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TERRESTRIAL ECOSYSTEM PRODUCTION: A  
PROCESS MODEL BASED ON GLOBAL  
SATELLITE AND SURFACE DATA

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**Abstract.** This paper presents a modeling approach aimed at seasonal resolution of global climatic and edaphic controls on patterns of terrestrial ecosystem production and soil microbial respiration. We use satellite imagery (Advanced Very High Resolution Radiometer and International Satellite Cloud Climatology Project solar radiation), along with historical climate (monthly temperature and precipitation) and soil attributes (texture, C and N contents) from global (1°) data sets as model inputs. The Carnegie-Ames-Stanford approach (CASA) Biosphere model runs on a monthly time interval to simulate seasonal patterns in net plant carbon fixation, biomass and nutrient allocation, litterfall, soil nitrogen mineralization, and microbial CO<sub>2</sub> production. The model estimate of global terrestrial net primary production is 48 Pg C yr<sup>-1</sup> with a maximum light use efficiency of 0.39 g C MJ<sup>-1</sup> PAR. Over 70% of terrestrial net production takes

place between 30° N and 30° S latitude. Steady state pools of standing litter represent global storage of around 174 Pg C (94 and 80 Pg C in nonwoody and woody pools, respectively), whereas the pool of soil C in the top 0.3 m that is turning over on decadal time scales comprises 300 Pg C. Seasonal variations in atmospheric CO<sub>2</sub> concentrations from three stations in the Geophysical Monitoring for Climate Change Flask Sampling Network correlate significantly with estimated net ecosystem production values averaged over 50°-80° N, 10°-30° N, and 0°-10° N.

## INTRODUCTION

The amount of carbon fixed annually via terrestrial net primary productivity (NPP) or released by soil microbial respiration ( $R_s$ ) is about an order of magnitude greater than the annual increase in atmospheric carbon dioxide (CO<sub>2</sub>) levels due to fossil fuel combustion [Ajtay, 1979; Houghton et al., 1992]. Seasonal changes in the balance between photosynthetic carbon fixation by land plants and microbial respiration are of a size sufficient to drive the intra-annual oscillation of atmospheric CO<sub>2</sub> concentration [Bacastow et al., 1985; Houghton, 1987]. Either carbon fixation or respiration could be affected substantially by components of global change (e.g., warming or elevated CO<sub>2</sub> concentrations), which raises the possibility of long-term modifications in the carbon balance of terrestrial ecosystems [Rastetter et al., 1991; Mooney et al., 1991] and feedbacks to global biogeochemistry and radiative forcing.

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Most ecosystem-level understanding about the magnitude of  $\text{CO}_2$  exchange with the terrestrial biosphere is based on correlations between measured fine-scale fluxes and climate characteristics [Friedlingstein et al. 1992; Raich and Schlesinger, 1992]. Satellite remote sensing can be used to extend this information; for example, the normalized difference vegetation index (NDVI) from the advanced very high resolution radiometer (AVHRR) has been used to estimate NPP and seasonal exchange of  $\text{CO}_2$  between the atmosphere and the terrestrial biosphere [Tucker et al., 1986; Fung et al., 1987; Heimann and Keeling, 1989].

Many of the fundamental questions about the global carbon cycle can be addressed using simulation models that operate on a scale that links remote sensing, spatial data bases of climate and soils, and mechanistic understanding of atmosphere-plant-soil biogeochemistry. In this paper, we describe the development and application of the Carnegie-Ames-Stanford approach (CASA) Biosphere model for study of the terrestrial carbon cycle. Our overall objective was to characterize fixation and release of  $\text{CO}_2$  using spatially ( $1^\circ$  latitude-longitude) and temporally (monthly) resolved predictions of steady state net ecosystem production (NEP), the difference between NPP and  $R_s$ .

#### MODELING APPROACH

The model runs on a monthly time interval to simulate seasonal patterns in net plant carbon fixation, biomass and nutrient allocation, litterfall, soil nitrogen mineralization, and  $\text{CO}_2$  production. A

schematic representation of data input and ecosystem model integration is shown in Figure 1. Our fundamental approach was to define optimal metabolic rates for major ecosystem biogeochemical processes and to adjust these spatially uniform variables using unitless scalars related to the effects of air temperature, predicted soil moisture, litter substrate quality (N and lignin contents), soil texture, and land use. The coupled plant production and soil microbial respiration components of the model are regulated by a common soil moisture submodel. The model's NPP component is based on the concept of light-use efficiency explored by Monteith [1972, 1977]. The soil component simulates carbon and nitrogen cycling using a set of compartmental difference equations with a structure comparable to a somewhat simplified version of the CENTURY model [Parton et al., 1987, 1988]. Model input and state variables are stored as raster map arrays in a geographic information system (GIS). Major variables are defined in the appendix.

#### GLOBAL DATA SETS

All global data sets used as inputs to the model (Table 1) were resampled (if necessary) to a  $1^\circ \times 1^\circ$  spatial resolution. Specific data sources are described in the following paragraphs.

#### *Vegetation Index*

We used monthly NDVI-FASIR (defined below) data sets for 1987 processed by Los et al. [1993] and Sellers et al. [1993]. This FASIR product includes a

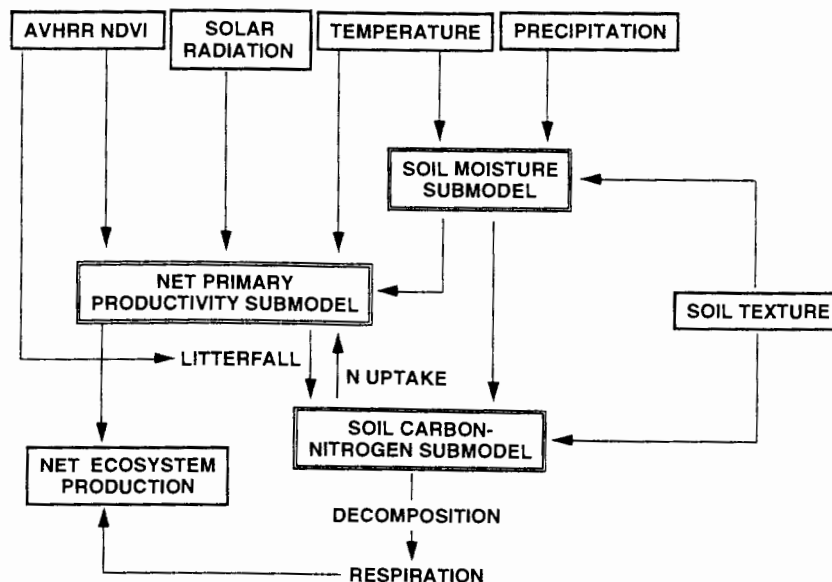


Fig. 1. Model integration framework. Global climate data sets are combined with soil texture settings to compute the monthly water balance, which controls NPP and soil microbial activity.

TABLE 1. Global Geographic Data Sets Used the Model

| Name     | Attributes                            | Source <sup>a</sup> | Resolution <sup>b</sup> | Reference                            |
|----------|---------------------------------------|---------------------|-------------------------|--------------------------------------|
| TEMP/PPT | Monthly temperature and precipitation | IIASA               | 0.5°x0.5°               | Leemans and Cramer [1990]            |
| SOLAR    | Monthly 1987 solar radiation          | GISS                | 5°x5°                   | Bishop and Rossow [1991]             |
| NDVI     | Monthly 1987 FAS/FASIR                | GSFC                | 1°x1°                   | Los et al. [1993]                    |
| SIBVEG   | Vegetation types                      | GSFC                | 1°x1°                   | Dorman and Sellers [1989]            |
| GZTEX    | FAO soil texture groups               | GISS                | 1°x1°                   | Zobler [1986]                        |
| SOILC    | Soil carbon densities                 | ARC/IIASA           | 0.5°x0.5°               | Post et al. [1985]<br>Leemans [1990] |
| SOILN    | Soil nitrogen densities               | ARC/IIASA           | 0.5°x0.5°               | Post et al. [1985]<br>Leemans [1990] |

<sup>a</sup>Institutional sources of geographic data sets: ARC, NASA Ames Research Center, Moffett Field, California; GISS, NASA Goddard Institute for Space Studies, New York, New York; GSFC, NASA Goddard Space Flight Center, Greenbelt, Maryland; and IIASA, International Institute for Applied Systems Analysis, Laxenburg, Austria.

<sup>b</sup>Original resolution of gridded data.

Fourier adjustment (FA) to eliminate many effects of cloud contamination, a solar zenith angle correction (S), an interpolation (I) to prevent boreal forests from dropping to zero during winter months, and a reconstruction (R), in which all monthly values for evergreen tropical forests are held at the yearly maximum for those pixels. The reconstruction step eliminates further cloud interference that is characteristic of AVHRR-global area coverage (GAC) data for areas with frequent convective cloudiness. To identify the month of maximum NDVI and for estimation of the timing of litterfall, we used the FAS product which does not include I and R treatments.

#### Radiation

Solar radiation ( $\text{W m}^{-2} \text{ mo}^{-1}$ ) data sets used in the model were computed surface irradiance from the International Satellite Cloud Climatology Project (ISCCP) [Bishop and Rossow, 1991]. They combine estimates of atmospheric optical depth from the ISCCP with calculations from a simplified general circulation model (GCM) transfer scheme to estimate monthly surface irradiance. These data have an accuracy of  $9 \text{ W m}^{-2}$  on a daily basis and less than 4% bias in the 17-day mean relative to ground measurements.

#### Climate

The historical climate data sets we used were compiled by Leemans and Cramer [1990], who included stations with at least five years of

observations during period 1930-1960. Leemans and Cramer [1990] corrected the temperatures for altitude by combination of an estimated adiabatic lapse rate with global topographic coverage. The coverage quality of the data is considered best for Europe, North America, East Asia and Japan. We interpolated the data from Leemans and Cramer [1990] from their original  $0.5^\circ \times 0.5^\circ$  resolution to  $1^\circ \times 1^\circ$  using bi-directional splining.

#### Vegetation Characterization

We used the characterization of vegetation type from Dorman and Sellers [1989], modified as described in Sellers et al. [1993]. It is a simplified physiognomic classification based on the world vegetation classes of Kuchler [1983] and the land use database of Matthews [1984, 1985]. We use this classification system in the CASA model for two reasons: (1) It aggregates to a manageable number (12) of vegetation classes; and (2) Unlike other vegetation classification systems which are oriented toward ecologically based descriptions of the plant cover, the Dorman and Sellers [1989] classification is based on plant energy balance and life form dynamics, as these are most useful for coupling the land surface with atmospheric chemistry and physics. Areal extent and latitude zone distributions of the 12 vegetation classes are shown in Table 2.

#### Soil Type and Texture

Our model used the FAO/UNESCO [1971] Soil Map of the World (SMW) for characterization of soil

TABLE 2. Areas and Distributions of Global Vegetation Classes

| Class | Description                      | n     | Area,<br>$10^6 \text{ km}^2$ | %Land<br>Cover | Latitude Zone Distribution (% Cover) |       |            |      |       |
|-------|----------------------------------|-------|------------------------------|----------------|--------------------------------------|-------|------------|------|-------|
|       |                                  |       |                              |                | North, deg                           |       | South, deg |      |       |
|       |                                  |       |                              |                | 90-60                                | 60-30 | 30-0       | 0-30 | 30-60 |
| 1     | Broadleaf evergreen trees        | 1433  | 17.4                         | 11.7           | 0                                    | 1     | 46         | 53   | 0     |
| 2     | Broadleaf deciduous trees        | 258   | 2.3                          | 1.5            | 0                                    | 75    | 14         | 0    | 11    |
| 3     | Broadleaf and needleleaf trees   | 487   | 3.9                          | 2.6            | 6                                    | 85    | 0          | 1    | 7     |
| 4     | Needleleaf evergreen trees       | 2156  | 14.9                         | 10.0           | 37                                   | 59    | 3          | 0    | 1     |
| 5     | Needleleaf deciduous trees       | 1117  | 6.2                          | 4.2            | 74                                   | 26    | 0          | 0    | 0     |
| 6     | Broadleaf trees with groundcover | 1582  | 18.2                         | 12.2           | 1                                    | 14    | 27         | 55   | 3     |
| 7     | Perennial grasslands             | 951   | 10.5                         | 7.0            | 2                                    | 28    | 36         | 30   | 3     |
| 8     | Broadleaf shrubs with grasslands | 194   | 2.3                          | 1.5            | 0                                    | 14    | 21         | 56   | 9     |
| 9     | Broadleaf shrubs with bare soil  | 911   | 9.5                          | 6.4            | 0                                    | 45    | 24         | 15   | 15    |
| 10    | Tundra                           | 1252  | 6.0                          | 4.0            | 92                                   | 8     | 0          | 0    | 0     |
| 11    | Bare soil and desert             | 1589  | 16.0                         | 10.7           | 12                                   | 24    | 53         | 10   | 0     |
| 12    | Cultivation                      | 2783  | 26.4                         | 17.7           | 0                                    | 67    | 15         | 6    | 12    |
| 13    | Ice                              | 7384  | 15.5                         | 10.4           |                                      |       |            |      |       |
| Total |                                  | 22097 | 149.0                        | 100.0          |                                      |       |            |      |       |

texture classes and their associated particle size distributions (Table 3). Data used to construct the SMW has been assembled from actual soil surveys (21% of global coverage); field reconnaissance of topography, geology, vegetation and climatic data (40% of global coverage); and general information from the local literature (39% of global coverage) [Gardiner, 1982]. Substantial disparities in the reliability of soil type classification have been identified over areas of tropical Central and South America and Africa [Gardiner, 1982; Richter and Babbar, 1991].

#### Soil Carbon and Nitrogen Contents

We created global gridded data sets by mapping Holdridge [1967] life zone soil C and N content ( $\text{g m}^{-3}$ ) averages reported by Post et al. [1985] to their corresponding life zone categories produced by Leemans [1990]. Spatial interpolation of the resulting data sets from  $0.5^\circ$  to  $1.0^\circ$  latitude/longitude was accomplished using bi-directional splining, preceded by nearest-neighbor fill to conserve land-water boundary elements. Soil profiles used in this data set were all from natural vegetation and excluded wetlands. Post et al. [1985] considered coverage of the original data to be best for tropical and cool temperate forests; coverage is poorer over extremely wet areas, dry tundra, dry boreal and warm desert life zones.

#### Other Variable Definitions

Ranges of certain other model variables were estimated from the literature, as discussed below.

These include leaf:root:wood C and N allocation ratios, litter and soil organic matter decomposition rates, and C assimilation efficiency of microbes. To simplify interpretations in this version of the model, we set spatially uniform values for most of these variables. As part of the modeling process, uniform rate constants related to photosynthesis and microbial respiration fluxes are adjusted for temporally and spatially resolved stress effects.

#### MODEL STRUCTURE

##### Net Primary Productivity

New production of plant biomass (NPP) at a grid cell ( $x$ ) in month  $t$  is a product of intercepted photosynthetically active radiation (IPAR) and a light utilization efficiency ( $\epsilon$ ) that is modified by temperature and soil moisture (equation (1)). Neither IPAR nor  $\epsilon$  is dependent on ecosystem type.

$$\text{NPP}(x,t) = \text{IPAR}(x,t) \epsilon(x,t) \quad (1)$$

Monteith [1972, 1977] introduced models that estimate crop growth from IPAR. Subsequent empirical studies documented that  $\epsilon$  varies over a relatively narrow range for crop ecosystems ( $1.1 - 1.4 \text{ g C MJ}^{-1} \text{ PAR}$ ) but over a wider range for natural ecosystems [Russell et al., 1989]. Monteith's model incorporated the possibility of variation in  $\epsilon$  by making it a function of temperature, water, and nutrient stress.

IPAR is given by

TABLE 3. Soil Characteristics Estimated for FAO Texture Classes

| Class         | %Clay <sup>a</sup> | %Silt <sup>a</sup> | %Sand <sup>a</sup> | FC <sup>b</sup> | WP <sup>c</sup> | A <sup>d</sup> | B <sup>d</sup> | Soil C:N <sup>e</sup> |
|---------------|--------------------|--------------------|--------------------|-----------------|-----------------|----------------|----------------|-----------------------|
| Coarse        | 9                  | 8                  | 83                 | 0.51            | 0.20            | 0.002          | -5.48          | 16                    |
| Coarse/medium | 20                 | 20                 | 60                 | 0.46            | 0.26            | 0.002          | -6.54          | 14                    |
| Medium        | 30                 | 33                 | 37                 | 0.60            | 0.34            | 0.013          | -6.57          | 13                    |
| Medium/fine   | 48                 | 25                 | 27                 | 0.65            | 0.43            | 0.006          | -9.47          | 11                    |
| Fine          | 67                 | 17                 | 17                 | 0.62            | 0.47            | 0.004          | -13.78         | 10                    |

Organic soils were assigned to the coarse/medium texture class [Bouwman et al., 1993].

<sup>a</sup>From Zobler [1986]

<sup>b</sup>Field capacity (m) for forested grid cells; FC(x) for other vegetation types are 50% of these values. Computed based on equation (2) in the work by Saxton et al. [1986] for soil water tension greater than or equal to 10 kPa. Tension was assumed to be 33 kPa for medium to fine textures and 10 kPa for coarse textures [Papendick and Campbell, 1980].

<sup>c</sup>Wilting point (m) for forested grid cells; WP(x) for other vegetation types are 50% of these values. Computed based on equation (2) in the work by Saxton et al. [1986] for soil water tension equal to 1500 kPa.

<sup>d</sup>From Saxton et al. [1986]; used in calculation of RDR.

<sup>e</sup>On the basis of weighted average particle-size C:N values reported by Anderson et al. [1981], Hinds and Lowe [1980], and Cameron and Posner [1979].

$$\text{IPAR}(x,t) = \text{SOL}(x,t) \text{ FPAR}(x,t) 0.5 \quad (2)$$

where SOL is the total solar radiation incident on grid cell  $x$  in month  $t$ , from the database of Bishop and Rossow [1991], FPAR is the fraction of the incoming PAR intercepted by green vegetation, and the factor of 0.5 accounts for the fact that approximately half of the incoming solar radiation is in the PAR waveband (0.4–0.7  $\mu\text{m}$ ) [McCree, 1981].

FPAR is calculated as a linear function of the AVHRR simple ratio (SR), where

$$\text{SR}(x,t) = (1 + \text{NDVI}(x,t)) / (1 - \text{NDVI}(x,t)) \quad (3)$$

A linear relationship between FPAR and SR is supported by theoretical results from Kumar and Monteith [1981], Sellers [1985, 1987], Sellers et al. [1992] and Choudhury [1987], as well as from empirical studies [Demetriades-Shah et al., 1992a]. We used the SR-FPAR relationships developed by Sellers et al. [1993] to adjust slope and intercept terms in equation (4) for aggregate ecosystem groups.

$$\text{FPAR}(x,t) = \min\left\{\frac{\text{SR}(x,t) - \text{SR}_{\min}}{\text{SR}_{\max} - \text{SR}_{\min}} - 0.95\right\} \quad (4)$$

where  $\text{SR}_{\min}$  represents SR for unvegetated land areas and is set to 1.08 for all grid cells.  $\text{SR}_{\max}$  approximates the value at which all downwelling solar radiation is intercepted and corrects for effects of canopy architecture and residual cloud contamination.  $\text{SR}_{\max}$  was computed for four aggregate ecosystem groups according to the rationale of Sellers et al. [1993]. Using the 98th percentile of SR for ecosystem groups, vegetation classes 1 and 6 were set at 4.14; classes 2 and 3 at 6.17; 4 and 5 at 5.43; 7 through 12 at 5.13. A cap of 0.95 was imposed on FPAR in order to reflect a finite upper limit to leaf area.

The NPP formulation allows for regulation in either of the terms on the right side of equation (1). Several lines of evidence indicate that most of the regulation should be in IPAR, with less in  $\epsilon$ . One line of evidence comes from surveys which indicate that NPP of many ecosystem types is highly correlated with the annual integral of NDVI [Goward et al., 1985]. Another is the constancy of  $\epsilon$  from many experimental studies of unstressed plants, plus results from several studies indicating that nutrient stress [Garcia et al., 1988] and water stress [Squire et al., 1986] have much larger effects on IPAR than on  $\epsilon$ . Field [1991] considers ecological factors that should tend to constrain investments in light harvesting (which are manifested as IPAR) in relation to whatever resource or resources are limiting to growth so that all of the IPAR can be used for growth. A strong relationship between NPP and

IPAR does not necessarily indicate that light is the primary resource limiting to growth [Demetriades-Shah et al., 1992b].

Heimann and Keeling [1989] used a uniform  $\epsilon$  of 1.25 g C MJ<sup>-1</sup> PAR for a global light use efficiency model to calculate an annual terrestrial NPP of 56.4 Pg (10<sup>15</sup> g) C. With the solar radiation and NDVI data sets we used, this uniform  $\epsilon$  of 1.25 g C MJ<sup>-1</sup> PAR yields an annual global NPP of 185 Pg C yr<sup>-1</sup>, much above any recent estimates. Independent work suggests that  $\epsilon$  is not a universal constant [Russell et al., 1989]. To allow for effects of temperature and water stress on  $\epsilon$ , we calculate it as

$$\epsilon(x,t) = T_{\epsilon 1}(x,t) T_{\epsilon 2}(x,t) W_{\epsilon}(x,t) \epsilon^* \quad (5)$$

where  $T_{\epsilon 1}$  and  $T_{\epsilon 2}$  account for effects of temperature stress,  $W_{\epsilon}$  accounts for effects of water stress, and  $\epsilon^*$  is the maximum possible efficiency. The two temperature stress terms serve to depress  $\epsilon$  at very high and very low temperatures ( $T_{\epsilon 1}$ ) and to depress  $\epsilon$  when the temperature is above or below the optimum temperature ( $T_{\text{opt}}$ ), where  $T_{\text{opt}}(x)$  is defined as the air temperature in the month when the FAS NDVI reaches its maximum for the year (derived as shown in Plates 1a–1c).  $T_{\text{opt}}(x)$  ranges from near 0°C in the Arctic to the mid thirties in low latitude deserts.

$T_{\epsilon 1}(x)$ , which ranges from 0.8 at 0°C to 1.0 at 20°C to 0.8 at 40°C, is given by

$$T_{\epsilon 1}(x) = 0.8 + 0.02 T_{\text{opt}}(x) - 0.0005 (T_{\text{opt}}(x))^2 \quad (6)$$

For mean monthly temperatures of -10°C and below,  $T_{\epsilon 1}$  is set equal to zero. The basic motivation for including  $T_{\epsilon 1}$  is to reflect the empirical observation that plants in very cold habitats typically have low maximum growth rates [Chapin, 1980; Grime, 1979] and high root biomass [Sala et al., 1993], potentially imposing large respiratory costs. Plants in very hot environments may have high growth rates [Schulze and Chapin, 1987], but the efficiency of light utilization should be impacted by high rates of respiration [Amthor, 1989; Ryan, 1991].

Our  $T_{\epsilon 2}$  term, which reflects the concept that the efficiency of light utilization should be depressed when plants are growing at temperatures displaced from their optimum, has an asymmetric bell shape that falls off more quickly at high than at low temperatures. It is given by

$$T_{\epsilon 2}(x,t) = 1.1814 / \{1 + e^{[0.2 (T_{\text{opt}}(x) - 10 - T(x,t))]} / [1 + e^{[0.3 (-T_{\text{opt}}(x) - 10 + T(x,t))]}]\} \quad (7)$$

$T_{\epsilon 2}$  falls to half its value at  $T_{\text{opt}}$  at temperatures 10°C above or 13°C below  $T_{\text{opt}}$ . The idea behind

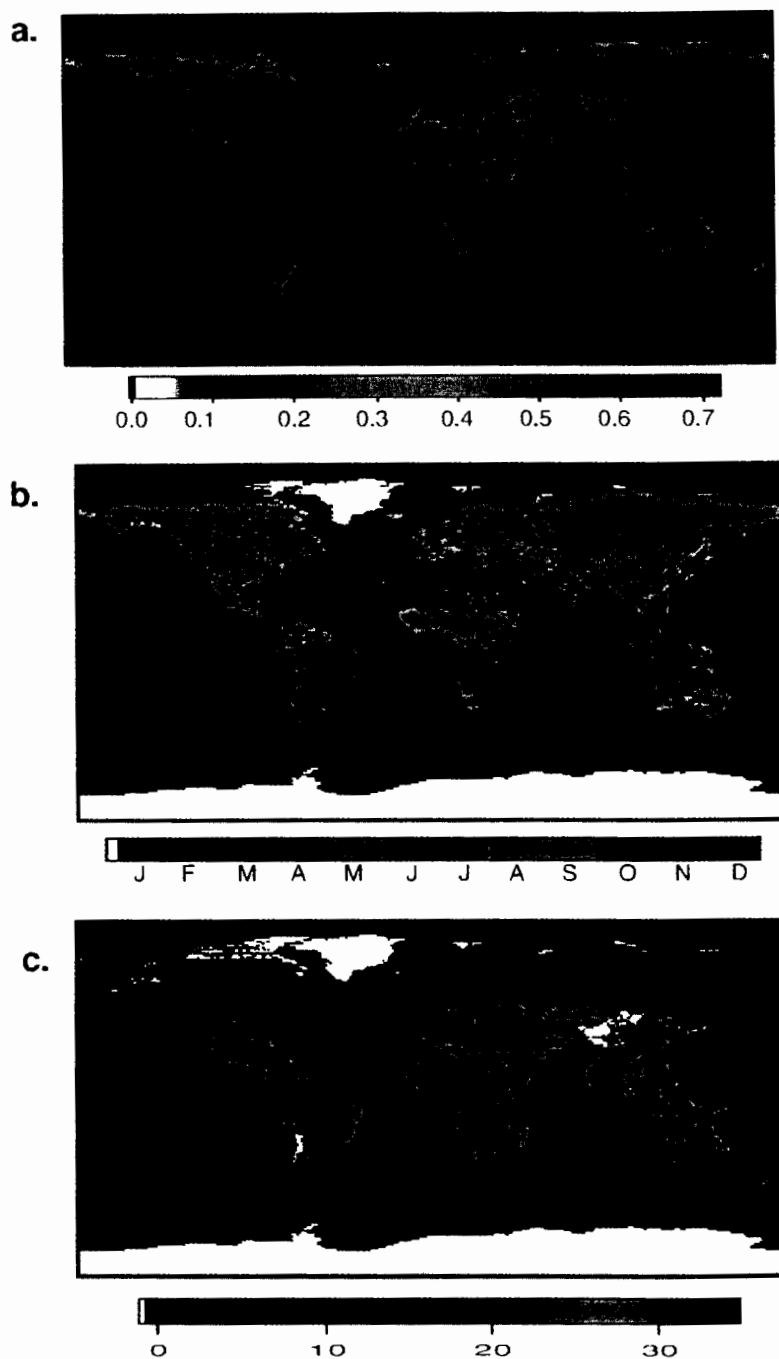


Plate 1. Results from the process of estimation of  $T_{opt}$ . (a) FAS-NDVI maximum for each grid cell during the model calibration year of 1987. (b) Month of the year when FAS-NDVI reached its maximum value. (c) Temperature ( $T_{opt}$ ) during the month of maximum FAS-NDVI; grid cells with  $T_{opt}$  less than  $-1^{\circ}\text{C}$  are shown in white.



including  $T_{e2}$  is to capture some of the intrinsic limitations on the flexibility of temperature acclimation. Adjusting  $T_{opt}$  to the temperature in the month of maximum NDVI assumes that plant growth is basically adapted to local ambient conditions, but  $T_{e2}$  reflects the fact that plant temperature responses cannot perfectly track ambient temperatures [Berry and Björkman, 1980].

The water stress factor ( $W_e$ ) is calculated as

$$W_e(x,t) = 0.5 + 0.5 \text{ EET}(x,t)/\text{PET}(x,t) \quad (8)$$

where EET and PET come from the soil moisture submodel.  $W_e$  varies from 0.5 in very arid ecosystems to 1 in very wet ecosystems. For months when  $T$  less than or equal to  $0^\circ\text{C}$  and precipitation accumulates as snow pack on the surface, the  $W_e$  scalar value from the previous monthly time step is carried forward without change. It is similar in form to the water stress control on stomatal conductance in TEM [Raich et al., 1991], but it is less severe. We decreased the severity of the water stress impact on NPP to reflect the observation that most effects of water stress appear in IPAR rather than in  $\epsilon$  [Squire et al., 1986].

The maximum efficiency  $\epsilon^*$  is set through a single calibration using NPP observed at sites considered by Raich et al. [1991] and McGuire et al. [1992]. The calibration compares the annual observed NPP

( $\text{NPP}_{\text{obs}}$ ) with the annual NPP predicted ( $\text{NPP}_{\text{pred}}$ ) for the grid cell that includes each observation site. The  $\epsilon^*$  term is calculated through an iterative process that minimizes the following error function.

$$E = \sum_{x=1}^n [(\text{NPP}_{\text{obs}}(x) - \text{NPP}_{\text{pred}}(x))^2]^{0.5} / \text{NPP}_{\text{pred}}(x) \quad (9)$$

where  $n$  is 17 observation locations used for calibration and validation by Raich et al. [1991] and McGuire et al. [1992]. An initial estimate for the minimum  $E$  in equation (9) was obtained by calculating  $\text{NPP}_{\text{pred}}(x)$  values according to equations (1) and (5) with an  $\epsilon^*$  of  $0.405 \text{ g C MJ}^{-1} \text{ PAR}$ . This  $\epsilon^*$  value is consistent with a total terrestrial NPP of  $50 \text{ Pg C yr}^{-1}$ . The calibration is similar to calculating  $\epsilon^*$  such that the slope of a linear regression of  $\text{NPP}_{\text{pred}}$  versus  $\text{NPP}_{\text{obs}}$  approaches unity. It differs from that, however, in that the minimized term ( $E$ ) scales with the sum of the deviations divided by the predicted NPP, rather than simply the sum of the squared deviations. Division by  $\text{NPP}_{\text{pred}}$  in equation (9) makes the function sensitive to the proportional, rather than the absolute error in the fit. Because this calibration involves adjustment all the model grid cells by a constant factor, the correlation between model predicted and observed NPP is not affected by the error minimization process.

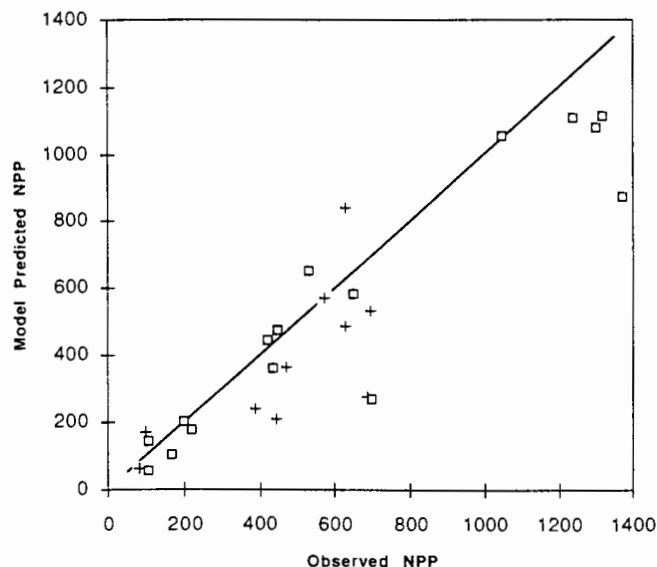


Fig. 2. Model predicted NPP for grid cells containing *in situ* NPP observations. Units are  $\text{g m}^{-2} \text{ yr}^{-1}$ . Site estimates marked with a box were used in a single step calibration to obtain  $\epsilon^*$ . These sites are the same as those used to calibrate and validate TEM [Raich et al., 1989; McGuire et al., 1992]. All TEM observational sites were used, with the exception of two (Taita, New Zealand and Guanica, Puerto Rico) that were not contained within land grid cells at a  $1^\circ \times 1^\circ$  resolution. The 1:1 regression line is shown for predicted versus observed values at TEM calibration sites. Validation sites marked with a plus were not used to calibrate  $\epsilon^*$ ; names and locations of these sites are listed in Table 4.

When  $E$  is minimized, the value of  $\epsilon^*$  is  $0.389 \text{ g C MJ}^{-1} \text{ PAR}$ . Predicted NPP values for the TEM sites cluster reasonably tightly around the 1:1 line ( $r^2$  of 0.89;  $p < 0.001$ ; Figure 2), with the exception of NPP for Chakia, India, a tropical deciduous forest for which McGuire et al. [1992] estimated root production using the carbon balance approach of Nadelhoffer and Raich [1992]. While our approach does a reasonable job of reproducing the measured NPP at the calibration sites, it is somewhat less satisfactory ( $r^2$  of 0.52;  $p < 0.01$ ) in prediction of NPP at several sites that were not used in calibrating the TEM (also shown in Figure 2 and listed in Table 4).

The motivation for this single step calibration is that we lack the understanding to estimate  $\epsilon^*$  from first principles. The maximum photon yield of photosynthesis sets an absolute upper bound on  $\epsilon^*$  of approximately  $2.88 \text{ g C MJ}^{-1} \text{ PAR}$  [Ehleringer and Björkman, 1977], but this value will always be reduced by saturation in the light response of photosynthesis. At the Harvard Forest, Wofsy et al. [1993] measured a gross primary productivity light use efficiency during summer months of around  $1.10 \text{ g C MJ}^{-1} \text{ PAR}$ . A 2:1 ratio of gross primary productivity to net primary productivity would argue for a maximum  $\epsilon^*$  of around  $0.55 \text{ g C MJ}^{-1} \text{ PAR}$  at Harvard Forest, fairly close to the  $\epsilon^*$  obtained through the above calibration.

#### Soil Moisture Submodel

Soil moisture content was calculated at each grid cell using monthly temperature and precipitation in combination with soil texture data and moisture-

holding capacity [Saxton et al., 1986]. This submodel is a one-layer "bucket" formulation that builds on previous simulation studies of regional and global surface hydrology [Mintz and Serafini, 1981; Vörösmarty et al., 1989; Bouwman et al., 1993].

Monthly soil moisture storage is calculated for each grid cell ( $x$ ) as a state variable, SOILM, with the potential to accumulate moisture over several months.

$$\text{SOILM}(x,t) = \text{SOILM}(x,t-1) - [\text{PET}(x,t) - \text{PPT}(x,t)] \text{RDR} \quad \text{For } \text{PPT}(x,t) < \text{PET}(x,t) \quad (10a)$$

$$\text{SOILM}(x,t) = \text{SOILM}(x,t-1) + [\text{PPT}(x,t) - \text{PET}(x,t)] \quad \text{For } \text{PPT}(x,t) \geq \text{PET}(x,t) \quad (10b)$$

where PPT is average precipitation at month  $t$ , PET is potential evapotranspiration at month  $t$ , and RDR is a relative drying rate scalar for potential water extraction as a function of soil moisture ( $\text{SOILM}(x,t-1)$ ).

For months when temperature is less than or equal to  $0^\circ \text{C}$ , PET and PPT are set equal to zero and there is no net change in SOILM. During these months, precipitation accumulates as snow in a state variable PACK. PACK is added to PPT in the first month that monthly average air temperature ( $T$ )  $> 0^\circ \text{C}$ . This function initiates spring snow melt.

PET is calculated with the method of Thornthwaite [1948]. Lower and upper limits for SOILM were set at wilting point (WPT) and field capacity (FC), respectively (Table 3). These values were derived from soil texture relationships described by Saxton et

TABLE 4. NPP Model Validation Sites

| Vegetation   | Location                     | Latitude | Longitude | Reference                     |
|--------------|------------------------------|----------|-----------|-------------------------------|
| Desert shrub | San Simon, Arkansas          | 31° 50'N | 109° 05'W | Chew and Chew [1965]          |
| Grassland    | Pantex, Texas                | 35° 18'N | 101° 32'W | Sims and Coupland [1979]      |
| Grassland    | Cottonwood, South Dakota     | 43° 57'N | 101° 52'W | Sims and Coupland [1979]      |
| Savanna      | Nairobi Park, Kenya          | 1° 20'S  | 36° 50'E  | Kinyamario and Imbamba [1992] |
| Forest       | Lubumbashi, Zaire            | 11° 29'S | 27° 29'E  | DeAngelis et al. [1981]       |
| Oak forest   | Oak Ridge, Tennessee         | 35° 55'N | 80° 77'W  | DeAngelis et al. [1981]       |
| Forest       | Hubbard Brook, New Hampshire | 44° 00'N | 71° 0'W   | DeAngelis et al. [1981]       |
| Forest       | Solling, Germany             | 51° 49'N | 9° 35' E  | DeAngelis et al. [1981]       |
| Forest-moss  | BSMS, Alaska                 | 64° 00'N | 128° 00'W | DeAngelis et al. [1981]       |
| Forest       | Meathop, United Kingdom      | 54° 13'N | 2° 53'W   | DeAngelis et al. [1981]       |

These sites were chosen according to the following criteria: (1) Above and below ground NPP data were available. (2) Latitude and longitude coordinates of the site fell within land-designated model grid cells. (3) Sites were not near large metropolitan areas. (4) Sites were representative of the major ecosystems present within the grid cell.

al. [1986]. A matric potential of -10 kPa is used for calculating FC for coarse textured soils, whereas a -30 kPa potential is used for medium- to fine-textured soils [Papendick and Campbell, 1980].

The soil rooting depth for forests was set to 2.0 m. Grassland, tundra and cultivation classes (7, 10, and 12) were assigned a rooting depth of 1.0 m [Vörösmarty et al., 1989]. Several soil types were treated as special cases in assigning FC classes. Vertisols and ferralsols were assigned to the medium texture FC class, whereas andosols were assigned to the fine texture FC class [Bouwman et al., 1993]. Lithosols were assigned to a shallow soil class of 27% FC (total soil volume) with rooting depth of 0.1 m [Vörösmarty et al., 1989].

Additions to SOILM that exceed field capacity are assumed to leave the grid cell as runoff. There are no grid-cell interactions in the soil moisture submodel (i.e., runoff from one cell is not transferred to an adjacent cell).

Estimated evapotranspiration (EET) is calculated for each grid cell as

$$\begin{aligned} \text{EET}(x,t) = \min\{ & \text{PPT}(x,t) + [\text{PET}(x,t) - \text{PPT}(x,t)] \\ & \text{RDR}, \{ \text{PPT}(x,t) + [\text{SOILM}(x,t-1) - \\ & \text{WPT}(x)] \} \} \\ \text{For } \text{PPT}(x,t) < \text{PET}(x,t) \end{aligned} \quad (11a)$$

$$\begin{aligned} \text{EET}(x,t) = \text{PET}(x,t) \\ \text{For } \text{PPT}(x,t) \geq \text{PET}(x,t) \end{aligned} \quad (11b)$$

Previous studies have shown that the rate of soil drying generally decreases with decreasing soil

moisture content and increasing soil water tension [Thorntwaite and Mather, 1957; Pierce, 1958; Pastor and Post, 1984]. We have fitted a family of logistic drying curves (Figure 3) for derivation of the RDR scalar using a transformation (equation (12)) of the relationship between soil water potential and volumetric moisture content presented by Saxton et al. [1986].

$$\text{RDR} = (1+a) / (1 + a \Theta^b) \quad (12)$$

where  $a$  and  $b$  are texture-dependent empirical coefficient and  $\Theta$  is the volumetric moisture content (m/m).

These curves resemble texture-dependent drying functions proposed previously [Holmes, 1961; Zahner, 1967]. Their forms imply that EET, a fraction of PET, is reduced dramatically for coarse and fine textured soils as  $\Theta$  falls below 0.4 and 0.8, respectively. For any month that PPT-PET is greater than zero, RDR is set to unity. When PET exceeds PPT, the potential loss of moisture from SOILM is adjusted by the RDR scalar, which is calculated according to the value of  $\Theta$  at  $t-1$ .

#### Temperature and Moisture Effects on Microbial Respiration

The effect of temperature on soil C and N fluxes ( $T_s$ ) was treated uniformly as an exponential ( $Q_{10}$ ) response (equation (13)) using a  $Q_{10}$  value of 2.0 [Fung et al., 1987; Anderson, 1991; Townsend et al., 1992].

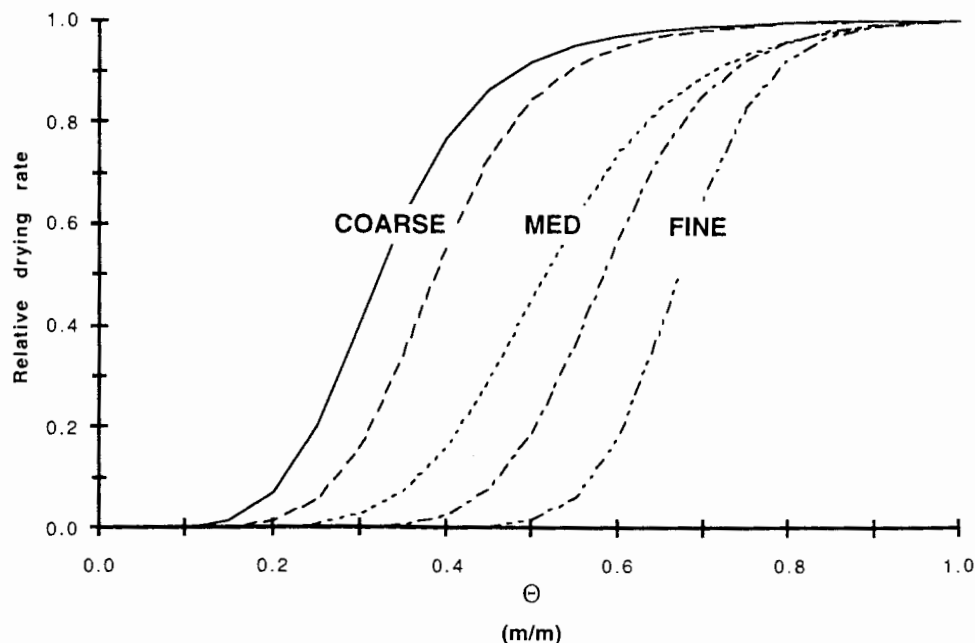


Fig. 3. Soil drying curves derived using a mathematical transformation equation (12) of the relationship between soil water potential and volumetric moisture content presented by Saxton et al. [1986].

$$T_s(x,t) = Q_{10}^{((T(x,t)-30)/10)} \quad (13)$$

where  $Q_{10}$  is the multiplicative increase in soil biological activity for a  $10^\circ\text{C}$  rise in soil temperature and  $T(x,t)$  is monthly average air temperature. Air temperature maxima in the global data inputs truncate the  $T_s$  function at  $45^\circ\text{C}$ .

A scalar for soil moisture content effects on soil C and N fluxes ( $W_s$ ) is computed as the ratio of monthly PPT+soil water storage-to-monthly PET (Figure 4). This variable requires estimation of the absolute amount of soil water storage. Therefore, for lithosols, the computation considers soil water storage to 0.1 m in the soil profile; for all other soil types, moisture stored to 0.3 m is considered. The general shape of the moisture function is similar to that used by Parton et al. [1992]. Stress is greatest as rainfall goes to zero, diminishes to its lowest levels at ratio values of 1-2, and increases gradually again under conditions of surplus water supply. As in the calculation of plant moisture stress, when  $T$  is less than or equal to  $0^\circ\text{C}$ , the scalar value from the previous monthly time step is carried forward without change.

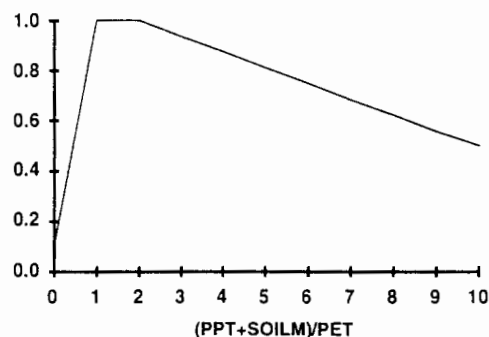


Fig. 4. Scalar function for effect of moisture on soil C/N transformations.

#### Carbon and Nitrogen Allocation and Litterfall

Allocation of available C among plant tissues in forest vegetation types is currently treated as a fixed partitioning ratio of 1:1:1 among leaf, fine roots and wood [Running and Coughlan, 1988]. For grasslands, carbon is allocated 1:1 between leaf and root pools. In all vegetation types, allocation of N among litter pools is calculated so as to first satisfy fixed pool C-to-N ratios of *structural* (slowly decomposing cellulose plus lignin) leaf and fine root (C:N 150) and woody pools (C:N 260); residual N is partitioned equally between *metabolic* (rapidly decomposing cytoplasmic constituents and nucleic acids) leaf and fine root pools.

Annual NPP is distributed over the months as inputs to the soil C/N submodel in the form of litterfall. Monthly litterfall fractions ( $LT_{LAI}$ ) are added to standing leaf, fine root and woody litter

pools in proportion to month-to-month changes in leaf area index ( $\Delta LAI$ ). LAI fields were generated according to the calculations described by Sellers et al. [1993]. For homogeneous vegetation types (classes 1, 2, 6, 7, 8, 10, 11, and 12), Sellers et al. [1993] use an exponential relation between FPAR and LAI, whereas for clustered vegetation (classes 4, 5, and 9) they use a linear relation. For grid cells in which there is a combination of clustered and evenly distributed vegetation (class 3), they use a weighted combination of the exponential and linear functions.

These gridded ( $1^\circ \times 1^\circ$ ) data sets were used to determine  $LT_{LAI}$  as the sum of two terms

$$LT_{LAI}(x,t) = NPP_{ann}(x) [LT_{con}(x) + LT_{var}(x,t)] \quad (14a)$$

$$\text{where } LT_{con}(x) = [LAI_{min}(x)/LAI_{ave}(x)]/12 \quad (14b)$$

$$\text{and } LT_{var}(x,t) = [\Delta LAI_n(x,t) / \sum \Delta LAI_n] [1 - \{LAI_{min}(x)/LAI_{ave}(x)\}] \quad (14c)$$

$NPP_{ann}$  is total annual NPP. The  $LAI_{min}$  and  $LAI_{ave}$  terms are the minimum and the average of 12 monthly LAI values, respectively. When  $LT_{con}$  is greater than zero, a fraction of NPP is distributed evenly throughout the year. The  $LT_{var}$  term was computed from annual  $\sum \Delta LAI_n$ , the sum of all monthly time steps for which the difference between month  $t$  and month  $t-1$  was less than zero. For completely deciduous grid cell locations, the  $LT_{con}$  term is zero. For completely constant evergreen grid cells, the  $LT_{var}$  term drops to zero for all months. In the model experiments discussed here, it was assumed that no leaves remain in the canopy longer than one year, that the timing of leaf, root, and wood litterfall is synchronous, and that senescent plant material immediately enters litter pools.

Litter C-to-N ratios are continually adjusted over the course of a model run in accordance with computed annual totals of available mineral nitrogen and a prescribed maximum leaf nitrogen concentration (Table 5; based on values reported by Rodin and Bazilevich [1967], Titlyanova and Bazilevich [1979], Coupland and Van Dyne [1979], Cole and Rapp [1981], Gosz [1981], Heal et al. [1981]). Mineralized N ( $MIN_n$ ) available to vegetation (in excess of the amount needed to meet total N litter, microbial and soil pool demands; see section below) is transferred to monthly plant production (NPP) up to the amount needed to produce litter of the highest N quality (lowest possible C-to-N ratio). If the size of the  $MIN_n$  pool is less than the amount needed to support NPP at the highest possible litter quality level, the contents of the  $MIN_n$  pool is transferred to NPP, and the C-to-N ratio of NPP floats upward accordingly. Because we assumed that our NPP estimates largely account for effects of N limitation, no minimum N level is set for new production. Total N returned in litterfall is calculated according to the yearly amount of woody

and nonwoody biomass produced divided by mineral N uptake over the previous 12 months. This continually updated ratio is used in combination with fixed (biome specific) lignin levels (Table 5) to partition litterfall into structural and metabolic subpools (see following sections).

#### Soil Carbon and Nitrogen Fluxes

Major soil carbon-nitrogen pools in the model and transformation processes connecting them at the

TABLE 5. Litter Quality Settings for Vegetation Classes

| Class | Minimum CN | %Lignin |
|-------|------------|---------|
| 1     | 25         | 20      |
| 2     | 25         | 20      |
| 3     | 25         | 20      |
| 4     | 25         | 20      |
| 5     | 25         | 20      |
| 6     | 15         | 20      |
| 7     | 15         | 10      |
| 8     | 15         | 20      |
| 9     | 25         | 20      |
| 10    | 15         | 20      |
| 11    | 15         | 5       |
| 12    | 15         | 5       |

See text for sources.

ecosystem level are shown in Figure 5. Production of  $\text{CO}_2$  results from microbially mediated decomposition of plant and soil organic residues, as shown in the following generic equation for C loss from any pool.

$$\text{CO}_2(x,t)_i = C(x,t)_i k_i W_s(x,t) T_s(x,t) (1-M_e) \quad (15)$$

where  $C(x,t)_i$  = carbon content of pool  $i$ ;

$k_i$  = maximum decay rate constant of pool  $i$ ;

$W_s(x,t)$  = scalar for the effect of soil moisture content on decomposition;

$T_s(x,t)$  = scalar for the effect of temperature on decomposition;

$M_e$  = carbon assimilation efficiency of microbes.

Carbon is transferred to microbial pools (or from microbial pools to soil carbon pools) in amounts computed according to equation (15) with  $M_e$  in place of  $(1-M_e)$ . Emissions of  $\text{CO}_2$  to the atmosphere from soil microbial respiration are not impeded by snow cover [Stohlgren, 1988; Taylor and Jones, 1990].

Soil nitrogen transformations are tied to carbon fluxes following the basic structure of several previous models [Jenkinson and Rayner, 1977; McGill et al., 1981; Parton et al., 1987]. Leaf and fine root litter inputs are divided initially into metabolic and structural fractions according to the lignin-to-nitrogen ratio of the residue (equation(16)) [Parton et al., 1987].

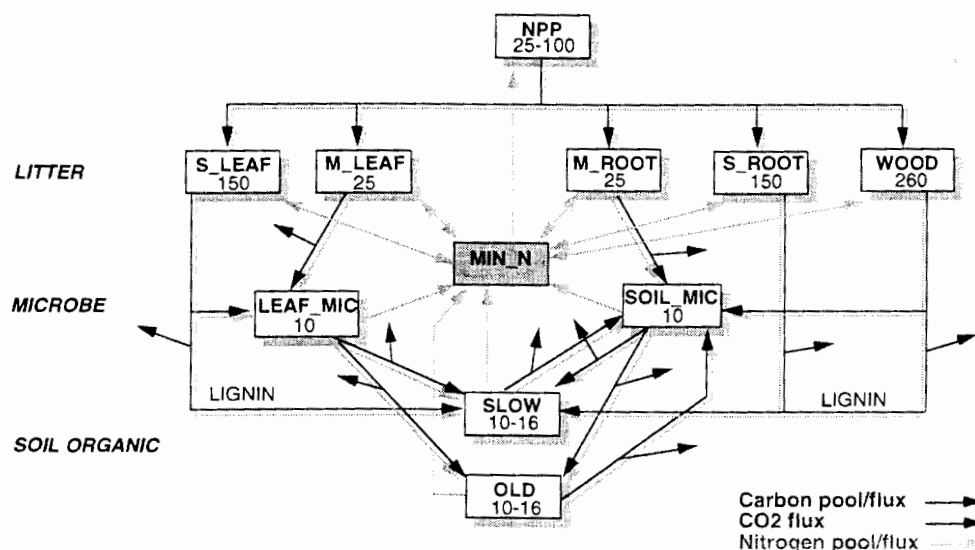


Fig. 5. Ecosystem carbon-nitrogen model. Carbon pools are outlined in black and labeled with C-to-N ratios, C fluxes in solid arrows,  $\text{CO}_2$  production in stippled arrows; Nitrogen pools in gray, N fluxes in gray arrows. Levels of litter, microbe (MIC), and soil organic (SLOW and OLD) pools are shown. Structural (S) and metabolic (M) pools are shown for leaf and root litter.

$$MT_f(x,t) = 0.85 - [0.018 \text{ LN}(x,t)] \quad (16)$$

where  $MT_f$  is the fraction of litter that is metabolic and  $\text{LN}$  is the lignin-to-nitrogen ratio of nonwoody litter. All lignin in residue is assumed to reside in structural fractions.

Leaf (LF), fine root (RT), and woody (WD) plant residues, along with surface and soil microbial (MIC) pools, are represented in the model. The remaining soil carbon and nitrogen resides in SLOW and OLD pools, which represent chemically recalcitrant and physically protected organic matter, respectively. Most soil carbon losses via microbial respiration are based on a  $M_g$  of 45% [McGill et al., 1981]. Lignin, however, bypasses microbial assimilation and cycles directly to the SLOW pool with only 30% C lost to respiration [Stott et al., 1983; Parton et al., 1987].

Maximum decomposition rate constants ( $k$ ,  $\text{mo}^{-1}$ ) for LF and RT litter, microbial and soil organic matter pools are adjusted to monthly basis (see appendix) from data by Parton et al. [1987]. The maximum turnover rate of woody detritus is uniform globally, with a  $k$  value equal to  $0.04 \text{ mo}^{-1}$  [Harmon et al., 1986; Schowalter, 1992].

Soil texture controls several fluxes. Soil microbial turnover rate decreases in fine textured soils according to equation (17) [Ladd et al., 1981; Sorenson, 1981; Gregorich et al., 1991].

$$\text{ETX}(x) = 1 - [0.75 \text{ SC}(x)] \quad (17)$$

where  $\text{SC}(x)$  is the silt plus clay fractions.

Second, the fraction of carbon lost as  $\text{CO}_2$  from soil microbes during transfer to the SLOW pool ( $\text{SLOW}_f$ ) decreases as the soil silt+clay content increases according to the relationship specified in equation (18) [Van Veen et al., 1984; Parton et al., 1987].

$$\text{SLOW}_f(x) = 0.85 - [0.68 \text{ SC}(x)] \quad (18)$$

For initialization of soil pools, we assumed that most of C and N that turns over on decadal-to-century time scales is in the upper 0.3 m of the soil. Hence we set initial soil C and N pool contents ( $\text{g m}^{-2}$ ) using 50% of the totals provided by Post et al. [1985] to 1 m depth for the Holdridge life zone classification of Leemans [1990]. Our model does not consider cycling of the remaining C and N in deeper soil layers. For initialization only, 30% of the total soil C and N contents in the top 0.3 m are allocated to the OLD pool, with the remainder allocated between soil microbial and SLOW pools. Therefore, under this initialization scheme, total ecosystem nitrogen (above and below ground) at each grid cell is constrained by the soil contents specified by Post et al. [1985]. The soil microbial C pool is initialized as a fraction ( $\text{MIC}_f$ ) of soil C contents provided by Post et al. [1985]. We used the

relationship between  $\text{MIC}_f$  and the ratio of annual PPT-to-PET suggested by Insam et al. [1989], which takes on initial values between 2% and 5%. All other soil pools are initialized at zero.

#### N Mineralization and Immobilization

Nitrogen transformations are stoichiometrically related to C flows. Fluxes from litter and soil to microbial pools and from microbial pools back to soil pools occur in proportion to C assimilation rates so that prescribed C-to-N ratios for the various recipient organic matter pools are maintained [Parton et al., 1987]. Mineralization occurs as carbon-bonded N is released during  $\text{CO}_2$  production. Microbial immobilization occurs at rates necessary to meet critical pool C-to-N ratios (levels to which litter accumulates N until release occurs). Berg and Staff [1981] reported a range of critical C-to-N ratios from 25 to 50 for foliar material and up to 170 for more lignified material. Critical C-to-N ratios for leaf and root pools are set at 25 and 150 for metabolic and structural pools, respectively. The critical C-to-N ratio for woody litter are set at 260. The C-to-N ratio for fluxes into the two microbial pools is fixed at 10 [Parton et al., 1987], whereas C-to-N ratios of  $\text{SLOW}(x)$  and  $\text{OLD}(x)$  pools are soil texture dependent. Soil C:N values range from 7 to 20 for predominately clay to sand particle-size fractions, respectively [Chichester, 1969]. The C-to-N ratios of soil particle-size fractions have been reported by several workers [Cameron and Posner, 1979; Hinds and Lowe, 1980; Anderson et al., 1981]. Average C:N values from these studies were applied to the size fraction composition of the soil texture classes in the modified FAO soil database [Zobler, 1986] to compute composite C:N for SLOW and OLD pools (Table 3).

Changes in the mineral N pool ( $\text{MIN}_n$ ) reflect the difference between total mineralization inputs that result from N release during microbial  $\text{CO}_2$  production, and immobilization outputs needed to meet the critical C-to-N ratios of litter N pools (shown in Figure 5). To avoid the potential for complete depletion of N pools, we fixed the priority for potentially competing N transfers between litter, microbial, soil organic matter, and mineral pools. For example, each of the structural and woody litter pools has three possible paths of N outflow: to  $\text{SLOW}_n$  via lignin decomposition ( $S_{n1}$ ); to surface/soil microbes via nonlignin decomposition ( $S_{n2}$ ); and to the mineral pool ( $S_{n3}$ ). Provided there is sufficient N available in the structural litter pool, the  $S_{n1}$  flow is satisfied first by computing the amount of N needed, relative to the corresponding carbon side flow, to maintain the critical C:N of the SLOW pool. If there is insufficient N available in the structural pool to meet 100% of this demand, no outflows from the structural source pool occurs during that time step. If there is sufficient N to



satisfy the  $S_{n1}$  flow,  $S_{n2}$  is then computed as the lesser of (1) the amount needed to maintain microbe pool C:N at 10, or (2) the difference between N available in the source pool and  $S_{n1}$ . Last, if there is sufficient N available in the source pool to satisfy both the  $S_{n1}$  and  $S_{n2}$  flows,  $S_{n3}$  is computed as difference between the potential amount of N lost from the source pool (relative to carbon decomposition) and  $(S_{n1} + S_{n2})$ .

Likewise, for the metabolic leaf and root litter pools, there are two possible N outflow paths; transfer to microbial pools is satisfied first by computing the amount of N needed to maintain the critical C:N of microbe pools. The three possible outflow paths from microbial N pools, and the two possible outflow paths from each soil (SLOW and OLD) N pool are computed according to the same rules and priorities. There is no direct flux from the SLOW<sub>n</sub> to the OLD<sub>n</sub> pool; transfer is indirect via the soil microbial pool.

Following mineralization calculations, immobilization flow from the MIN<sub>n</sub> pool to each litter pool is computed. These flows are dependent on total immobilization demand, which is determined as the sum of all N flows needed to meet the critical C:N ratio of individual litter pools. If total demand exceeds the current MIN<sub>n</sub> pool level, each litter pool whose C:N exceeds the critical level receives an equal portion of the MIN<sub>n</sub> pool. If total demand is less than the MIN<sub>n</sub> level, demand is satisfied completely for each litter pool whose C:N is higher than the critical level. The remaining MIN<sub>n</sub> is available for uptake by vegetation.

#### *Impacts of Cultivation on Microbial Respiration*

Conversion of native ecosystems to cropping systems through cultivation involves some degree of vegetation clearing, soil tillage and fertilization. We make two modifications for cultivated grid cells. First, plant litter lignin concentrations are set at 5% and the minimum C-to-N ratio of litter is adjusted to 15. Second, turnover rates of soil microbial, SLOW and OLD C pools increase by 25%, 50% and 50%, respectively [Tisdale and Oades, 1982; Parton et al., 1987]. For this model version we assumed that 100% of crop residue is returned to the soil annually with no losses of litter carbon due to harvesting. Future model tests will include nitrogen fertilizer amendments.

#### *Comparison with Other Models*

There are several notable differences between the CASA-Biosphere model (this study) and previous ecosystem models with carbon-nitrogen feedbacks that have been applied at regional and global scales, particularly CENTURY [Parton et al., 1987, 1988, and 1989a] and TEM [Raich et al., 1991; McGuire et al., 1992; Melillo et al., 1993]. The major

differences (as summarized in Table 6) include sources and spatial resolutions of climate and vegetation data sets used, the degree to which parameter values are calibrated to specific vegetation types, use of remote sensing observations, and detail of the soil moisture and C/N cycling submodels.

In the TEM, NPP is computed as gross primary productivity (GPP) minus respiration, using atmospheric CO<sub>2</sub> concentrations and solar radiation drivers. It includes unitless scalars for the effects of air temperature, relative N availability, and plant phenology. In this version of the CASA model, we do not compute plant respiration, nor do we consider CO<sub>2</sub> concentrations and N limitation explicitly as controllers of productivity. The TEM equation for N uptake is hyperbolic function of mineral N and temperature, carbon availability, and a biome-specific maximum uptake constant. Other biome-specific parameters in TEM that are not biome-specific in CASA include the timing of litterfall and microbial respiration rates. The TEM uses different climate data sources, vegetation type classification, and a finer spatial resolution (0.5° versus 1.0°).

The CASA soil submodel is based on the CENTURY concept, but has been simplified for global applications. For example, the CASA version does not include optional effects of pH, phosphorus, sulfur, and atmospheric-hydrologic fluxes of nitrogen. CENTURY also includes algorithms for competition between trees and grasses for soil N. Unlike CENTURY, but like TEM, we make no correction for differences between air and soil surface temperature. In the CASA model, the C-to-N ratios of SLOW and OLD soil pools are set according to soil texture [Zobler, 1986], whereas in CENTURY these ratios float over a prescribed range. In both models, N is transferred in proportion to monthly NPP at the amount needed to produce the highest N quality litter possible over a prescribed range.

## RESULTS

### *Net Primary Productivity*

The CASA-Biosphere model was applied using global data inputs as described above. On the basis of monthly calculations over 14,713 non-ice terrestrial grid cells, our estimate of total terrestrial net primary production (NPP) is 48 Pg C yr<sup>-1</sup>. Over 34 Pg C yr<sup>-1</sup>, or 70% of terrestrial NPP, occurs between 30° N and 30° S latitude, in contrast to 4% at latitudes higher than 60° N and S (Table 7). For individual grid cells, annual NPP ranges from values less than 20 g C m<sup>-2</sup> in some tundra and desert locations to values greater than 1400 g C m<sup>-2</sup> in broadleaf evergreen forests of South America and Central Africa (Plate 2).

Approximately one third of all solar radiation impinging on terrestrial surfaces is intercepted by

TABLE 6. Comparisons of Model Attributes

| Model   | Climate and vegetation           | Soil Moisture                     | NPP and Litterfall  | Soil C/N  |
|---|----------------------------------|-----------------------------------|---|---|
| CASA<br>(this paper)                              | global 1° data sets, cultivation | 1 layer bucket, non-linear drying | function of AVHRR-SR, PAR, moisture and temperature                                     | leaf, root and wood litter, global decay constants, dual microbial/soil pools, soil texture controls on C:N |
| TEM<br>[Raich et al., 1989; McGuire et al., 1992] | global 0.5° data sets            | 1 layer bucket, linear drying     | GPP minus respiration as a function of PAR, CO <sub>2</sub> , moisture, and temperature | litter cohorts, single soil pool  |
| CENTURY<br>[Parton et al., 1987; 1988; 1992]      | site records, land management    | multi layer bucket                | climate and soil based regressions  | leaf, root, and wood pools, dual microbial/soil pools, floating soil C:N, ecosystem C:N balance             |



TABLE 7. Annual NPP for Vegetation Classes and Latitude Zones

| Class | Predicted NPP,<br>g C m <sup>-2</sup> yr <sup>1</sup> |      |       | Total,<br>Pg C yr <sup>1</sup> | %Tot | Latitude Zone Distribution |       |       |            |       |
|-------|---|------|-------|--------------------------------|------|----------------------------|-------|-------|------------|-------|
|       | Mean  | Max  | Stdev |                                |      | North, deg                 |       |       | South, deg |       |
|       |   |      |       |                                |      | 90-60                      | 60-30 | 30-0  | 0-30       | 30-60 |
| 1     | 1027  | 1463 | 284   | 18.0                           | 37   | 0.00                       | 0.04  | 7.60  | 10.29      | 0.06  |
| 2     | 315   | 838  | 148   | 0.7                            | 2    | 0.00                       | 0.52  | 0.11  | 0.01       | 0.10  |
| 3     | 316   | 811  | 135   | 1.3                            | 3    | 0.03                       | 1.08  | 0.01  | 0.04       | 0.14  |
| 4     | 226   | 819  | 117   | 3.6                            | 7    | 0.73                       | 2.48  | 0.36  | 0.00       | 0.02  |
| 5     | 153   | 439  | 72    | 1.0                            | 2    | 0.56                       | 0.44  | 0.00  | 0.00       | 0.00  |
| 6     | 559   | 1206 | 285   | 10.4                           | 22   | 0.01                       | 0.45  | 2.78  | 6.96       | 0.23  |
| 7     | 180   | 962  | 175   | 1.9                            | 4    | 0.01                       | 0.33  | 0.70  | 0.84       | 0.06  |
| 8     | 469   | 1065 | 224   | 1.1                            | 2    | 0.00                       | 0.08  | 0.17  | 0.67       | 0.13  |
| 9     | 115   | 1166 | 168   | 1.2                            | 2    | 0.00                       | 0.24  | 0.44  | 0.29       | 0.19  |
| 10    | 80  | 522  | 68    | 0.5                            | 1    | 0.39                       | 0.13  | 0.00  | 0.01       | 0.01  |
| 11    | 28  | 397  | 34    | 0.5                            | 1    | 0.01                       | 0.13  | 0.20  | 0.13       | 0.00  |
| 12    | 288   | 1074 | 199   | 7.8                            | 16   | 0.01                       | 4.36  | 1.60  | 0.80       | 1.04  |
| Total |   |      |       | 48.0                           | 100  | 1.75                       | 10.28 | 13.97 | 20.04      | 1.98  |

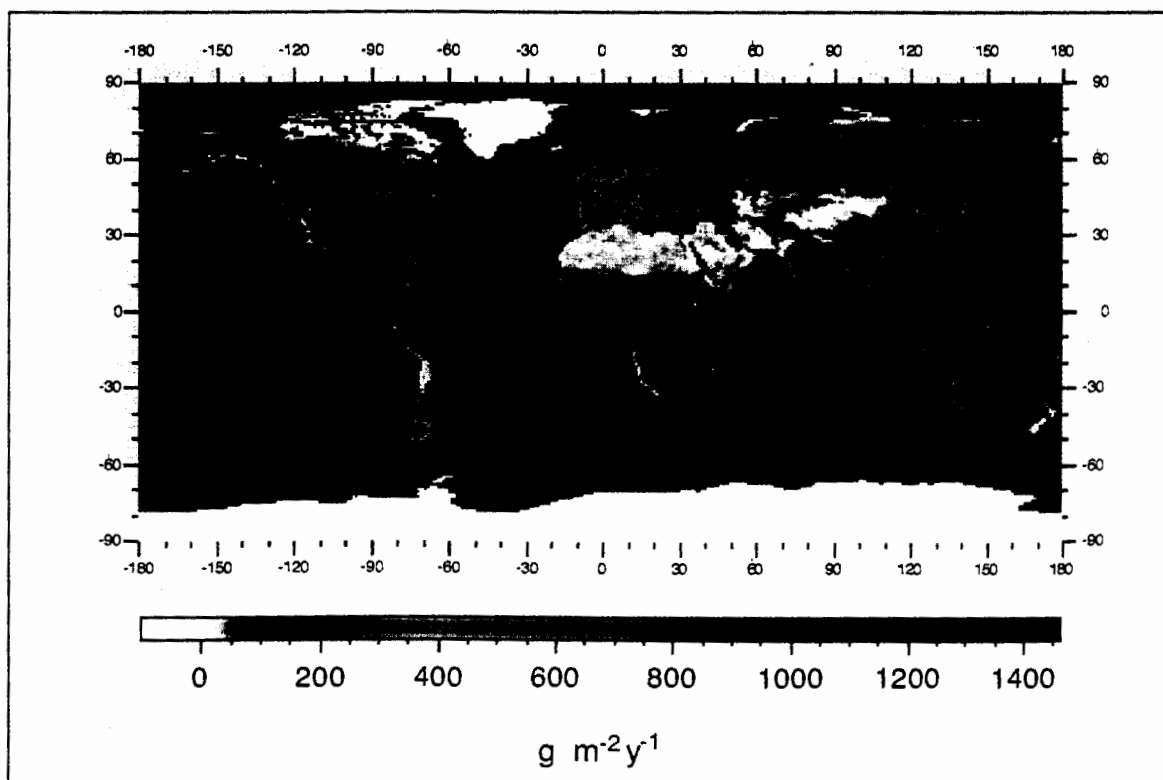


Plate 2. Global map of NPP computed according to the model in equation (1).

plants (Table 8). This fraction varies substantially across ecosystems, with tropical rain forest grid cells intercepting close to 80% and desert grid cells intercepting only about 4%. The total amount of intercepted radiation ( $1.48 \times 10^{17}$  MJ PAR  $\text{yr}^{-1}$ ) sets an upper limit to both gross and net primary production.

Applying  $\epsilon^*$  to all grid cells (i.e., simply taking the product of  $1.48 \times 10^{17}$  MJ PAR  $\text{yr}^{-1} \times 0.39$  g C  $\text{MJ}^{-1}$  PAR) yields a terrestrial NPP of 57 Pg C  $\text{yr}^{-1}$ . Thus effects of temperature and water stress on our light use efficiency result in a 16% reduction of terrestrial NPP to 48 Pg C  $\text{yr}^{-1}$ . This relatively small impact of stress on  $\epsilon$  reflects both our initial assumptions, which loaded some of water stress variability in NPP into IPAR, and the fact that high efficiencies and high IPAR values tend to co-occur. Note that all stresses on ecosystem production also show up in IPAR (Table 8), and that the sum of stresses on both terms on the right hand side of equation (1) is adjusted in the calibration process (Figure 2). As an example of the co-occurrence of high efficiencies and high IPAR values, broadleaf evergreen forest and broadleaf woodland/savanna ecosystems (classes 1 and 6 in Table 8) on average intercept the most radiation. These ecosystems also have the highest average efficiencies (0.35 and 0.30 g C  $\text{MJ}^{-1}$  PAR), and contribute the most to the total terrestrial NPP (> 59%).

For other ecosystems, however, water and temperature stress effects on  $\epsilon$  are far more severe. The average efficiency for deserts (class 11) is only

35% of  $\epsilon^*$ , whereas for shrubs with bare soil (class 9), the average light use efficiency is approximately 54% of  $\epsilon^*$ . These two ecosystems comprise a significant fraction of the total land surface area in which growth is constrained by water and temperature stress on the light use efficiency term. Production estimates for these areas are depressed far below what is allowed by  $\epsilon^*$ . The overall effect of making  $\epsilon$  sensitive to water and temperature stress is to expand the dynamic range of possible NPP estimates consistent with a given distribution of IPAR.

#### Litterfall Patterns

The seasonal timing of litterfall is latitude dependent (Figure 6). The highest monthly percent litterfall occurs during October between 60° and 65° N. Strong seasonality in litterfall is seen in the northern temperate zone as far south 40° N. Distinct seasonality can be detected in the tropics from 5° to 15° N and from 5° and 20° S.

#### Seasonal Patterns in NEP

The coupled NPP-soil model was run to a near steady state (< 1% change  $\text{yr}^{-1}$ ) with regard to deviation from zero global NEP (defined as the annual sum of the area-corrected difference between NPP and  $R_s$  fluxes). This necessitated approximately 3600 monthly time steps. At the equator, mean NEP (g  $\text{m}^{-2}$   $\text{mo}^{-1}$  over 1° latitude

TABLE 8. Aboveground Model Statistics for Vegetation Classes

| Class | S,<br>MJ $\cdot 10^{15}$ PAR $\text{yr}^{-1}$ | $\Sigma[S \cdot f]$ ,<br>MJ $\cdot 10^{15}$ PAR $\text{yr}^{-1}$ | $\Sigma[S \cdot f]/S$ | $\epsilon$ ,<br>g C $\text{MJ}^{-1}$ PAR |
|-------|---|--|-----------------------|--|
| 1     | 63.93   | 49.86  | 0.780                 | 0.354                                    |
| 2     | 5.68  | 2.24   | 0.388                 | 0.255                                    |
| 3     | 9.65  | 4.00   | 0.411                 | 0.283                                    |
| 4     | 31.98   | 11.56  | 0.359                 | 0.284                                    |
| 5     | 11.91   | 3.27   | 0.269                 | 0.280                                    |
| 6     | 69.84   | 30.21  | 0.438                 | 0.302                                    |
| 7     | 4.06  | 6.63   | 0.168                 | 0.229                                    |
| 8     | 8.63  | 3.19   | 0.376                 | 0.299                                    |
| 9     | 34.91   | 4.20   | 0.119                 | 0.208                                    |
| 10    | 10.56   | 1.70   | 0.160                 | 0.269                                    |
| 11    | 61.26   | 2.56   | 0.042                 | 0.135                                    |
| 12    | 80.49   | 25.16  | 0.324                 | 0.242                                    |
| Total | 440.3   | 147.6  |                       |  |

Here S is the total annual amount of PAR at the surface,  $\Sigma[S \cdot f]$  is the total annual amount of PAR intercepted, and  $\Sigma[S \cdot f]/S$  is the fraction of radiation intercepted on an annual basis;  $\epsilon$  is the average light use efficiency for months when  $T > 0^\circ \text{C}$ .

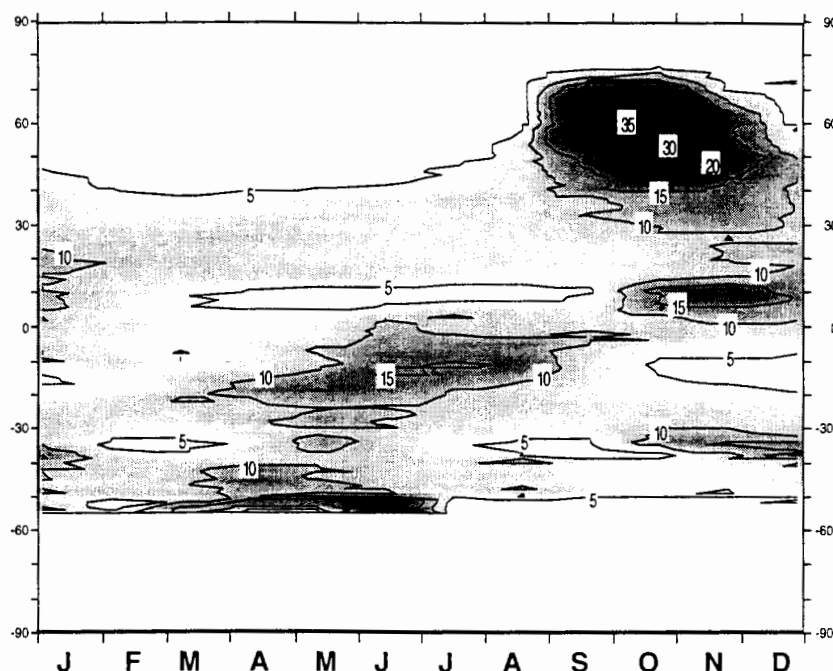


Fig. 6. Seasonal patterns of litterfall over averaged  $1^\circ$  latitude zones. Contour labels are percent of total annual litterfall.

zones) remains constant year-round at less than  $\pm 5 \text{ g m}^{-2} \text{ mo}^{-1}$ . In the southern hemisphere tropical zones from  $5$ – $23^\circ$ , NEP is positive from November (nearer the Equator) or December through as late as June at  $5^\circ$  S (Plate 3a). The pattern is reversed in the northern hemisphere tropics, where NEP becomes positive in April (at  $5^\circ$  N) through July–August (for  $10$ – $23^\circ$  N), and turns negative as early as November at the lowest latitudes. In midlatitude zones ( $40$ – $60^\circ$  N), NEP is negative from September or October through May, followed by transition to positive with a mean July peak of  $+25 \text{ g m}^{-2}$  ( $0.032 \text{ Pg total}$ ) centered around  $58^\circ$  N latitude. At high northern latitudes (above  $70^\circ$  N), NEP turns positive in June and becomes negative throughout the zone by September.

Growing season net flux (GSNF) is defined as the cumulative NEP over the period when NEP is positive. GSNF reflects the magnitude of the net forcing of seasonal variations in atmospheric  $\text{CO}_2$  [Fung et al., 1987]. The CASA model estimate of GSNF is largest in forests of the seasonal tropics and the temperate zones ( $> 120$  and  $> 50 \text{ g C m}^{-2}$  growing season $^{-1}$ , respectively; Plate 3b). GSNF is  $< 40 \text{ g C m}^{-2}$  growing season $^{-1}$  for many tropical evergreen forest locations where production and decomposition are relatively aseasonal. The model predicts a global GSNF of  $8.8 \text{ Pg C}$ . Among the

notable controls on GSNF, the  $Q_{10}$  setting for decomposition fluxes (equation (13)) strongly affects seasonal release patterns. Lower values of  $Q_{10}$  shift soil microbial sources of  $\text{CO}_2$  to spring and fall months; GSNF estimates increase accordingly.

#### *Biome Contributions to Global NEP*

For northern hemisphere broadleaf evergreen forests, mean NPP is greater than mean  $R_s$  ( $\text{g m}^{-2} \text{ mo}^{-1}$  over  $1^\circ$  latitude zones) from September to February (class 1; Figure 7a). In the southern hemisphere, the NEP pattern for the same biome is reversed. Northern midlatitude to high-latitude forests show a positive NEP from June to August (Figure 7b). If these per-unit-area averages are corrected for global area coverage of the biomes, needleleaf evergreen forests (class 4) exchange about six times more carbon than broadleaf deciduous forests (class 2), an observation explained largely by over sevenfold greater area coverage by class 4. Northern grasslands (class 7) and cultivated (class 12) vegetation (Figure 7c) have a low seasonal NEP amplitude relative to temperate forest and northern tundra biome types (class 10; Figure 7d). The lowest seasonal amplitude in NEP is in biomes characterized as bare soil and deserts (class 11), paralleling their small contributions to NPP (Table 7).

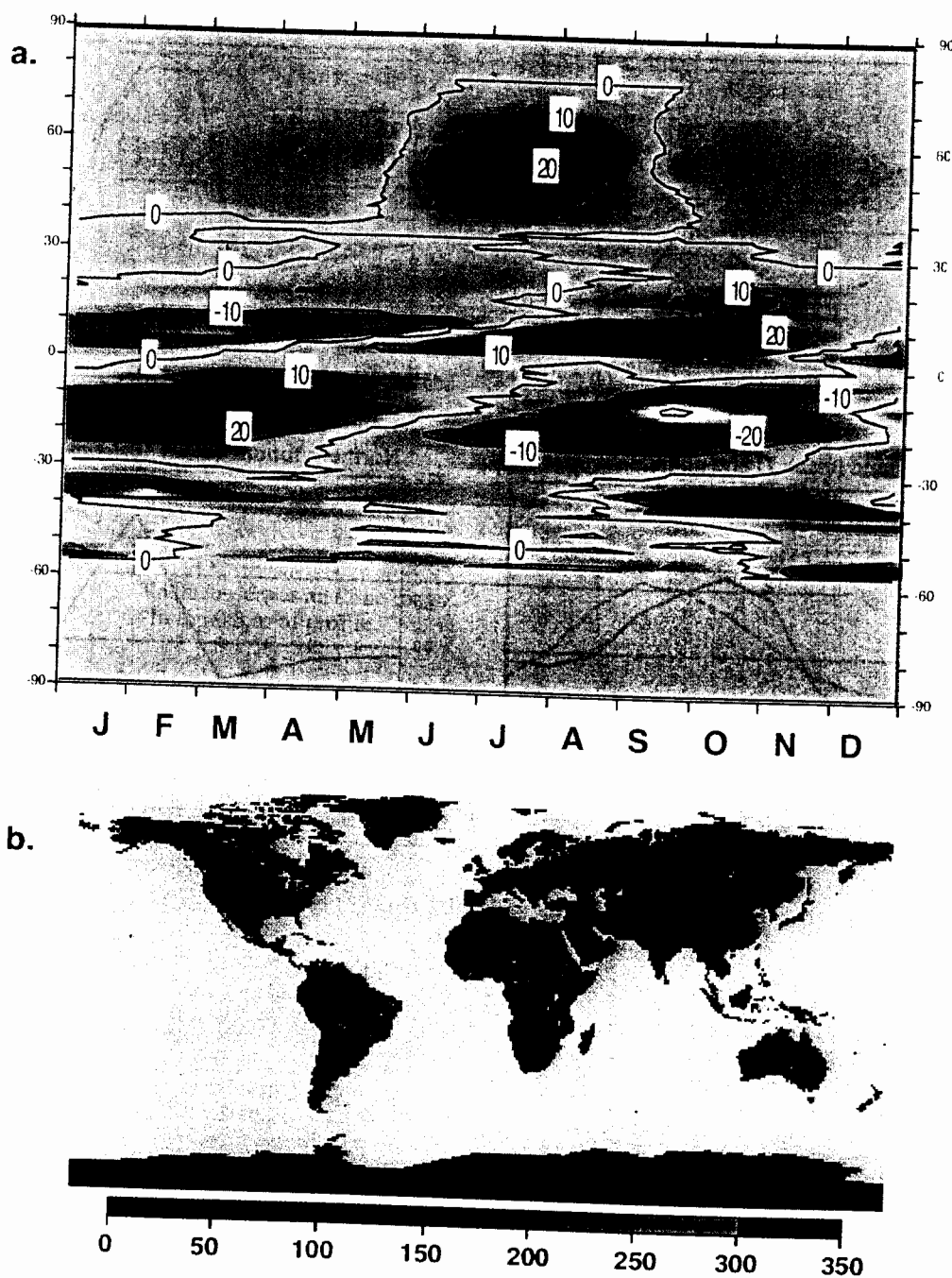


Plate 3. (a) Global NEP averaged over 1° latitude zones. Contour labels are  $\text{g C m}^{-2} \text{ mo}^{-1}$ . (b) Growing season net flux (GSNF) in units of  $\text{g C m}^{-2} \text{ growing season}^{-1}$ .

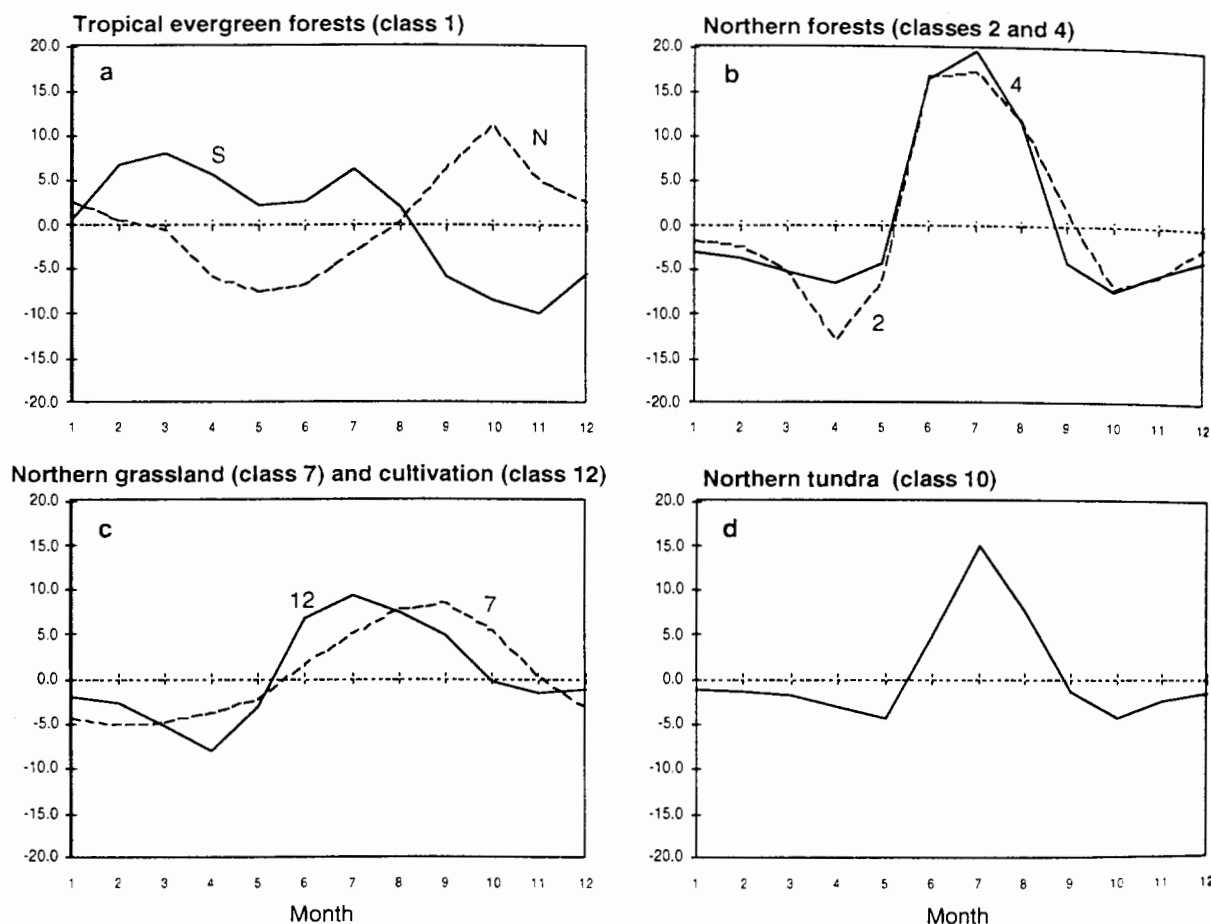


Fig. 7. Seasonality in mean NEP ( $\text{g C m}^{-2} \text{ mo}^{-1}$ ) by vegetation classes.

#### Litter and Soil Carbon Pools

Steady state pools of standing litter represent global storage of around 174 Pg C (94 and 80 Pg C in nonwoody and woody pools, respectively; Table 9), whereas storage in the SLOW pool is 300 Pg C. Leaf and fine root litter pools comprise around 51 and 43 Pg C, respectively. The distribution of stored C in litter and soil carbon pools varies with latitude (Figure 8). Two latitude zones, one high-to-mid ( $70^{\circ}$ - $30^{\circ}$  N) and the other tropical ( $10^{\circ}$  N- $30^{\circ}$  S), comprise major pools of stored soil carbon. Low levels of total soil C storage in the  $15^{\circ}$ - $40^{\circ}$  N zone reflect ecosystem types and processes, rather than latitudinal patterns in land surface area. Storage of carbon in microbial biomass, expressed as a percentage of total soil C, increases from about 4% in high latitudes ( $> 60^{\circ}$  N) to 6% near the Equator. The fraction of soil C in the top 0.3 m made up by the SLOW pool is around 65% at latitudes higher than  $30^{\circ}$  N, but rises to 70-83% throughout the tropics.

Litter and soil carbon pools ( $\text{g C m}^{-2}$ ) are greatest in mixed temperate forests (class 3, Table 9). Perennial grasslands (class 7) and deserts (class 11), have the lowest litter pools, both per unit area and integrated over area (Table 9).

Turnover times of four litter-soil carbon pools (expressed as the steady state pool size divided by the sum of annual losses) are fastest for biomes found chiefly in the tropics (broadleaf evergreen forests and savanna vegetation classes) and for cultivated areas (Table 10). Carbon turnover in needleleaf deciduous forests and tundra is slowest.

#### DISCUSSION

##### Correlations with Atmospheric $\text{CO}_2$

As a consistency check of CASA-Biosphere model predictions, we compared our monthly NEP estimates to average atmospheric  $\text{CO}_2$  concentrations from three stations in the NOAA/Geophysical Monitoring for Climate Change (GMCC) Flask

TABLE 9. Litter and Soil Carbon Pools

| Class | Nonwoody <sup>a</sup>        |                | Woody                        |                | Upper soil <sup>b</sup>      |                |
|-------|------------------------------|----------------|------------------------------|----------------|------------------------------|----------------|
|       | Mean,<br>g C m <sup>-2</sup> | Total,<br>Pg C | Mean,<br>g C m <sup>-2</sup> | Total,<br>Pg C | Mean,<br>g C m <sup>-2</sup> | Total,<br>Pg C |
| 1     | 1246                         | 21.7           | 1216                         | 21.2           | 5291                         | 91.9           |
| 2     | 1196                         | 2.6            | 1135                         | 2.5            | 5465                         | 11.8           |
| 3     | 1345                         | 5.3            | 1290                         | 5.1            | 5933                         | 23.4           |
| 4     | 1203                         | 18.0           | 1158                         | 17.3           | 5645                         | 83.9           |
| 5     | 1195                         | 7.5            | 1211                         | 7.6            | 5635                         | 35.3           |
| 6     | 869                          | 15.5           | 853                          | 15.2           | 3742                         | 66.5           |
| 7     | 323                          | 3.2            | 0                            | 0.0            | 1895                         | 18.8           |
| 8     | 1018                         | 2.3            | 954                          | 2.1            | 3915                         | 8.7            |
| 9     | 274                          | 2.7            | 260                          | 2.5            | 1468                         | 13.9           |
| 10    | 787                          | 5.0            | 758                          | 4.7            | 3447                         | 21.8           |
| 11    | 74                           | 1.1            | 146                          | 2.2            | 718                          | 10.5           |
| 12    | 333                          | 8.8            | 0                            | 0.0            | 2335                         | 58.9           |
| Total |                              | 93.7           |                              | 80.4           |                              | 445.4          |

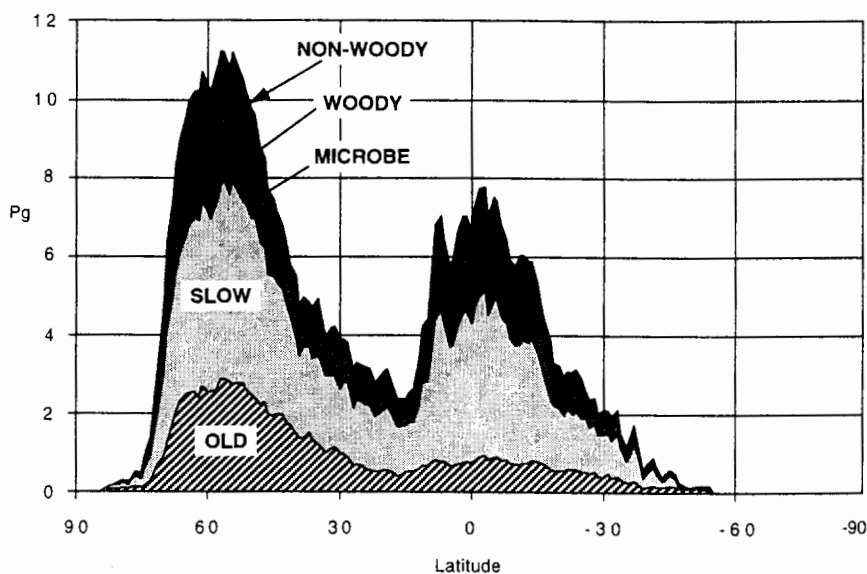
<sup>a</sup>Includes leaves and fine roots.<sup>b</sup>In top 0.3 m of profile.

Fig. 8. Latitude-based litter and soil carbon pool totals (Pg C).

Sampling Network during 1986 [Conway and Tans, 1989]. Although the atmospheric CO<sub>2</sub> concentration is an integrated response to terrestrial and oceanic processes, combined with the effects of anthropogenic fossil fuel and land use sources, terrestrial carbon fluxes dominate the seasonal signal [Fung et al., 1987]. Monthly changes in CO<sub>2</sub> concentrations (dCO<sub>2</sub>) are roughly mirror images of

zonally averaged NEP (Figures 9a-9c). We used CO<sub>2</sub> measurements from Point Barrow, Alaska (BRW) at 71° N, Mauna Loa, Hawaii (MLO) at 20° N, and Christmas Island (CHR) at 2° N for comparisons to monthly NEP averaged over 50°-80° N, 10°-30° N, and 0°-10° N respectively. The latitude zones for BRW and MLO were the same as those used by Tucker et al. [1986] for a similar

TABLE 10. Turnover Times for Carbon in Four Litter/Soil Pools Shown in Figure 5

| Class | Carbon Pool Turnover Time, yr |     |      |      |
|-------|-------------------------------|-----|------|------|
|       | ML                            | SM  | SLOW | OLD  |
| 1     | 0.2                           | 0.6 | 9    | 264  |
| 2     | 0.9                           | 1.6 | 28   | 815  |
| 3     | 1.1                           | 1.7 | 32   | 936  |
| 4     | 1.3                           | 2.1 | 40   | 1177 |
| 5     | 1.9                           | 3.3 | 64   | 1873 |
| 6     | 0.3                           | 0.8 | 13   | 393  |
| 7     | 0.6                           | 1.2 | 23   | 679  |
| 8     | 0.4                           | 0.9 | 16   | 483  |
| 9     | 0.5                           | 1.1 | 21   | 611  |
| 10    | 1.9                           | 4.2 | 84   | 2466 |
| 11    | 0.7                           | 2.0 | 39   | 1162 |
| 12    | 0.7                           | 1.1 | 15   | 457  |

Metabolic Litter (ML), Soil Microbes (SM), SLOW, and OLD organic matter.

analysis. For all three station locations, positive  $dCO_2$  values were associated with transitions to consistently negative NEP, which indicates net carbon losses from terrestrial ecosystems through microbial respiration. Negative  $dCO_2$  values were accompanied by increases in NEP to comparatively high and consistently positive values that would indicate net ecosystem carbon gains through photosynthetic fixation.

Simple linear regression of the paired monthly  $dCO_2$  concentrations versus NEP estimates resulted in negative slopes and  $r^2$  values of 0.67, 0.09, and 0.24 for BRW, MLO, and CHR, respectively. If a one month lag was assumed (to account for atmospheric mixing), so that NEP for month  $t$  is plotted against  $dCO_2$  for month  $t+1$ , the coefficients become 0.19 for BRW, 0.52 for MLO, and 0.17 for CHR. Atmospheric circulation and boundary-level mixing effect may cause a delay of about a month in equilibrium  $CO_2$  concentrations at MLO, which is thought to be characteristic of globally averaged  $CO_2$  cycle [Tucker et al., 1986].

#### Model Result Comparisons of Production

The terrestrial production estimate from the CASA-Biosphere model of 48 Pg C  $yr^{-1}$  is within several Pg C of previously published estimates. For example, the TEM estimate is 53.2 Pg C  $yr^{-1}$  [Melillo et al., 1993]. Although we use the some of the same calibration sites as those used in TEM for our NPP estimates, the modeling approaches are sufficiently different that continental estimates are only loosely constrained. On a continental basis, our model estimates production for North and South America at 6.1 and 14.4 Pg C  $yr^{-1}$ , respectively, compared to

TEM predictions of 7.0 [McGuire et al., 1992] and 12.5 Pg C  $yr^{-1}$  [Raich et al., 1991]. The average CASA-Biosphere model estimate for NPP ( $g\ m^{-2}\ yr^{-1}$ ) in tropical evergreen forests is about 6% higher than the corresponding TEM prediction, which may explain the difference in total production for the South American continent. Differences in area estimates for the various vegetation types, however, confound this analysis.

We compared grid cell estimates of NPP from the CASA-Biosphere and MIAMI [Lieth, 1975] models. Figure 10 shows these estimates aggregated for vegetation types. The MIAMI model estimates global terrestrial NPP at around 61 Pg C, which is about 20% higher than the CASA model prediction. The lower CASA NPP estimates for many biomes may be due in part to the sensitivity of our model to IPAR. Even though the mean climate - NPP regressions developed in the MIAMI model may suggest a potential NPP for a grid cell, there can be areas within the cell where plants do not persist (e.g., surface area covered by rock, lakes or asphalt) or times of the year when human management has altered the land cover. These bare areas will lower the average IPAR for the grid cell and thus reduce the average NPP calculated in CASA for the biome type on a per square meter basis. For example, the CASA predicted NPP for class 11 (bare soil and deserts) is less than one third of the MIAMI model estimate.

#### Implications for Litter and Soil C Storage

The CASA-Biosphere model predicts that undecomposed litter plus carbon pools in the upper (0.3 m) soil contain about 620 Pg C, slightly more than one-third of Schlesinger's [1991] global estimate of 1500 Pg C which considers soil pools to 1.0 m depth. Our prediction of nonwoody surface litter (51 Pg C) is close to Schlesinger's [1977] estimate of 55 Pg C. The CASA prediction for standing litter pools in the tropics is somewhat higher than expected, compared to those for temperate forests (Table 9). One reason for this pattern is that overall litter decomposition rates can be underestimated using the fractionation algorithm shown in equation (16) [Parton et al., 1993], especially if the litter lignin-to-nitrogen ratio is high.

Model results (not shown here) indicate that C-to-N ratios of litter entering the soil system consistently tend toward minimum levels for all vegetation classes, except in extreme high-latitude areas. Under the present model structure, N mineralization rates are adequate to meet the maximum demands of vegetation. This pattern may result from sensitivity to the initial state of soil N pools, which follow from a spatially uniform fraction of Post et al.'s [1985] storage estimates. The overall availability of nitrogen to plant, litter, microbe and soil pools is fixed to these initial levels. Further tests involving soil N initialization levels and feedbacks on decomposition rates are underway to better understand ecosystem





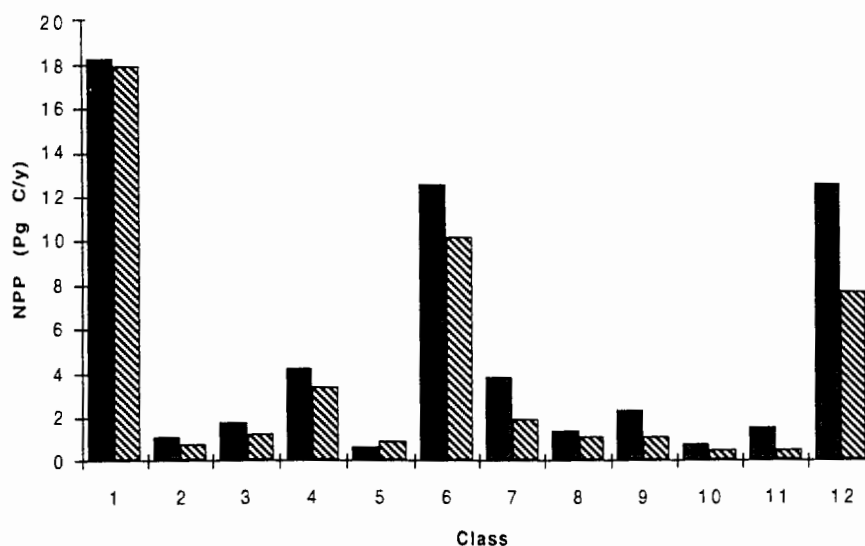


Fig. 10. Comparison of model NPP model predictions by vegetation classes from Dorman and Sellers [1989]. Shaded bars are MIAMI model [Lieth, 1975] predictions; hatched bars are CASA model (this study) predictions.

model sensitivity to nitrogen sources and sinks.

Comparison of our steady state estimates of soil carbon pools to initial model conditions, the latter of which matches the geographic distribution for life zones as reported by Post et al. [1985], indicates that the simulation predicts somewhat lower soil carbon storage at high latitudes to mid latitudes ( $90^{\circ}$ - $30^{\circ}$  N) and higher pools in tropical ( $20^{\circ}$  N- $20^{\circ}$  S) latitudes. Part of the difference may be due to the fact that we model only the upper 0.3 m of the soil, while Post et al. [1985] consider C storage to 1 m soil depth. However, if we compare the average CASA model estimate of carbon stored in upper soil layers of moist tropical forests ( $5.3 \text{ kg m}^{-2}$  to 0.3 m depth) to Detwiler's [1986] estimate of  $6.5 \text{ kg m}^{-2}$  to 0.4 m depth, there is closer correspondence between observed and predicted. It should be noted, however, that the distribution of C storage in upper soil layers does not necessarily reflect soil carbon pools below 0.3 m depth. Previous comparisons suggest that the greatest difference between tropical and temperate soils is found in deep profile layers [Sanchez et al., 1982]. Our focus on the top 0.3 m soil is attributed to poor understanding of organic matter dynamics in deeper soils.

Another explanation for the prediction of relatively large soil C pools in the tropics is that 66% of all fine textured soils in the FAO-SMW are located between  $30^{\circ}$  N and  $30^{\circ}$  S [Zobler, 1986]; as pointed out by Parton et al. [1989b], the model structure used in CASA reduces the fraction of carbon lost as  $\text{CO}_2$  during transfer to the SLOW pool in tropical soils with high silt-clay contents as per equation (18). In addition, CASA overlooks the effect of seasonal fires on reduction of soil organic matter accumulation, which may be particularly important in dry tropical areas.

The fraction of total soil carbon made up by the SLOW soil pool, which we estimate to have a residence time of 10-85 yr in most upper soil layers (Table 10), has important implications for studies of the global carbon cycle. We estimate that this fraction makes up around 65% of carbon in soil upper layers at latitudes higher than  $30^{\circ}$  N, but is as high as 83% in tropical zones. The model predicts a global SLOW pool of 300 Pg C in the surface (0.3 m) soil layers, which represents less than one third of estimated global litter and soil C storage [Houghton et al., 1990; Schlesinger, 1991]. Independent estimates using soil radiocarbon measurements of SLOW C pool size and turnover time by Harrison et al. [1993] suggested values somewhat higher than our own (75% of the total with turnover time of 25 yr, for a SLOW pool total of about 500 Pg C). Results from the CASA-Biosphere model suggest that, under a climate warming scenario, higher turnover times of relatively large SLOW carbon pools in tropical ecosystems may lead to substantial increases in  $\text{CO}_2$  fluxes from microbial respiration, as predicted by a simpler model [Townsend et al., 1992].

#### *Advantages and Limitations of the Model*

The CASA experience shows that remote sensing and GIS technologies, when used in conjunction with large scale land data bases, can help bridge the gap in scales that exists between global biosphere models and the very local data used to calibrate them. Nevertheless, the NPP calibration process used in CASA has scaling limitations of both a temporal and spatial nature. Predictions are based on mean monthly climate data from the period 1930-1960 and remote sensing observations collected from a single

year (1987). In the calibration process, predicted NPP is compared with observations that have been gathered at various intervals over the past 30 years. The temporal discontinuity between climate, satellite and NPP site observations introduces uncertainty into CASA model estimates. Such discontinuities may be reduced in part as more satellite data become available for use in multi-year global biosphere studies. Uncertainty is also introduced into the model as a result of the difference in spatial resolution between climate/satellite data sets (~100 km) and NPP site data (with plot sizes ranging from meters to hundreds of meters). The main difficulty is that calibration sites cannot represent the heterogeneity within 1° grid cells. Features such as lakes, bare soil, and asphalt act to reduce satellite derived vegetation indices. We expect that, in general, per area regional estimates of NPP to be somewhat less than the values observed at small study sites, but the magnitude of this effect is difficult to determine without studies based on finer scale data.

Another set of limitations involves the use of a single layer soil submodel for moisture controls. First, element leaching to layers below the rooting zone was not considered in this study. Second, while the soil submodel integrates moisture availability over the top 1-2 m of soil, the scalar used to calculate carbon turnover and nitrogen mineralization fluxes applies only to the upper 0.3 m of the soil profile. Third, a single layer soil model fails to adequately account for the high efficiency with which a dry upper layer prevents evaporative loss from wetter lower layers [Hillel, 1980].

The confidence one places in model predictions depends to a large degree on reliability of input data sets. Modeling at the global scale currently necessitates use of data inputs that have not been extensively verified. This is particularly true for land use and soil data sets, where the problems involve both the density of measured sites and the consequences of aggregation to a few classes.

Models based on remote sensing data have relatively strong potential to analyze temporal changes during the era of satellite data, but their applicability to other times, climates, and biome distributions is less clear. Without additional algorithms for simulating changes in NDVI under

altered conditions, the CASA-Biosphere model has limited use for climate- or vegetation-change scenarios. Extensions and improvements in the satellite record will enhance its usefulness for detecting and quantifying global change.

## CONCLUDING REMARKS

The CASA-Biosphere model links ecological regularity (e.g., the IPAR:NPP relationship) and process-level descriptions (e.g., effects of temperature and water on NPP and soil C and N transformations) with satellite and surface data at the global scale. The result has some limitations, but also some unique advantages. The use of an AVHRR-based vegetation index gives the model rich access to intra-annual and interannual variability, including some aspects of agriculture and land use change. Because the model emphasizes scaling at the process rather than the biome level, the results are only sparingly sensitive to the quality and quantity of data characterizing any single ecosystem type. This approach also tends to minimize impacts of structural and taxonomic variation within regions classified as a single biome.

Modeled global NPP is comparable to estimates from other recent models, and the seasonal pattern of modeled global NEP is consistent with the intra-annual dynamics of atmospheric CO<sub>2</sub>. Improved validation will depend on finer scale remote sensing data and on new experimental data, concerning both ecosystem processes and the spatial and temporal distribution of atmospheric CO<sub>2</sub>.

While the CASA approach is not ideally suited for studies of land use, atmospheric, and climate change, its can contribute to efforts along those lines. The generation of models that successfully simulates response(s) of the terrestrial biosphere to changes in land use, atmospheric CO<sub>2</sub>, and climate will be likely to include components from diverse approaches.

## APPENDIX

Major pool variables and scalars are described in this appendix. Variable definition sources include data input drivers (D), spatially uniform settings (U), and model calculations (M).

TABLE A1. Definitions for Major Pool Variables and Scalars

| Name                          | Description                  | Source | Value | Units              |
|-------------------------------|------------------------------|--------|-------|--------------------|
| <i>Soil Moisture Submodel</i> |                              |        |       |                    |
| EET                           | Estimated evapotranspiration | M      |       | m mo <sup>-1</sup> |
| PACK                          | Snow pack pool               | M      |       | m                  |
| PET                           | Potential evapotranspiration | M      |       | m mo <sup>-1</sup> |

TABLE A1. (continued)

| Name                               | Description                           | Source | Value   | Units                                |
|------------------------------------|---------------------------------------|--------|---------|--------------------------------------|
| PPT                                | Precipitation                         | D      |         | m mo <sup>-1</sup>                   |
| RDR                                | Relative drying rate scalar           | M      | 0-1     | unitless                             |
| SOILM                              | Soil moisture storage pool            | M      |         | m                                    |
| T                                  | Air temperature                       | D      |         | °C                                   |
| <i>NPP and Litterfall Submodel</i> |                                       |        |         |                                      |
| $\epsilon$                         | Light utilization efficiency          | M      |         | g C MJ <sup>-1</sup> PAR             |
| IPAR                               | Intercepted PAR                       | M      |         | MJ                                   |
| LT <sub>LAI</sub>                  | Monthly litterfall fraction           | M      | 0-1     | unitless                             |
| NPP                                | Net primary productivity              | M      |         | g C m <sup>-2</sup> mo <sup>-1</sup> |
| PAR                                | Photosynthetically active radiation   | M      |         | MJ mo <sup>-1</sup>                  |
| SOL                                | Solar radiation                       | D      |         | MJ mo <sup>-1</sup>                  |
| T <sub>opt</sub>                   | Temperature optimum for NPP           | M      |         | °C                                   |
| T <sub>ε1</sub>                    | Temperature stress factor             | M      | 0-1     | unitless                             |
| T <sub>ε2</sub>                    | Temperature stress factor             | M      | 0-1     | unitless                             |
| W <sub>ε</sub>                     | Water stress factor                   | M      | 0-1     | unitless                             |
| <i>Soil C/N Submodel</i>           |                                       |        |         |                                      |
| ETX                                | Soil texture effect scalar            | M      | 0-1     | unitless                             |
| LFA <sub>c</sub>                   | Leaf carbon allocation fraction       | U      | 0.33    | unitless                             |
| LF <sub>l</sub>                    | Leaf lignin fraction                  | M      | 0-1     | unitless                             |
| LM <sub>c</sub>                    | Surface litter microbial C pool       | M      |         | g C m <sup>-2</sup>                  |
| LM <sub>cn</sub>                   | Surface litter microbial C-to-N ratio | U      | 10      | unitless                             |
| LM <sub>k</sub>                    | Surface litter turnover rate          | U      | 0.455   | mo <sup>-1</sup>                     |
| LM <sub>n</sub>                    | Surface litter microbial N pool       | M      |         | g N m <sup>-2</sup>                  |
| M <sub>ε</sub>                     | Microbial C assimilation efficiency   | U      | 0.45    | unitless                             |
| MIN <sub>n</sub>                   | Mineral nitrogen pool                 | M      |         | g N m <sup>-2</sup>                  |
| ML <sub>c</sub>                    | Metabolic leaf litter carbon pool     | M      |         | g C m <sup>-2</sup>                  |
| ML <sub>cn</sub>                   | Metabolic leaf litter C-to-N ratio    | U      | 25      | unitless                             |
| ML <sub>k</sub>                    | Metabolic leaf litter turnover rate   | U      | 0.703   | mo <sup>-1</sup>                     |
| ML <sub>n</sub>                    | Metabolic leaf litter nitrogen pool   | M      |         | g N m <sup>-2</sup>                  |
| MR <sub>c</sub>                    | Metabolic root litter carbon pool     | M      |         | g C m <sup>-2</sup>                  |
| MR <sub>cn</sub>                   | Metabolic root litter M-to-N ratio    | U      | 25      | unitless                             |
| MR <sub>k</sub>                    | Metabolic root litter turnover rate   | U      | 0.781   | mo <sup>-1</sup>                     |
| MR <sub>n</sub>                    | Metabolic root litter nitrogen pool   | M      |         | g N m <sup>-2</sup>                  |
| OLD <sub>c</sub>                   | Old soil carbon pool                  | M      |         | g C m <sup>-2</sup>                  |
| OLD <sub>k</sub>                   | Old soil carbon turnover rate         | U      | 0.00056 | mo <sup>-1</sup>                     |
| OLD <sub>n</sub>                   | Old soil nitrogen pool                | M      |         | g N m <sup>-2</sup>                  |
| Q <sub>10</sub>                    | Q <sub>10</sub> constant              | U      | 2.0     | unitless                             |
| RTA <sub>c</sub>                   | Root carbon allocation fraction       | U      | 0.33    | unitless                             |
| RT <sub>l</sub>                    | Root lignin fraction                  | M      | 0-1     | unitless                             |
| SL <sub>c</sub>                    | Structural leaf litter carbon pool    | M      |         | g C m <sup>-2</sup>                  |
| SL <sub>cn</sub>                   | Structural leaf/root C-to-N ratio     | M      | 150     | unitless                             |
| SL <sub>n</sub>                    | Structural leaf litter nitrogen pool  | M      |         | g N m <sup>-2</sup>                  |
| SLOW <sub>c</sub>                  | Slow soil carbon pool                 | M      |         | g C m <sup>-2</sup>                  |
| SLOW <sub>k</sub>                  | Slow soil carbon turnover rate        | U      | 0.0163  | mo <sup>-1</sup>                     |
| SLOW <sub>n</sub>                  | Slow soil nitrogen pool               | M      |         | g N m <sup>-2</sup>                  |
| SM <sub>c</sub>                    | Soil microbial carbon pool            | M      |         | g C m <sup>-2</sup>                  |
| SM <sub>cn</sub>                   | Soil microbial C-to-N ratio           | U      | 10      | unitless                             |

TABLE A1. (continued)

| Name             | Description                            | Source | Value | Units               |
|------------------|--|--------|-------|---------------------|
| SM <sub>n</sub>  | Soil microbial nitrogen pool           | M      |       | g N m <sup>-2</sup> |
| SRT <sub>c</sub> | Structural root litter carbon pool     | M      |       | g C m <sup>-2</sup> |
| SRT <sub>n</sub> | Structural root litter nitrogen pool   | M      |       | g N m <sup>-2</sup> |
| T <sub>s</sub>   | Soil temperature effect scalar         | M      | 0-2.8 | unitless            |
| WDA <sub>c</sub> | Woody carbon allocation fraction       | U      | 0.33  | unitless            |
| WD <sub>c</sub>  | Woody detritus carbon pool             | M      |       | g C m <sup>-2</sup> |
| WD <sub>cn</sub> | Woody detritus C-to-N ratio            | U      | 260   | unitless            |
| WD <sub>k</sub>  | Woody detritus carbon turnover rate    | U      | 0.04  | mo <sup>-1</sup>    |
| WD <sub>l</sub>  | Woody detritus lignocellulose fraction | M      | 0.35  | unitless            |
| WD <sub>n</sub>  | Woody detritus nitrogen pool           | M      |       | g N m <sup>-2</sup> |
| W <sub>s</sub>   | Soil water effect scalar               | M      | 0-1   | unitless            |

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