesophyll  
85 conductance, and further, whether and what magnitude of these carbon fractionations are related to  
86 environmental variation have not yet been investigated.

87 The simultaneous isotopic analysis of leaves is a recent refinement in isotope studies that allows us to  
88 determine the temporal variation in isotopic fractionation (Rinne et al., 2016), and will help decipher  
89 environmental conditions more reliably. Newly assimilated carbohydrates can be extracted, and are  
90 defined as the water-soluble compounds (WSCs) in leaves (Brandes et al., 2006; Gessler et al., 2009),  
91 which also can be associated with an assimilation-weighted average of  $C_i/C_a$  (and  $C_c/C_a$ )  
92 photosynthesized over a period ranging from a few hours to 1-2 d (Pons et al., 2009). However, there is  
93 dispute whether the fractionation stemmed from post-carboxylation or/and mesophyll resistance may  
94 alter the stable signatures of leaf carbon and thence influence instantaneous water use efficiency (iWUE).  
95 In addition, the way in which the iWUE derived from these isotopic fractionations responds to different  
96 environmental factors, such as elevated [CO<sub>2</sub>] and/or soil water gradients, have not yet been observed.

97 Consequently, we investigated the  $\delta^{13}\text{C}$  of the fast-turnover carbohydrate pool in leaves from saplings  
98 of two trees typical in semi-arid areas of China—*Platycladus orientalis* and *Quercus variabilis*—together  
99 with simultaneous gas exchange measurements in control-environment of growth chambers (FH-230).  
100 Our goals are to differentiate the  $^{13}\text{C}$  fractionation from the site of carboxylation to cytoplasm before  
101 sugars transportation (total  $^{13}\text{C}$  fractionation) of *P. orientalis* and *Q. variabilis*, which were determined  
102 from the  $\delta^{13}\text{C}$  of water-soluble compounds and gas-exchange measurements, and then to discuss the  
103 potential causes for the observed divergence, estimate the contributions of post-photosynthetic and  
104 mesophyll resistance on these differences, and describe how these carbon isotopic fractionations respond  
105 to the interactive effects of elevated [CO<sub>2</sub>] and water stress.

## 106 2 Material and Methods

### 107 2.1 Study site and design

108 Saplings of *P. orientalis* and *Quercus variabilis* were selected as experimental material from the  
109 Capital Circle forest ecosystem station, a part of the Chinese Forest Ecosystem Research Network  
110 (CFERN, 40°03'45"N, 116°5'45"E) in Beijing, China. This region is populated by warm, temperate,  
111 deciduous, broad-leaved trees and mixed tree communities dominated by *Quercus variabilis* Bl. and  
112 *Platycladus orientalis* (L.) Franco, respectively. Saplings have similar ground diameters, heights, and  
113 growth statuses. The saplings were placed in pots 22 cm in diameter and 22 cm in height. Undisturbed  
114 soil samples were collected from the field in the research region, and the sieved soil (with all particles  
115 <10 mm removed) was placed in the pots. A single *P. orientalis* sapling was transplanted into each pot.  
116 The soil bulk density in the pots was maintained at 1.337–1.447 g cm<sup>-3</sup>. After one month of rejuvenation,  
117 the potted saplings were placed into chambers for cultivation.

118 The controlled experimental treatments were conducted in growth chambers (FH-230, Taiwan Hipoint  
119 Corporation, Kaohsiung City, Taiwan). To imitate the meteorological factors of the growth seasons in  
120 the research region, the daytime temperature in the chambers was set to 25 ± 0.5°C from 07:00 to 17:00,  
121 and the night-time temperature was 18 ± 0.5°C from 17:00 to 07:00. Relative humidity was maintained  
122 at 60% and 80% during the day and night, respectively. The light system was activated in the daytime  
123 and shut down at night. The average daytime light intensity was maintained at 200–240 μmol m<sup>-2</sup> s<sup>-1</sup>.

124 CO<sub>2</sub> concentration was controlled by the central controlling system of the chambers (FH-230). Two  
125 growth chambers (A and B) were used in our study. Chamber A was switched in turn to maintain a CO<sub>2</sub>  
126 concentration of 400 ± 50 ppm (during June 2–9, June 12–19, June 21–28, and July 2–9, 2015) and 500  
127 ± 50 ppm (during July 11–18, July 22–29, August 4–11, and August 15–22, 2015). The other was  
128 adjusted to maintain the CO<sub>2</sub> concentration at 600 ± 50 ppm (during June 2–9, June 12–19, June 21–28,  
129 and July 2–9, 2015) and 800 ± 50 ppm (during July 11–18, July 22–29, August 4–11, and August 15–22,  
130 2015). The CO<sub>2</sub> concentration in the chambers was set to maintain one target level (permitting a standard  
131 deviation of ± 50 ppm) during cultivation. Thus, we employed a gradient of four CO<sub>2</sub> concentrations in  
132 our study (400 ± 50 ppm, 500 ± 50 ppm, 600 ± 50 ppm, and 800 ± 50 ppm). Detectors inside the chambers  
133 monitored and maintained the CO<sub>2</sub> concentrations continuously at the constant setting.

134 We designed a device to water the potted plants automatically to avoid heterogeneity caused by  
135 interruptions in the watering process (Fig. 1). It consisted of the water storage tank, holder, controller,  
136 soil moisture sensors, and drip irrigation components. Prior to use, the water tank was filled with water,  
137 and the soil moisture sensor was inserted to a uniform depth in the soil. After connecting the controller  
138 to an AC power supply, specific soil water could be set. The soil volumetric water content (SWC) of the  
139 pot soil was monitored by the soil moisture sensors. Through the sensors, the chamber could determine  
140 whether to water or stop watering the plants. Two drip irrigation devices were installed in both chambers,  
141 respectively. After measuring the average Field Capacity (FC) of the pot soil (30.70%), five levels of  
142 SWC were maintained before the orthogonal tests, as follows: 100% FC (or CK) (SWC approximately  
143 27.63%–30.70%), 70%–80% of FC (SWC approximately 21.49%–24.56%), 60%–70% of FC (SWC  
144 approximately 18.42%–21.49%), 50%–60% of FC (SWC approximately 15.35%–18.42%), and 35%–  
145 45% of FC (SWC approximately 10.74%–13.81%). Each level of soil water was kept within the specific  
146 range thereafter by the irrigation device.

147 After establishing the equilibrium circumstances of elevated CO<sub>2</sub> across the soil water gradients, the  
148 saplings were ready for investigation. Each orthogonal treatment included three replicates, and each  
149 replicate continued for 7 days. Pots were rearranged periodically to minimize non-uniform illumination.

150 Orthogonal tests: elevated CO<sub>2</sub> concentration gradient presented as 400 ppm, 500 ppm, 600 ppm, and  
151 800 ppm, combined with a soil-water gradient 35%–45% of FC, 50%–60% of FC, 60%–70% of FC, and  
152 70%–80% of FC and 100% FC (CK).

## 153 2.2 Foliar gas exchange measurement

154 Fully expanded primary annual leaves of the saplings were measured with a portable infrared gas  
155 photosynthesis system (LI-6400, Li-Cor, Lincoln, US) before and after the 7-day cultivation in the  
156 chambers. **Four replicates were measured with each leaf and four leaves were chosen per tree in the gas-**  
157 **exchange measurement. There were two saplings ready for one orthogonal treatment ([CO<sub>2</sub>] × water**  
158 **stress). The main photosynthetic parameters, such as net photosynthetic rate ( $P_n$ ) and transpiration rate**  
159 **( $T_r$ ), were measured. Based on the theories proposed by Von Caemmerer and Farquhar (1981), stomatal**  
160 **conductance ( $g_s$ ) and intercellular CO<sub>2</sub> concentration ( $C_i$ ) were calculated by the Li-Cor software. Each**  
161 **leaf was measured three times. Three leaves from each sapling were chosen, and three saplings were**  
162 **measured within one orthogonal treatment. Instantaneous water use efficiency via gas exchange (WUE<sub>ge</sub>)**  
163 **was calculated as the ratio of  $P_n$  to  $E$ .**

## 164 2.3 Plant material collection and leaf water soluble compounds extraction

165 **After gas exchange measurements, recently-expanded, eight sun leaves were removed per tree of two**  
166 **species and two cultivated saplings per specie were replicated per treatment, and then were frozen**

167 **immediately in liquid nitrogen.** A protocol adapted from Gessler et al. (2004) was used to extract the  
 168 water-soluble compounds (WSCs). All samples were ground to fine powders using mortars and liquid  
 169 nitrogen. 50 mg of ground leaves and 100 mg PVPP (polyvinylpyrrolidone) were weighed, mixed  
 170 evenly, and incubated in 1 mL double demineralized water for 60 min at 5 °C in a centrifuge tube. Then,  
 171 the tubes were heated in 100 °C water for 3 min. After they cooled to room temperature, the supernatant  
 172 was centrifuged at 12000 xg for 5 min and transferred 10 µL supernatant into tin capsule to be dried at  
 173 70 °C. Folded capsules were then ready for δ<sup>13</sup>C analysis of WSOM.

174 The samples of WSCs from leaves were combusted in an elemental analyzer (EuroEA, HEKAtech  
 175 GmbH, Wegberg, Germany) and analyzed in the mass spectrometer (DELTA<sup>plus</sup>XP, ThermoFinnigan).  
 176 Carbon isotope signatures are expressed in δ-notation in parts per thousand, relative to the international  
 177 Pee Dee Belemnite (PDB):

$$178 \delta^{13}\text{C} = \left( \frac{R_{\text{sample}}}{R_{\text{standard}}} - 1 \right) \times 1000 \quad (1)$$

179 where δ<sup>13</sup>C is the heavy isotope and  $R_{\text{sample}}$  and  $R_{\text{standard}}$  refer to the isotope ratio between the  
 180 particular substance and the corresponding standard, respectively. The precision of the repeated  
 181 measurements was 0.1 ‰.

## 182 2.4 Isotopic calculation

### 183 2.4.1 <sup>13</sup>C fractionation from the site of carboxylation to cytoplasm before sugars transportation

184 Based on the linear model developed by Farquhar and Sharkey (1982), the isotope discrimination  
 185 factor, Δ, was calculated as:

$$186 \Delta = \left( \frac{^{13}\text{C}_a - ^{13}\text{C}_p}{1 + ^{13}\text{C}_p} \right) \quad (2)$$

187 where  $^{13}\text{C}_a$  is the isotope signature of ambient [CO<sub>2</sub>] in the chamber;  $^{13}\text{C}_p$  is the  $^{13}\text{C} : ^{12}\text{C}$  of the  
 188 water-soluble compounds extracted from foliage. The  $C_i:C_a$  is determined by:

$$189 C_i:C_a = (\Delta - a)/(b - a) \quad (3)$$

190 where  $C_i$  is the intercellular CO<sub>2</sub> concentration, and  $C_a$  is the ambient CO<sub>2</sub> concentration in the chamber;  
 191  $a$  is the discrimination dependent on a fraction factor (4%).  $b$  is the discrimination during CO<sub>2</sub> fixation  
 192 by ribulose 1,5- biphosphate carboxylase/oxygenase (Rubisco) and internal diffusion (30%).  
 193 **Instantaneous water use efficiency by gas-exchange measurements (WUE<sub>ge</sub>)** is calculated as:

$$194 \text{WUE}_{\text{ge}} = P_n:T_r = (C_a - C_i)/1.6\Delta e \quad (4)$$

195 where  $P_n$  is the net carbon assimilation,  $T_r$  is the molar rate of transpiration, and 1.6 is the diffusion  
 196 ratio of stomatal conductance to water vapor to CO<sub>2</sub> in the chamber.  $\Delta e$  is the difference in water vapor  
 197 pressure between the intracellular in leaves and ambient air, which may be calculated as:

$$198 \Delta e = e_{lf} - e_{atm} = 0.611 \times e^{17.502T/(240.97+T)} \times (1 - \text{RH}) \quad (5)$$

199 where  $e_{lf}$  and  $e_{atm}$  represent the extra- and **intra-cellular** water vapor pressure, respectively.  $T$  and RH is  
 200 temperature and relative humidity on leaf surface. **The instantaneous water use efficiency could be**  
 201 **determined by the δ<sup>13</sup>C<sub>WSC</sub> of leaves of two species, defined as WUE<sub>cp</sub>:**

$$202 \text{WUE}_{\text{cp}} = \frac{P_n}{T_r} = (1 - \varphi) (C_a - C_i)/1.6\Delta e = C_a(1 - \varphi) \left[ \frac{b - \delta^{13}\text{C}_a + (b+1)\delta^{13}\text{C}_{\text{WSC}}}{(b-a)(1 + \delta^{13}\text{C}_{\text{WSC}})} \right] / 1.6\Delta e \quad (6)$$

203  $\varphi$  is the ratio between carbohydrates consumed during respiration of the leaves and that of other organs  
 204 at night (0.3). **δ<sup>13</sup>C<sub>WSC</sub> is the carbon isotopic composition of water soluble compounds extracted from**  
 205 **leaves.**

206 Then the  $^{13}\text{C}$  fractionation from the site of carboxylation to cytoplasm before sugars transportation (total  
 207  $^{13}\text{C}$  fractionation) can be estimated by the observed  $\delta^{13}\text{C}$  of water soluble compounds from leaves  
 208 ( $\delta^{13}\text{C}_{\text{WSC}}$ ) and the modeled  $\delta^{13}\text{C}$  calculated from gas-exchange ( $\delta^{13}\text{C}_{\text{model}}$ ). The  $\delta^{13}\text{C}_{\text{model}}$  can be calculated  
 209 from  $\Delta_{\text{model}}$  from Eqn. (2). The  $\Delta_{\text{model}}$  can be determined by Eqns. (3 and 4) as:

$$210 \quad \Delta_{\text{model}} = (b - a) \left( 1 - \frac{1.6\Delta e \text{WUE}_{ge}}{C_a} \right) + a \quad (7)$$

$$211 \quad \delta^{13}\text{C}_{\text{model}} = \frac{C_a - \Delta_{\text{model}}}{1 + \Delta_{\text{model}}} \quad (8)$$

$$212 \quad \text{Total } ^{13}\text{C fractionation} = \delta^{13}\text{C}_{\text{WSC}} - \delta^{13}\text{C}_{\text{model}} \quad (9)$$

#### 213 2.4.2 Methodology of calculating mesophyll conductance

214 Actually, the carbon isotope discrimination is generated from the relative contribution of diffusion and  
 215 carboxylation, reflected by the ratio of  $\text{CO}_2$  concentration at the site of carboxylation ( $C_c$ ) to that in the  
 216 ambient environment surrounding plants ( $C_a$ ). The carbon isotopic discrimination ( $\Delta$ ) could be presented  
 217 as (Farquhar et al. 1982):

$$218 \quad \Delta = a_b \frac{C_a - C_s}{C_a} + a \frac{C_s - C_i}{C_a} + (e_s + a_l) \frac{C_i - C_c}{C_a} + b \frac{C_c}{C_a} - \frac{eR_D + f\Gamma^*}{C_a} \quad (10)$$

219 where  $C_a$ ,  $C_s$ ,  $C_i$ , and  $C_c$  indicate the  $\text{CO}_2$  concentrations in the ambient environment, at the boundary  
 220 layer of leaf, in the intercellular air spaces before entrancing into solution, and at the sites of  
 221 carboxylation, respectively;  $a_b$  is the fractionation for the  $\text{CO}_2$  diffusion at the boundary layer (2.9‰);  
 222  $a$  is the fractionation occurring  $\text{CO}_2$  diffusion in still air (4‰);  $e_s$  is the discrimination of  $\text{CO}_2$  diffusion  
 223 when  $\text{CO}_2$  enters in solution (1.1‰, at 25 °C);  $a_l$  is the fractionation derived from diffusion in the  
 224 liquid phase (0.7‰);  $b$  is the carboxylation discrimination in C3 plants (27‰);  $e$  and  $f$  are carbon  
 225 discrimination derived in dark respiration ( $R_D$ ) and photorespiration, respectively.  $k$  is the carboxylation  
 226 efficiency, and  $\Gamma^*$  is the  $\text{CO}_2$  compensation point in the absence of dark respiration (Brooks and  
 227 Farquhar, 1985).

228 When the gas in the cuvette could be well stirred during measurements of carbon isotopic discrimination  
 229 and gas exchange, the diffusion in the boundary layer could be neglected and Equation 7 could be shown:

$$230 \quad \Delta = a \frac{C_a - C_i}{C_a} + (e_s + a_l) \frac{C_i - C_c}{C_a} + b \frac{C_c}{C_a} - \frac{eR_D + f\Gamma^*}{C_a} \quad (11)$$

231 There is no agreement about the value of  $e$ , although recent measurements estimated it as 0-4‰. Value  
 232 of  $f$  has been estimated ranging at 8-12‰ (Gillon and Griffiths, 1997; Igamberdiev et al., 2004;  
 233 Lanigan et al., 2008). As the most direct factor, the value of  $b$  will influence the calculation for  $g_m$ , has  
 234 been thought to be close to 30‰ in higher plants (Guy et al., 1993).

235 The difference of  $\text{CO}_2$  concentration between the substomatal cavities and the chloroplast is omitted  
 236 while diffusion discrimination related with dark-respiration and photorespiration is also negligible, the  
 237 Equation 8 could be simplified as:

$$238 \quad \Delta_i = a + (b - a) \frac{C_i}{C_a} \quad (12)$$

239 Equation 12 presents the linear relationship between carbon discrimination and  $C_i/C_a$  that used  
 240 normally in carbon isotopic fractionation. That underlined the subsequent comparison between the  
 241 expected  $\Delta$  (originated from gas-exchange,  $\Delta_i$ ) and those actually measured ( $\Delta_{\text{obs}}$ ), which could  
 242 evaluate the magnitude of differences of  $\text{CO}_2$  concentration between the intercellular air and the sites of  
 243 carboxylation that generated by mesophyll resistance. Consequently,  $g_m$  can be estimated by  
 244 performing the  $\Delta_{\text{obs}}$  by isotope ratio mass spectrometry and expected  $\Delta_i$  from  $C_i/C_a$  by gas exchange

245 measurements.

246 Then subtract  $\Delta_{obs}$  of Equation 11 from  $\Delta_i$  calculated by Equation 12:

$$247 \quad \Delta_i - \Delta_{obs} = (b - e_s - a_l) \frac{C_i - C_c}{C_a} + \frac{eRD + f\Gamma^*}{C_a} \quad (13)$$

248 and the net assimilation rate ( $A_n$ ) from the first Fick's law is presented by:

$$249 \quad A_n = g_m(C_i - C_c) \quad (14)$$

250 Substitute Equation 14 into Equation 13 we obtain:

$$251 \quad \Delta_i - \Delta_{obs} = (b - e_s - a_l) \frac{A_n}{g_m C_a} + \frac{eRD + f\Gamma^*}{C_a} \quad (15)$$

$$252 \quad g_m = \frac{(b - e_s - a_l) \frac{A_n}{C_a}}{(\Delta_i - \Delta_{obs}) - \frac{eRD + f\Gamma^*}{C_a}} \quad (16)$$

253 In calculation of  $g_m$ , the respiratory and photorespiratory terms could be ignored or be given the  
254 specific constant values. Here,  $e$  and  $f$  are assumed to be zero or be cancelled out in the calculation of  
255  $g_m$ .

256 Then Equation 16 can be transformed into:

$$257 \quad g_m = \frac{(b - e_s - a_l) \frac{A_n}{C_a}}{\Delta_i - \Delta_{obs}} \quad (17)$$

## 258 3 Results

### 259 3.1 Foliar gas exchange measurements

260 *P. orientalis* and *Q. variabilis* saplings were exposed to the orthogonal treatments (under gradients of  
261 SWC and [CO<sub>2</sub>] of 400 ppm, 500 ppm, 600 ppm, and 800 ppm, labeled as C<sub>400</sub>, C<sub>500</sub>, C<sub>600</sub>, and C<sub>800</sub>).  
262 When SWC increased,  $P_n$ ,  $g_s$  and  $T_r$  in *P. orientalis* and *Q. variabilis* peaked at 70%–80% of FC or/and  
263 FC (Fig. 2). The  $C_i$  in *P. orientalis* rose as SWC increased, while it peaked at 60%–70% of FC and  
264 declined thereafter with increased SWC in *Q. variabilis*. The uptake capacity of carbon and  $C_i$  were  
265 elevated significantly by elevated [CO<sub>2</sub>] at any given SWC for two species ( $p < 0.05$ ). Further, greater  
266 increasing magnitudes of  $P_n$  in *P. orientalis* were found at 50%–70% of FC from C<sub>400</sub> to C<sub>800</sub>, which was  
267 at 35%–45% of FC in *Q. variabilis*. As the water stress was alleviated (at 70%–80% of FC and FC), the  
268 reduction of  $g_s$  in *P. orientalis* was more pronounced with elevated [CO<sub>2</sub>] at a given SWC ( $p < 0.01$ ).  
269 Nevertheless,  $g_s$  of *Q. variabilis* in C<sub>400</sub>, C<sub>500</sub>, and C<sub>600</sub> was significantly higher than that in C<sub>800</sub> at 50%–  
270 80% of FC ( $p < 0.01$ ). Coordinated with  $g_s$ ,  $T_r$  of two species in C<sub>400</sub> and C<sub>500</sub> was significantly higher than  
271 that in C<sub>600</sub> and C<sub>800</sub> except for 35%–60% of FC ( $p < 0.01$ , Figs. 2g and 2h). Larger  $P_n$ ,  $g_s$ ,  $C_i$  and  $T_r$  of *Q.*  
272 *variabilis* was significantly presented than that of *P. orientalis* ( $p < 0.01$ , Fig. 2).

### 273 3.2 $\delta^{13}\text{C}$ of water-soluble compounds in leaves

274 To observe the photosynthetic traits of the two saplings, the same leaf was frozen immediately and the  
275 water-soluble compounds (WSCs) were extracted for all orthogonal treatments.  $\delta^{13}\text{C}_{\text{WSC}}$  ( $\delta^{13}\text{C}$  of water-  
276 soluble compounds from leaves) of two species both increased as soil moisture improved (Figs. 3a and  
277 3b,  $p < 0.01$ ). The average ( $\pm$ SD)  $\delta^{13}\text{C}_{\text{WSC}}$  of *P. orientalis* and *Q. variabilis* ranged from  $-27.44 \pm 0.155\%$   
278 to  $-26.71 \pm 0.133\%$ , and from  $-27.96 \pm 0.129\%$  to  $-26.49 \pm 0.236\%$ , respectively. Similarly with the  
279 photosynthetic capacity varying with increased SWC, average  $\delta^{13}\text{C}_{\text{WSC}}$  of two saplings reached their  
280 maximums at 70%–80% of FC. Together with the gradual enrichment of [CO<sub>2</sub>], average  $\delta^{13}\text{C}_{\text{WSC}}$  in two  
281 species declined while [CO<sub>2</sub>] exceeded 600 ppm ( $p < 0.01$ ). Except for C<sub>400</sub> at 50%–100% of FC,  $\delta^{13}\text{C}_{\text{WSC}}$   
282 of *P. orientalis* was significantly larger than that of *Q. variabilis* in any [CO<sub>2</sub>]  $\times$  SWC treatment ( $p < 0.01$ ,

283 Fig. 3).

### 284 3.3 Estimations of $WUE_{ge}$ and $WUE_{cp}$

285 Instantaneous water use efficiency via gas exchange ( $WUE_{ge}$ ) is calculated as  $P_n$  divided by  $T_r$ . Figure  
286 4a shows that **incremental** magnitudes of  $WUE_{ge}$  in *P. orientalis* under severe drought (i.e., 35%–45% of  
287 FC) were highest at any given  $[CO_2]$ , ranging from 90.70% to 564.65%.  **$WUE_{ge}$  in *P. orientalis* reduced  
288 as SWC increased, while they increased remarkably as  $[CO_2]$  elevated.** Compared to *P. orientalis*, trends  
289 of  $WUE_{ge}$  in *Q. variabilis* were promoted slightly at FC in  $C_{600}$  or  $C_{800}$  as **soil moistened** (Fig. 4b). The  
290 maximum of  $WUE_{ge}$  thus occurred at 35%–45% of FC in  $C_{800}$  **among** all orthogonal treatments **for *P.***  
291 ***orientalis*, as well as that for *Q. variabilis*.** Further, elevated  $[CO_2]$  enhanced the  $WUE_{ge}$  of *Q. variabilis*  
292 clearly at any SWC except that at 60%–80% of FC. **Most saplings of *P. orientalis* had greater  $WUE_{ge}$   
293 than did *Q. variabilis* between the same  $[CO_2] \times SWC$  treatments ( $p < 0.05$ ).**

294 The instantaneous water use efficiency could be determined from Eqn. (6) by the  $\delta^{13}C_{WSC}$  of leaves of  
295 two species, defined as  $WUE_{cp}$ . As illustrated in Fig. 5a,  $WUE_{cp}$  of *P. orientalis* in  $C_{600}$  or  $C_{800}$  climbed  
296 up **as water stress alleviated** beyond 50%–60% of FC, while the water threshold was 60%–70% of FC in  
297  $C_{400}$  or  $C_{500}$ . *Q. variabilis* exhibited no uniform trend of  $WUE_{cp}$  with soil wetting (Fig. 5b). Except for  
298  $C_{400}$ ,  $WUE_{cp}$  of *Q. variabilis* decreased abruptly at 50%–60% of FC, and **then** rose as soil moisture  
299 improved in  $C_{500}$ ,  $C_{600}$ , and  $C_{800}$ . In contrast to the findings **about  $WUE_{ge}$  in two species**,  $WUE_{cp}$  of *Q.*  
300 ***variabilis* was more pronounced than that of *P. orientalis* among all orthogonal treatments.**

### 301 3.4 $^{13}C$ fractionation from the site of carboxylation to cytoplasm before sugars transportation

302 We evaluated the total  $^{13}C$  fractionation from the site of carboxylation to cytoplasm by gas exchange  
303 and  $\delta^{13}C$  of water-soluble compounds from leaf measurements (Table 1), which can retrace  $^{13}C$   
304 fractionation before carboxylation transport to the twig. Comparing  $\delta^{13}C_{WSC}$  with  $\delta^{13}C_{model}$  from  
305 Eqns. (4, 7 and 8), total  $^{13}C$  fractionation of *P. orientalis* ranged from 0.0328‰ to 0.0472‰, which was  
306 smaller than that of *Q. variabilis* (0.0384‰ to 0.0466‰). The total fractionations of *P. orientalis* were  
307 magnified with soil wetting especially that was increased by 21.30%–42.04% at 35%–80% of FC from  
308  $C_{400}$  to  $C_{800}$ . Fractionation coefficients under  $C_{400}$  and  $C_{500}$  were amplified as SWC increased until 50%–  
309 60% of FC in *Q. variabilis*, whereas it was increased at 50%–80% of FC and decreased at FC under  $C_{600}$   
310 and  $C_{800}$ . Elevated  $[CO_2]$  enhanced the average fractionation effect of *P. orientalis*, while those of *Q.*  
311 ***variabilis* declined sharply from  $C_{600}$  to  $C_{800}$ . Total  $^{13}C$  fractionation in *P. orientalis* increased faster than  
312 did those of *Q. variabilis* with increased soil moisture.**

### 313 3.5 $g_m$ imposed on the interaction of $CO_2$ concentration and water stress

314 According to comparison between online leaf  $\delta^{13}C_{WSC}$  and the values of gas exchange measurements,  
315  $g_m$  over all treatments was presented in Fig. 6 (Eqns. 10-17). Significant increment trend of  $g_m$  was  
316 observed with water stress alleviated in *P. orientalis*, ranging from 0.0091–0.0690 mol  $CO_2$   $m^{-2}$   $s^{-1}$   
317 ( $p < 0.05$ ), which reached the maximums at FC under a given  $[CO_2]$ . Yet increases in  $g_m$  of *Q. variabilis*  
318 with increasing SWC become unremarkable except that under  $C_{400}$ . With  $CO_2$  concentration elevated,  $g_m$   
319 of two species was increased in different degrees. Comparing with *P. orientalis* under  $C_{400}$ ,  $g_m$  was  
320 increased gradiently and reached its maximum under  $C_{800}$  at 35%–60% of FC and FC ( $p < 0.05$ ), however,  
321 that was maximized under  $C_{600}$  ( $p < 0.05$ ) and slipped down under  $C_{800}$  at 60%–80% of FC. The maximum  
322 increment magnitude of  $g_m$  (8.2%–58.4%) occurred at  $C_{800}$  at any given SWC in *Q. variabilis*. It is  
323 evidently shown that  $g_m$  of *Q. variabilis* was larger than that of *P. orientalis* in the same treatment.

### 324 3.6 The contribution of post-carboxylation fractionation

325 Here, the difference between  $\Delta_i$  and  $\Delta_{obs}$  presented the  $^{13}\text{C}$  fractionation derived from mesophyll  
326 conductance. So the post-photosynthetic fractionation after carboxylation can be calculated by  
327 subtracting the fractionation derived from mesophyll conductance from the total  $^{13}\text{C}$  fractionation that is  
328 generated from the site of carboxylation to cytoplasm before sugars transportation (Table 1). The  
329 fractionation from  $g_m$  had less contribution to total  $^{13}\text{C}$  fractionation than that from synthesis of sugars  
330 belong to post-carboxylation fractionation in any given treatment (Table 1). The contributions of  
331 fractionation from  $g_m$  with two species were illustrated different variations with soil water increasing,  
332 which declined at 50%–80% of FC and rose up at FC in *P. orientalis*, yet it was shown increasing with  
333 water stress alleviated at 50%–80% of FC and then decreased at FC in *Q. variabilis*. Nevertheless, the  
334 fractionations from synthesis of sugars in leaf and these contributions to total fractionation were all  
335 increased as soil moistened with two species. Considering the effects of enriched  $[\text{CO}_2]$  on fractionations  
336 of mesophyll conductance, the fractionation from mesophyll conductance reached its average peak under  
337  $\text{C}_{600}$  in *P. orientalis*, which occurred under  $\text{C}_{800}$  with *Q. variabilis*. Post-photosynthetic fractionations  
338 were increased along with  $[\text{CO}_2]$  elevated in *P. orientalis*, which reached those maximums under  $\text{C}_{600}$   
339 and then slipped down differing in degrees under  $\text{C}_{800}$ .

### 340 3.7 Relationship between $g_s$ , $g_m$ and total $^{13}\text{C}$ fractionation

341 Stoma is the conduit between the plant and atmosphere. Total  $^{13}\text{C}$  fractionation after carboxylation  
342 may be correlated with resistances derived from stomata and mesophyll cells. Here, we performed linear  
343 regressions between  $g_s/g_m$  and total  $^{13}\text{C}$  fractionation coefficient for *P. orientalis* and *Q. variabilis*,  
344 respectively (Fig. 7 and 8). It was apparent that total  $^{13}\text{C}$  fractionation coefficient was linearly dependent  
345 on the  $g_s$  ( $p < 0.05$ ), which controls the exchange of  $\text{CO}_2$  and  $\text{H}_2\text{O}$ , and responds to environmental variation.  
346 Subsequently, it was shown the linear relationships between  $g_m$  and the total  $^{13}\text{C}$  fractionation coefficient,  
347 reflecting variation of  $\text{CO}_2$  concentration through the chloroplast was correlated with the carbon  
348 discrimination happened after photosynthesis in the leaf.

## 349 4 Discussion

### 350 4.1 Photosynthetic traits

351 The exchange of  $\text{CO}_2$  and water vapor via stomata is modulated in part by the soil or leaf water  
352 potential (Robredo et al., 2010). Saplings of *P. orientalis* reached their maximums of  $P_n$  and  $g_s$  at 70%–  
353 80% of FC under any  $[\text{CO}_2]$ . As SWC exceeded the water threshold, elevated  $\text{CO}_2$  caused a greater  
354 reduction in  $g_s$ , as has been reported for barley and wheat (Wall et al., 2011). Further, Maximal  $g_s$  of *Q.*  
355 *variabilis* in  $\text{C}_{400}$ ,  $\text{C}_{500}$ ,  $\text{C}_{600}$ , and  $\text{C}_{800}$  were generated successively as soil moisture increased, indicating  
356 that relative drought can stimulate the stomata which are more sensitive to environmental changes. In  
357 addition,  $C_i$  of *Q. variabilis* peaked at 60%–70% of FC and followed declines as soil moisture increased  
358 (Wall et al., 2006; Wall et al., 2011). This is interpreted as stomata having the tendency to maintain a  
359 constant  $C_i$  or  $C_i/C_a$  when ambient  $[\text{CO}_2]$  increases, which would determine the  $\text{CO}_2$  used directly in  
360 chloroplast (Yu et al., 2010). On the basis of theories (Farquhar and Sharkey, 1982) and common  
361 experimental technologies (Xu, 1997), this could be explained as the stomatal limitation. However,  $C_i$  of  
362 *P. orientalis* was increased considerably while SWC exceeded 70%–80% of FC, as found by Mielke et  
363 al. (2000). One factor that can account for that is plants close their stomata to reduce intensive loss of  
364 water during the synthesis of organic matter, simultaneously decreasing the availability of  $\text{CO}_2$  and  
365 generating respiration of organic matter (Robredo et al., 2007). Another explanation is the limited root  
366 volume in potted experiments may not be able to absorb sufficient water to support full growth of shoots

367 (Leakey et al., 2009; Wall et al., 2011). In our study, further increasing [CO<sub>2</sub>] may cause nonstomatal  
368 limitation as SWC exceeding the threshold (70%–80% of FC), i.e., accumulation of nonstructural  
369 carbohydrates in leaf tissue that induces mesophyll-based and/or biochemical-based transient inhibition  
370 of photosynthetic capacity (Farquhar and Sharkey, 1982). Xu and Zhou (2011) developed a five-level  
371 SWC gradient to examine the effect of water on the physiological characteristics of perennial *Leymus*  
372 *chinensis*, demonstrating that there was the soil water irrigation maximum below which the plant could  
373 manage itself to adjust changing environment. Miranda Apodaca et al. (2015) also concluded that, in  
374 suitable water conditions, elevated CO<sub>2</sub> augmented CO<sub>2</sub> assimilation of herbaceous plants.

375 The  $P_n$  of the two species increased with elevated [CO<sub>2</sub>] in our study, similarly with the results from  
376 C<sub>3</sub> woody plants (Kgope et al., 2010). Further, increasing [CO<sub>2</sub>] alleviated severe drought and heavy  
377 irrigation, which verifies that photosynthetic inhibition produced by water stress or excess may be  
378 mediated by increased [CO<sub>2</sub>] (Robredo et al., 2007; Robredo et al., 2010) and meliorate the adverse  
379 effects of drought stress by decreasing plant transpiration (Kirkham, 2016; Kadam et al., 2014; Miranda  
380 Apodaca et al., 2015; Tausz Posch et al., 2013).

#### 381 4.2 Differences between WUE<sub>ge</sub> and WUE<sub>cp</sub>

382 The increments of WUE<sub>ge</sub> in *P. orientalis* and *Q. variabilis* that resulted from the combination of an  
383 increase in  $P_n$  and decrease in  $g_s$ , followed by the reduction of  $T_r$  (Figs. 2a, 2g, 2b and 2h), also were  
384 demonstrated by Ainsworth and McGrath (2010). Combining  $P_n$  and  $T_r$  of two species in the same  
385 treatment, lower WUE<sub>ge</sub> in *Q. variabilis* is obtained due to its physiological and morphological traits,  
386 such as larger leaf area, rapid growth, and higher stomatal conductance than that of *P. orientalis* (Adiredjo  
387 et al., 2014). Medlyn et al. (2001) reported that the stomatal conductance of broadleaved species is more  
388 sensitive to elevated CO<sub>2</sub> concentrations than is that of conifers. Moreover, there has been no consensus  
389 on the patterns of iWUE with related soil water states at the leaf level, although some have discussed this  
390 topic (Yang et al., 2010). The WUE<sub>ge</sub> of *P. orientalis* and *Q. variabilis* was enhanced with water drying,  
391 as presented by Parker and Pallardy (1991), DeLucia and Heckathorn (1989), and Reich et al. (1989).  
392 Leakey (2009) also concluded that the WUE of plants in drought could be increased substantially, which  
393 was shown more clearly with elevated [CO<sub>2</sub>] in this study.

394 Böggelein et al. (2012) confirmed that WUE<sub>cp</sub> was more consistent with daily mean WUE<sub>ge</sub> than was  
395 WUE<sub>phloem</sub>. The WUE<sub>cp</sub> of two species demonstrated similar variation to those of  $\delta^{13}C_{WSC}$ , which  
396 differentiated with that of WUE<sub>ge</sub>. Pons et al. (2009) reviewed that  $\Delta$  in the leaf soluble sugar is coupled  
397 tightly with dynamics in the environment integrated over a period ranging from a few hours to 1–2 d.  
398 WUE<sub>cp</sub> of our materials responded synthetically with SWC  $\times$  [CO<sub>2</sub>] gradients over cultivated days  
399 whereas WUE<sub>ge</sub> is characterized by the instantaneous state of plants to conditions. In addition, species-  
400 specific  $\delta^{13}C_{WSC}$  were observed in the same condition. Consequently, WUE<sub>cp</sub> and WUE<sub>ge</sub> have different  
401 variable curves according to treatments.

#### 402 4.3 The influence of mesophyll conductance on the fractionation after carboxylation

403 The consensus has been reached that the routine of CO<sub>2</sub> diffusion into photosynthetic site in plant  
404 includes two main procedures, which are CO<sub>2</sub> moving from ambient environment surrounding the leaf  
405 ( $C_a$ ) to the sub-stomatic cavities ( $C_i$ ) through stomata, and from there to the site of carboxylation within  
406 the chloroplast stroma ( $C_c$ ) of leaf mesophyll. The latter diffusion is defined as mesophyll conductance  
407 ( $g_m$ ) (Flexas et al., 2008). Moreover,  $g_m$  has been identified to coordinate with environmental variables  
408 at the faster rate than that of stomatal conductance (Galmés et al., 2007; Tazoe et al., 2011; Flexas et al.,  
409 2007). During our 7-day cultivations of water stress  $\times$  [CO<sub>2</sub>],  $g_m$  increased and WUE<sub>ge</sub> was decreased as

410 soil moistened, which has been verified that  $g_m$  as the important factor could improve WUE under  
411 drought pretreatment (Han et al., 2016). There has been a dispute how  $g_m$  responds to fluctuation of CO<sub>2</sub>  
412 concentration. Terashima *et al.* (2006) have confirmed that CO<sub>2</sub> permeable aquaporin, located in the  
413 plasma membrane and inner envelope of chloroplasts (Uehlein et al. 2008), could regulate the change of  
414  $g_m$ . In our study, different species has specific-special  $g_m$  responding to the gradient of [CO<sub>2</sub>].  $g_m$  of *P.*  
415 *orientalis* were significantly reduced by 9.08%-44.42% as [CO<sub>2</sub>] rising from 600 to 800 ppm at 60%-80%  
416 of FC, being similar to the results obtained by Flexas *et al.* (2007). Although larger  $g_m$  of *Q. variabilis*  
417 under C<sub>800</sub> was observed, it made almost no difference.

418 Furthermore,  $g_m$  contributed to the <sup>13</sup>C fractionation following the carboxylation while photosynthate  
419 has not been transported to the twigs of plant. The <sup>13</sup>C fractionation of CO<sub>2</sub> from air surrounding leaf to  
420 sub-stomatal cavity may be simply considered, whereas the fractionation induced by mesophyll  
421 conductance from sub-stomatic cavities to the site of carboxylation in the chloroplast cannot be neglected  
422 (Pons et al., 2009; Cano et al., 2014). As estimating the post-photosynthetic fractionation in leaf, carbon  
423 discrimination generated by mesophyll conductance must be subtracted from <sup>13</sup>C fractionation from the  
424 site of carboxylation to cytoplasm before sugars transportation (the difference between  $\delta^{13}C_{WSC}$  and  
425  $\delta^{13}C_{model}$ ), which was closely associated with  $g_m$  (Fig 8,  $p < 0.05$ ). Similar variations of fractionation  
426 derived from  $g_m$  were presented with that of  $g_m$  under orthogonal tests on Table 1.

#### 427 **4.4 Post-carboxylation fractionation generated before photosynthate leaving leaves**

428 Photosynthesis, a biochemical and physiological process (Badeck et al., 2005), is characterized by  
429 discrimination against <sup>13</sup>C, which leaves an isotopic signature in the photosynthetic apparatus. There is  
430 already a classic review of the carbon-fractionation in leaves (Farquhar et al., 1989) that covers the  
431 significant aspects of photosynthetic carbon isotope discrimination. The post-photosynthetic  
432 fractionation associated with the metabolic pathways of non-structural carbohydrates (NSC; defined here  
433 as soluble sugars + starch) within leaves, and fractionation during translocation, storage, and  
434 remobilization prior to tree ring formation remain unclear (Epron et al., 2012; Gessler et al., 2014; Rinne  
435 et al., 2016). The synthetic processes of sucrose and starch before transportation to the twig are within  
436 the domain of post-carboxylation fractionation generated in leaves. Hence, we hypothesized that <sup>13</sup>C  
437 fractionation might exist. When we finished the leaf gas exchange measurements, the leaf samples were  
438 collected immediately to determine the  $\delta^{13}C$  of water-soluble compounds ( $\delta^{13}C_{WSC}$ ). Presumably, the  
439 <sup>13</sup>C fractionation generated in the synthetic processes of sucrose and starch was approximately contained  
440 within the <sup>13</sup>C fractionation from the site of carboxylation to cytoplasm before sugars transportation as  
441 total <sup>13</sup>C fractionation. When comparing  $\delta^{13}C_{WSC}$  with  $\delta^{13}C_{obs}$ , total fractionations of *P. orientalis*  
442 ranged from 0.0328‰ to 0.0472‰, less than that of *Q. variabilis* (from 0.0384‰ to 0.0466‰). Then  
443 total <sup>13</sup>C fractionation subtracted by fractionation derived from mesophyll conductance, post-  
444 photosynthetic fractionation occupied 75.30%-98.9% of total <sup>13</sup>C fractionation. Recently, Gessler et al.  
445 (2004) reviewed the environmental drivers of variation in photosynthetic carbon isotope discrimination  
446 in terrestrial plants. The <sup>13</sup>C fractionation of *P. orientalis* were enhanced by soil moistening, consistent  
447 with that of *Q. variabilis*, except at FC. The <sup>13</sup>C isotope signature of *P. orientalis* was dampened by  
448 elevated [CO<sub>2</sub>]. Yet, <sup>13</sup>C-depletion was weakened in *Q. variabilis* in C<sub>600</sub> and C<sub>800</sub>. Linear regression  
449 between  $g_s$  and total <sup>13</sup>C fractionation coefficient indicated that the post-carboxylation fractionation in  
450 leaves depended on the variation of  $g_s$  and stomata aperture correlated with environmental change.

#### 451 **5 Conclusions**

452 Through orthogonal treatments of four  $[CO_2]$   $\times$  five SWC,  $WUE_{cp}$  calculated by  $\delta^{13}C$  of water-  
453 soluble compound and  $WUE_{ge}$  derived from simultaneous leaf gas exchange for leaves were estimated  
454 to differentiate the  $\delta^{13}C$  signal variation before leaf-exported translocation of primary assimilates. **The**  
455 **influence of mesophyll conductance on the difference of  $^{13}C$  fractionation between the sub-stomatic**  
456 **cavities and the ambient environment need to be considered, while testing the hypothesis that the post-**  
457 **carboxylation will contribute to the  $^{13}C$  fractionation from the site of carboxylation to cytoplasm before**  
458 **sugars transportation.** In response to the interactive effects of  $[CO_2]$  and SWC,  $WUE_{ge}$  of the two species  
459 of saplings both decreased with soil moistening, and increased with elevated  $[CO_2]$  at 35%–80% of FC.  
460 We concluded that relative soil drying, coupled with elevated  $[CO_2]$ , could improve  $WUE_{ge}$  by  
461 strengthening photosynthetic capacity and reducing transpiration.  $WUE_{ge}$  of *P. orientalis* was  
462 significantly greater than was that of *Q. variabilis*, while the opposite was the case for  $WUE_{cp}$  in **two**  
463 **species. Mesophyll conductance and post-photosynthesis were manifested both contributing to the  $^{13}C$**   
464 **fractionation from the site of carboxylation to cytoplasm before sugars transportation determined by gas**  
465 **exchange and carbon isotopic measurements. Rising  $[CO_2]$  and/or soil moistening generated increasing**  
466 **disparities between  $\delta^{13}C_{WSC}$  and  $\delta^{13}C_{model}$  in *P. orientalis*; nevertheless, the differences between**  
467  **$\delta^{13}C_{WSC}$  and  $\delta^{13}C_{model}$  in *Q. variabilis* increased as  $[CO_2]$  being less than 600 ppm and/or water stress**  
468 **was alleviated. Total  $^{13}C$  fractionation in leaf was linearly dependent on  $g_s$ . With respect to carbon**  
469 **fractionation in post-carboxylation and transportation processes, we cannot neglect that the instantaneous**  
470 **water use efficiency derived from the synthesis of sucrose and starch were influenced inevitably by**  
471 **environmental changes. Thus, cautious descriptions of the magnitude and environmental dependence of**  
472 **apparent post-carboxylation fractionation are worth our attention in photosynthetic fractionation.**

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673 **Author contribution**

674 Na Zhao and Yabing He collected field samples, and performed the experiment. Na Zhao engaged in data  
675 analysis and writing this paper. Ping Meng proposed the suggestions on the theory and practice of  
676 experiment. Xinxiao Yu revised the paper and contributed to edit the manuscript.

677

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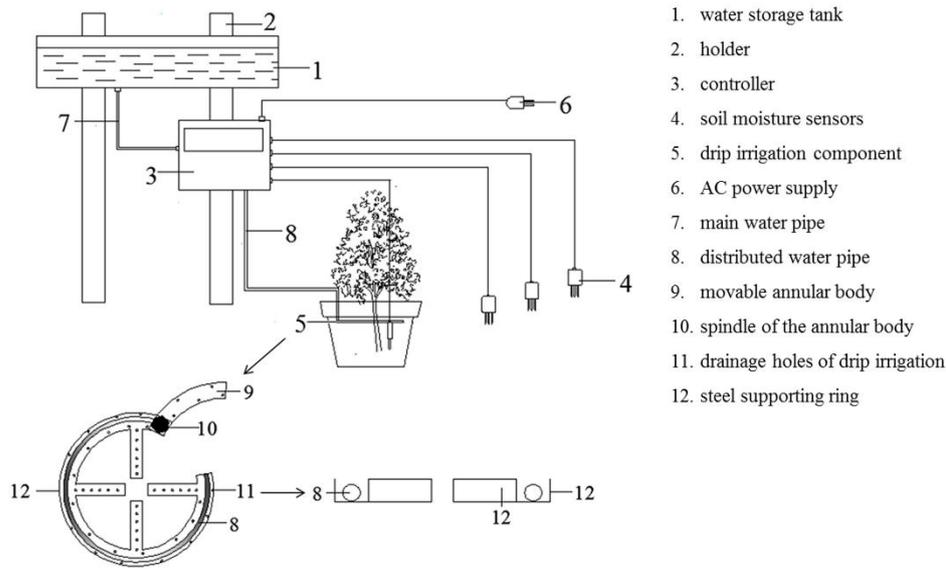
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Figure



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702 **Figure 1.** Structural diagram of the device for automatic drip irrigation

703 Arabic numerals indicate the individual parts of the automatic drip irrigation device (No. 1–7). The  
 704 lower-left corner of this figure presents the detailed schematic for the drip irrigation components (No. 8–  
 705 12). The lower-right corner of this figure shows the schematic for the drip irrigation component in profile.

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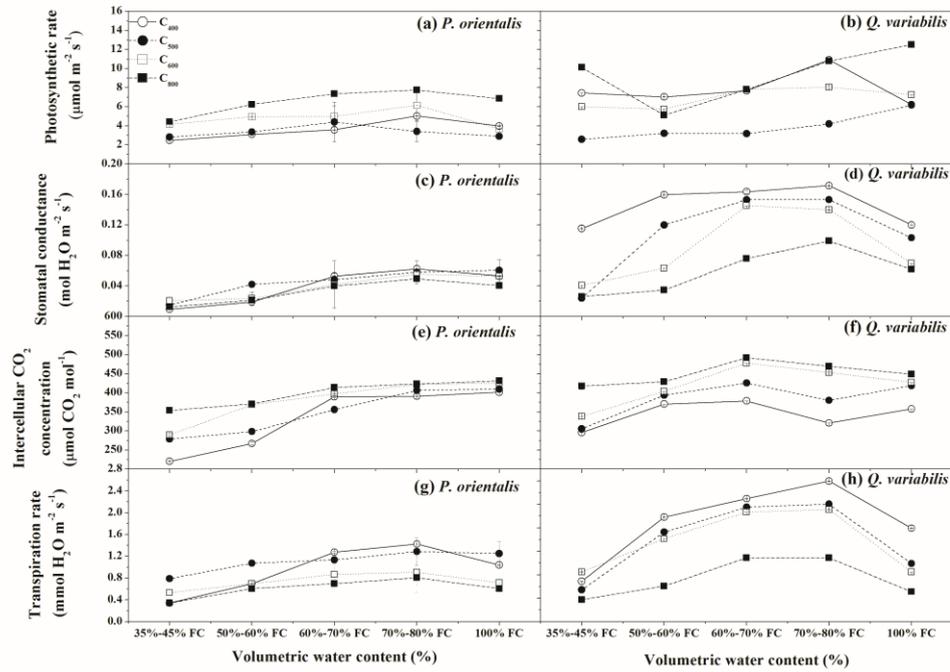
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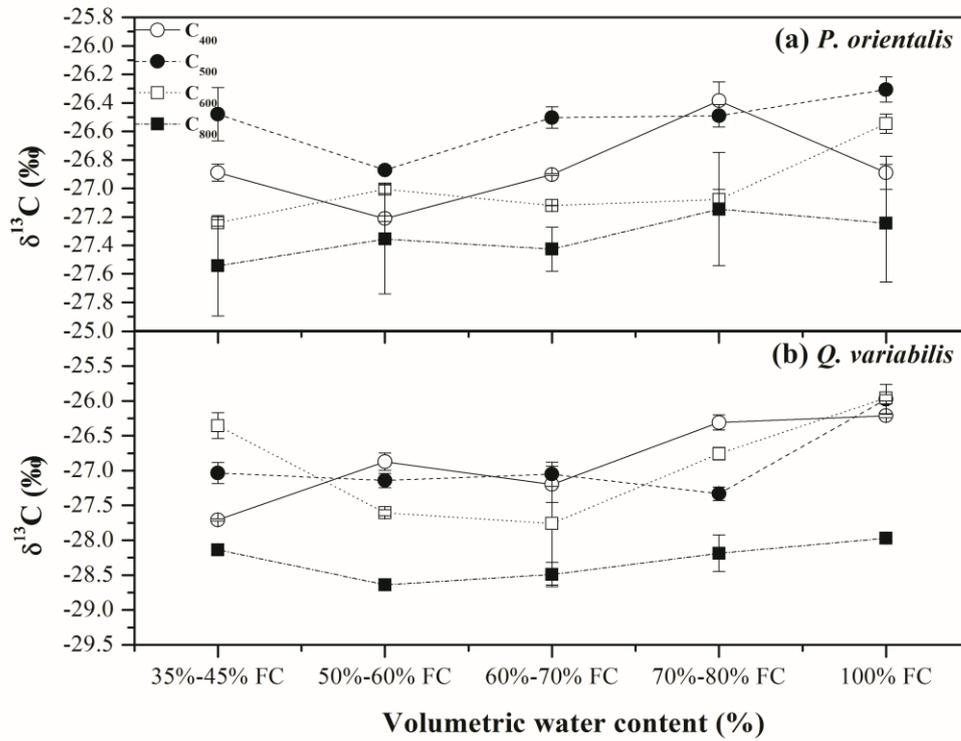
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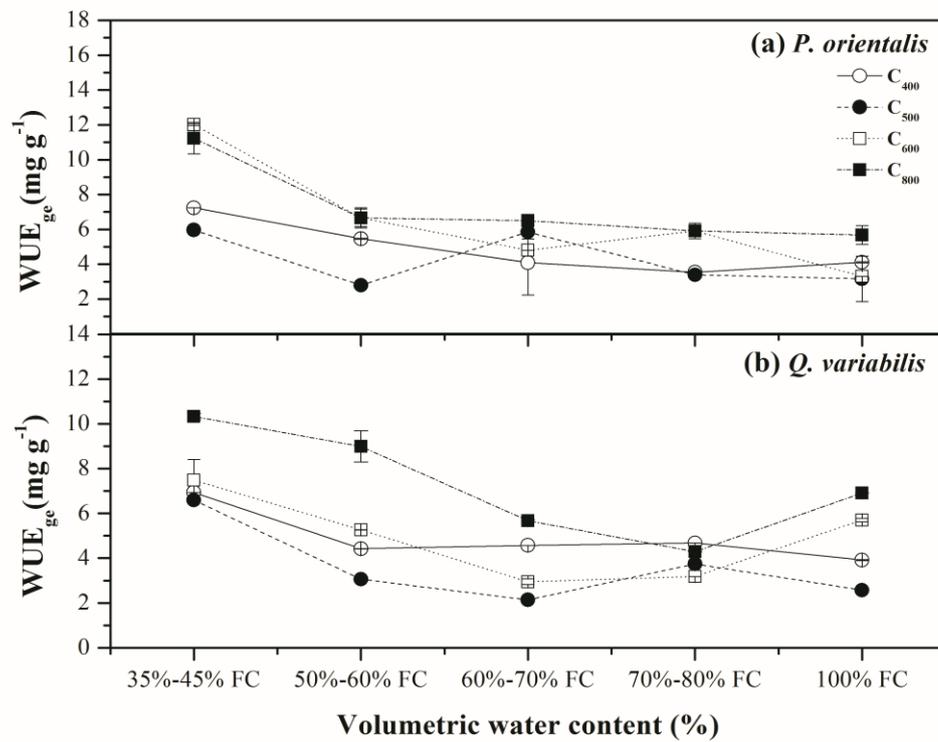
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716 **Figure 2.** Photosynthetic parameters of *P. orientalis* and *Q. variabilis* saplings in CO<sub>2</sub> concentrations of  
 717 400 ppm, 500 ppm, 600 ppm and 800 ppm across five soil volumetric water contents. The net  
 718 photosynthetic rates ( $P_n$ ,  $\mu\text{mol m}^{-2} \text{s}^{-1}$ ), stomatal conductance ( $g_s$ ,  $\text{mol H}_2\text{O m}^{-2} \text{s}^{-1}$ ), intercellular CO<sub>2</sub>  
 719 concentration ( $C_i$ ,  $\mu\text{mol CO}_2 \text{mol}^{-1}$ ), and transpiration rates ( $T_r$ ,  $\text{mmol H}_2\text{O m}^{-2} \text{s}^{-1}$ ) are shown in Figs.  
 720 2a and 2b, 2c and 2d, 2e and 2g, and 2g and 2h, respectively. Means  $\pm$ SDs, n = 32.



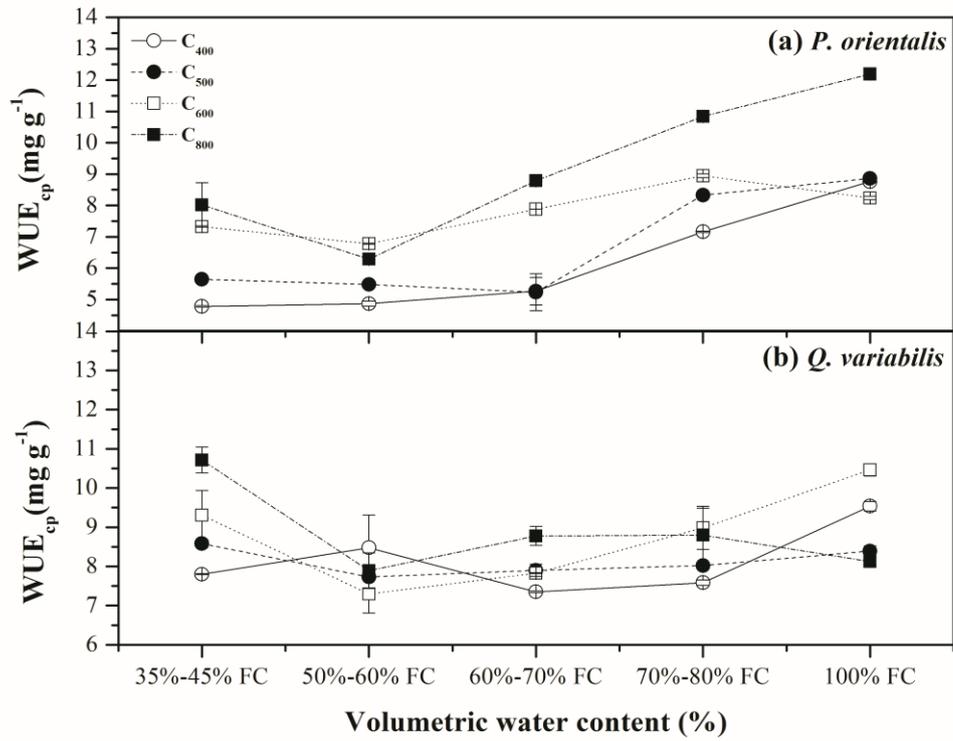
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722 **Figure 3.**  $\delta^{13}\text{C}$  of water-soluble compounds extracted from leaves of *P. orientalis* and *Q. variabilis*  
 723 cultivated in  $\text{CO}_2$  concentrations of 400 ppm, 500 ppm, 600 ppm and 800 ppm across five soil volumetric  
 724 water contents are shown in Figs. 3a and 3b. Means  $\pm$ SDs, n = 32.



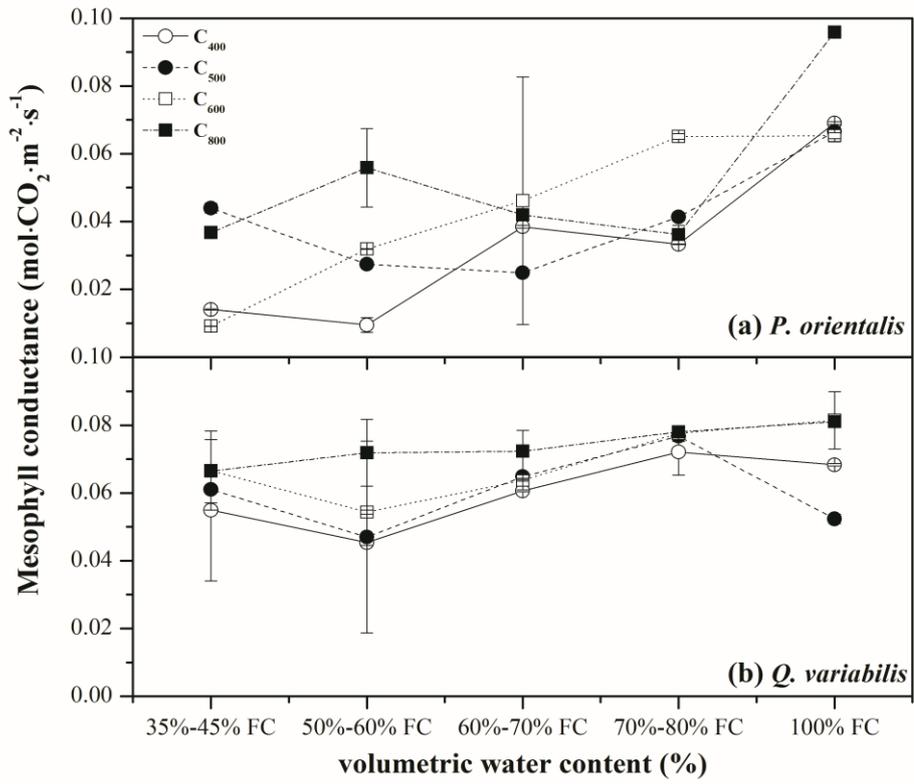
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726 **Figure 4.** Instantaneous water use efficiency through gas exchange ( $WUE_{ge}$ ) in leaves of *P. orientalis*  
 727 and *Q. variabilis* cultivated in  $CO_2$  concentrations of 400 ppm, 500 ppm, 600 ppm and 800 ppm across  
 728 five soil volumetric water contents are shown in Figs. 4a and 4b. Means  $\pm$  SDs,  $n = 32$ .



729

730 **Figure 5.** Instantaneous water use efficiency through  $\delta^{13}\text{C}$  of water-soluble compounds (WUE<sub>cp</sub>) in  
 731 leaves of *P. orientalis* and *Q. variabilis* cultivated in CO<sub>2</sub> concentrations of 400 ppm, 500 ppm,  
 732 and 800 ppm across five soil volumetric water contents are shown in Figs. 5a and 5b. Means  $\pm$  SDs, n =  
 733 32.



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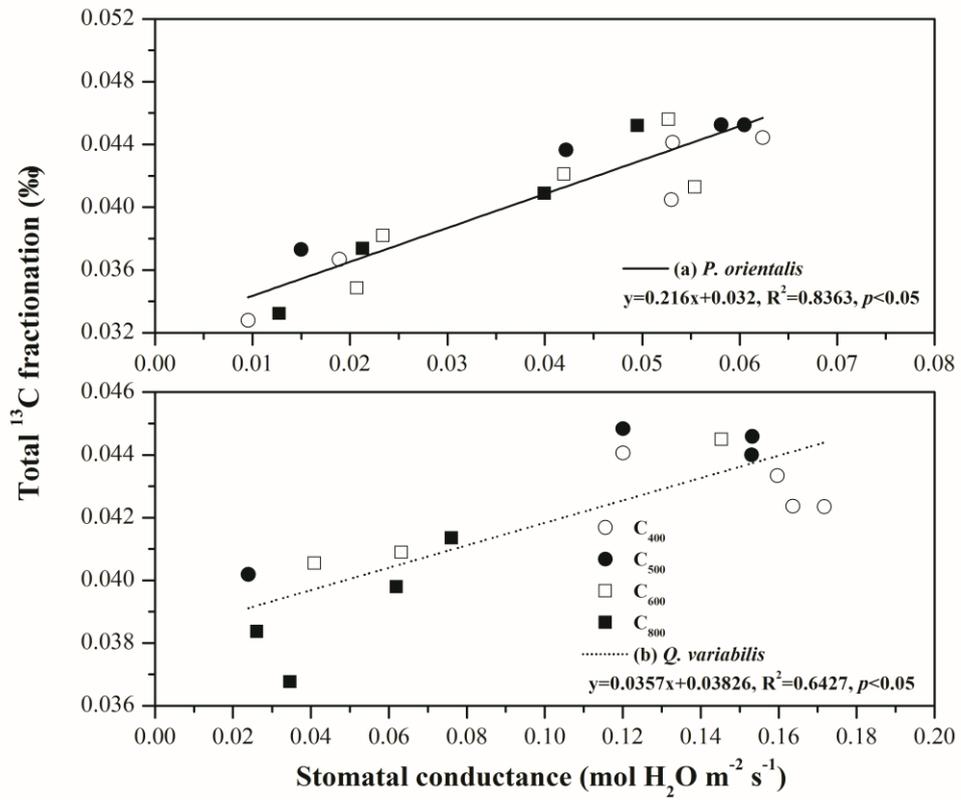
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**Figure 6.** Variations in mesophyll conductance of *P. orientalis* and *Q. variabilis* cultivated in  $\text{CO}_2$  concentrations of 400 ppm, 500 ppm, 600 ppm, and 800 ppm across five soil volumetric water contents

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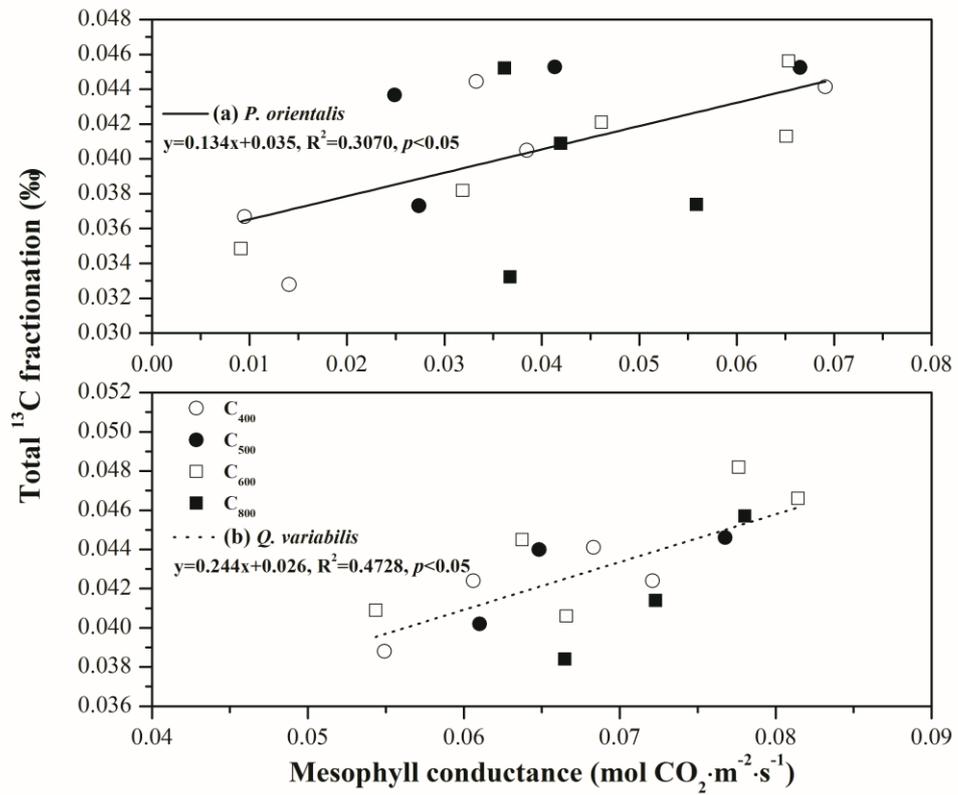
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are shown in Figs. 6a and 6b. Means  $\pm$  SDs, n = 32.



738

739 **Figure 7.** Regression between stomatal conductance and total <sup>13</sup>C fractionation of *P. orientalis* and *Q.*  
 740 *variabilis* under four CO<sub>2</sub> concentrations × five soil volumetric water contents are established in Figs.  
 741 7a and 7b.  $p=0.05$ ,  $n = 32$ .



742

743 **Figure 8.** Regression between mesophyll conductance and total  $^{13}\text{C}$  fractionation of *P. orientalis* and *Q.*  
 744 *variabilis* under four  $\text{CO}_2$  concentrations  $\times$  five soil volumetric water contents are established in Figs.  
 745 8a and 8b.  $p=0.05$ ,  $n = 32$ .

746

**Table**747 **Table 1.**  $^{13}\text{C}$  fractionation of *P. orientalis* and *Q. variabilis* under four  $\text{CO}_2$  concentrations  $\times$  five soil volumetric water contents.

Species	SWC (of FC)	$\text{CO}_2$ concentration (ppm)													
		$^{13}\text{C}$				$^{13}\text{C}$									
		400	500	600	800	fractionation (‰)	400	500	600	800	fractionation (‰)	400	500	600	800
<i>P. orientalis</i>	35%–45%	0.0328	0.0373	0.0349	0.0332		0.0081	0.0030	0.0034	0.0072		0.0247	0.0343	0.0315	0.0260
	50%–60%	0.0367	0.0437	0.0382	0.0374		0.0018	0.0058	0.0094	0.0004		0.0349	0.0379	0.0288	0.0370
	60%–70%	0.0405	0.0366	0.0421	0.0409		0.0018	0.0050	0.0026	0.0007		0.0387	0.0316	0.0395	0.0402
	70%–80%	0.0444	0.0453	0.0413	0.0452		0.0044	0.0052	0.0103	0.0013		0.0400	0.0401	0.0310	0.0439
	100%	Total $^{13}\text{C}$ fractionation (‰)	0.0441	0.0453	0.0456	0.0472	Mesophyll conductance	0.0057	0.0040	0.0025	0.0039	Post- photosynthesis	0.0384	0.0413	0.0431
<i>Q. variabilis</i>	35%–45%	0.0388	0.0402	0.0406	0.0384		0.0007	0.0025	0.0006	0.0091		0.0381	0.0377	0.0400	0.0293
	50%–60%	0.0433	0.0448	0.0409	0.0368		0.0061	0.0084	0.0023	0.0018		0.0372	0.0364	0.0386	0.0350
	60%–70%	0.0424	0.0440	0.0445	0.0414		0.0066	0.0086	0.0078	0.0041		0.0358	0.0354	0.0367	0.0373
	70%–80%	0.0424	0.0446	0.0482	0.0457		0.0034	0.0016	0.0074	0.0028		0.0390	0.0430	0.0408	0.0429
	100%		0.0441	0.0466	0.0466	0.0398		0.0027	0.0076	0.0022	0.0125		0.0414	0.0390	0.0444

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