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# Satellite Observations of the Contrasting Response of Trees and Grasses to Variations in Water Availability 

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#### Abstract

Interannual variations in ecosystem primary productivity are dominated by water availability. Until recently, characterizing the photosynthetic response of different ecosystems to soil moisture anomalies was hampered by observational limitations. Here, we use a number of satellite-based proxies for productivity, including spectral indices, sun-induced chlorophyll fluorescence, and data-driven estimates of gross primary production, to reevaluate the relationship between terrestrial photosynthesis and water. In contrast to nonwoody vegetation, we find a resilience of forested ecosystems to reduced soil moisture. Sun-induced chlorophyll fluorescence and data-driven gross primary production indicate an increase in photosynthesis as a result of the accompanying higher amounts of light and temperature despite lowered light-use-efficiency. Conversely, remote sensing indicators of greenness reach their detection limit and largely remain stable. Our study thus highlights the differential responses of ecosystems along a tree cover gradient and illustrates the importance of differentiating photosynthesis indicators from those of greenness for the monitoring and understanding of ecosystems.


Plain Language Summary The capacity of vegetation to thrive and to sequester carbon depends on how much water they can have access to. In this work, we evaluate how different types of satellite observations can describe the response of vegetation to changes in soil moisture over the entire planet. The first source of observation measures only the greenness of the land surface, the second measures light that is emitted by pigments in plants which are photosynthetically active (chlorophyll fluorescence), and the third are simulations of gross carbon uptake derived from machine learning techniques. For periods of water shortage all three indicate a reduction of growth in ecosystems with few trees. However, in cold boreal forests, when soil moisture is particularly low, we still detect an increase in photosynthesis due to higher light and temperature conditions, but this is not reflected in the greenness indicator. This work illustrates how lack of water is not necessarily harmful for catching carbon through photosynthesis, but to monitor this effect, we need remote sensing indicators that measure more than just how green the plants are, and fluorescence is likely a good candidate.

## 1. Introduction

Several recent studies stress the dominant role of water availability in driving the interannual variability of photosynthetic activity and land carbon uptake at the global scale (Jung et al., 2011, 2017; Poulter et al., 2014; Vicente-Serrano et al., 2013). Water deficit has been reported to cause major reductions in photosynthesis (Barber et al., 2000; Barr et al., 2002; Ciais et al., 2005; Peng et al., 2011; Schwalm et al., 2012; Sun et al., 2015; Yoshida et al., 2015; Zscheischler et al., 2014), particularly in semiarid regions (Ahlström et al., 2015; Huang et al., 2016). Anomalies in precipitation caused by strong phases of the El Niño/Southern Oscillation are associated with large variability in the land carbon uptake in the semiarid ecosystems (Poulter et al., 2014) and in the tropics (Liu et al., 2017). For tropical ecosystems in particular, there has been a long debate on the degree of water limitation on photosynthesis (Asner \& Alencar, 2010; Brando et al., 2010; Guan et al., 2015; Huete et al., 2006; Morton et al., 2014; Myneni et al., 2007; Nemani et al., 2003; Saleska et al., 2007; Wu et al., 2018). Negative impacts of water deficit (and heat) on gross primary productivity (GPP) are also reported for temperate and boreal forests (Allen et al., 2010; Angert et al., 2005; Barr et al., 2002; le Maire et al., 2010;

Peng et al., 2011; Piao et al., 2014; Sippel et al., 2017). However, neither the ecosystem strategies to cope with water stress (like the degree of isohydricity, enzymatic changes, carbon allocation, and structural changes of the canopy) nor the possible mechanisms overrunning drought resistance and resilience capacities (e.g., cavitation, carbon starvation, and critical soil moisture thresholds) are fully understood (Fisher et al., 2017; van der Molen et al., 2011). This is partly due to limited observational capabilities which only allow indirect diagnosis of terrestrial photosynthetic activity across large spatial domains.

Advances in satellite Earth observations from the last decades offer the means to systematically examine the state of vegetation structure and function at the proper spatial and temporal scales. Traditionally, this is done using vegetation indices based on red and near-infrared reflectances, such as the enhanced vegetation index (EVI; Huete et al., 2002), which serve as proxies for photosynthetic potential and relate to plant structure and chlorophyll content (i.e., green biomass). However, such indices will not respond to variations in water availability if these do not generate a marked change in green biomass. Estimations of GPP from flux tower eddy-covariance measurements do capture such water stress-related variations in photosynthesis that occur in the absence of changes in greenness, but they are only available over few unevenly distributed sites (Schimel et al., 2015). This has resulted in efforts to generate spatially explicit simulations of GPP by training machine learning algorithms to upscale site-level empirical relationships between flux tower GPP and environmental and land surface properties derived from satellite observations (Beer et al., 2010; Jung et al., 2011; Tramontana et al., 2016). In parallel, a new possibility for estimating GPP directly from space at global scale has emerged using sun-induced chlorophyll fluorescence (SIF). SIF is a weak electromagnetic signal emitted by photosynthesising plants driven by the amount of radiation absorbed by chlorophyll (APAR). SIF also contains information on the efficiency with which the absorbed energy is used in carbon assimilation through the fraction of absorbed light that is reemitted as SIF (Frankenberg et al., 2011; Joiner et al., 2011; Meroni et al., 2009; Porcar-Castell et al., 2014; Yoshida et al., 2015; Zarco-Tejada et al., 2013). Similar to a model describing GPP after Monteith (1972), SIF can be formalized as

$$
\begin{equation*}
S I F=A P A R * L U E f * f_{\mathrm{esc}} \tag{1}
\end{equation*}
$$

where LUEf describes the light-use-efficiency of fluorescence and $f_{\text {esc }}$ the escape probability of a SIF photon from the canopy due to scattering and reabsorption. However, the respective contributions of the factors in equation (1) to the total SIF signal across time still need to be disentangled, while further research is also needed to understand the explicit coupling of SIF to GPP over these scales (Porcar-Castell et al., 2014).

Given the importance of both GPP and water availability for land carbon uptake, we analyze how productivity varies with both positive and negative anomaly events in soil moisture content of various intensities in global ecosystems along a tree cover gradient. Our assessment is based on a simultaneous evaluation of all three indicators: estimated GPP, SIF, and EVI.

## 2. Data and Methods

### 2.1. Data

We use data sets aggregated to 16 days (sampled every 8 days) and to $1^{\circ}$ from their native resolution, which minimizes noise and is sufficient to investigate the global patterns in temporal variability of vegetation primary productivity and its relation to climate drivers. However, for the analysis of the effect of tree cover on the vegetation response to changes in soil water a finer spatial resolution is more meaningful and we use $0.5^{\circ}$ data. The study period comprises the years from 2007 to 2015.

### 2.1.1. SIF

The longest available SIF data records (from January 2007 onward) originate from measurements of the GOME-2 instrument onboard the MetOp-A satellite. Based on the GOME-2 observations, global far-red SIF data sets ( 740 nm ) have been produced (Köhler et al., 2015, ungridded level 2 data). From the individual measurements those taken under sun zenith angles larger than $70^{\circ}$, after 2 p.m. or before 8 a.m. local solar time were excluded. In order to remove the data with the highest cloud contamination, the effective cloud fraction was used to filter out observations with cloud fractions larger than $50 \%$. The remaining valid observations were gridded to $1^{\circ}$ spatial and 16 days temporal resolution.

### 2.1.2. Greenness Indices and Land Cover

The greenness index EVI (Huete et al., 2002) has been calculated from Moderate Resolution Imaging Spectroradiometer (MODIS) nadir surface reflectance measurements. MCD43C4v005 data were
retrieved from the online Reverb, courtesy of the National Aeronautics and Space Administration (NASA) EOSDIS Land Processes Distributed Active Archive Center, U.S. Geological Survey (USGS)/Earth Resources Observation and Science Center, Sioux Falls, South Dakota, https://lpdaac.usgs.gov/dataset_ discovery/modis/modis_products_table/mcd43c4. The surface reflectances gridded at $0.05^{\circ}$ have been filtered for snow and good quality retrievals (quality flags 0 and 1, meaning at least $75 \%$ with full or best inversions); the EVI has been calculated and then aggregated to $1^{\circ}$ spatial resolution.

Furthermore, information on land cover according to the International Geosphere Biosphere Programme classification has been retrieved from the MCD12C1 file for 2009 (we take this year as representative for the whole study period) in order to exclude regions from the analysis that are covered by water and ice or that are barren. We aggregated it to $1^{\circ}$ spatial resolution by assigning the land cover class with the most frequent occurrence in all subpixels of $0.05^{\circ}$.

### 2.1.3. Data-Driven GPP Model Simulations

Additional comparisons are carried out with model results of GPP from the FLUXCOM simulations (Tramontana et al., 2016, http://www.fluxcom.org/products.html). Different machine learning techniques are used to spatially upscale the empirical relationship established at FLUXNET eddy-covariance tower locations between GPP and various land surface variables to the globe (we use the FLUXCOM-RS setup where only remotely sensed variables inferred from MODIS measurements are used as explanatory variables). We use the median of an ensemble of 18 simulations that come with a native resolution of $1 / 12^{\circ}$ and 8 days.

### 2.1.4. Meteorological Data and Soil Water Content

To study the environmental effects on vegetation, we look at temperature and water conditions using the air temperature at 2-m height and the volumetric soil water content in the four layers between $0-$ to $7-$ - 7 - to 28-, 28- to 100-, and 100-to $289-\mathrm{cm}$ depth from ERA-Interim reanalysis data (Dee et al., 2011). We convert the volumetric soil water content in cubic meters per cubic meters to millimeters and additionally take an average across all four soil layers weighted by the layer thickness.

In order to have an estimate of the incoming radiation, we use all-sky surface fluxes of downward shortwave radiation (global radiation) computed from observed top-of-atmosphere fluxes that are distributed at $1^{\circ}$ spatial and daily temporal resolution (the "SYN1deg-Day product," Ed4A) by the Clouds and the Earth's Radiant Energy System (CERES) onboard of the Aqua and Terra satellites (Doelling et al., 2013). Disaggregation to $0.5^{\circ}$ spatial resolution is accomplished by bilinear interpolation.

### 2.1.5. Tree Cover and Köppen Climate Classification

Information on the amount of tree cover is inferred from the global maps of forest cover gain and loss by Hansen et al. (2013) based on Landsat images. The global forest cover in 2009 (with tree cover defined as the areal coverage with canopies of more than $5-\mathrm{m}$ height) has been obtained by combining information on the global tree cover in 2000 and the yearly losses until 2009. The gains until 2009 have been estimated from the given growth by 2012 assuming a linear growth between 2000 and 2012. This information on forest cover in 2009 has subsequently been aggregated from the native $30-\operatorname{arc} \sec$ resolution to $1^{\circ}$. Climate classification is based on the latest release of the global map of the Köppen-Geiger classification representative for the period 1986-2010 (Kottek et al., 2006; Rubel et al., 2017).

It is a known issue that SIF measurements suffer from noise contamination in South America due to high cosmic particle fluxes in the region of the South Atlantic Anomaly (Köhler et al., 2015). We therefore exclude this region (Transcom region 4, all of South America except larger Amazonia) from all analyses.

### 2.2. Methods

### 2.2.1. Normalized Deviations From the Average Behavior

All data streams of vegetation proxies and of meteorological and soil moisture conditions are treated in the same way in that first a linear trend is removed and subsequently the mean seasonal cycle is subtracted in each pixel. The resulting deviations from the average temporal behavior originate from shifts in phenology and will be a natural reaction of the vegetation to meteorological variations. They do not describe anomalous (in the sense of unexpected) behavior of the plants. The analysis of the deviations is limited to the growing season. See supporting information Text 2 for details on the data treatment (Baumbach et al., 2017; Braswell et al., 1997; Ceccherini et al., 2014; Donges et al., 2016; Frank et al., 2015; le Maire et al., 2010; Lyapustin et al., 2014; Mahecha et al., 2017; Moore et al., 2016; Rammig et al., 2015; Smith, 2011; Vicca et al., 2016; Wu et al., 2012; Zhang et al., 2016; Zhou et al., 2016; Zscheischler et al., 2013, 2014).

A standardization of each data set by its area weighted standard deviation across the whole data cube will make the deviations comparable between vegetation proxies as well as their ranges and units. In this procedure each voxel at the position $x$ (longitude), $y$ (latitude), $t$ (time) in the cube of deviations is first weighted by the cosine of the latitude as an approximation of grid cell area.

$$
\begin{equation*}
\Delta \operatorname{proxy}_{x, y, t}^{\text {weighted }}=\Delta \operatorname{proxy}_{x, y, t} * \cos (\operatorname{lat}(y)) \tag{2}
\end{equation*}
$$

The normalized deviations are then defined as

$$
\begin{equation*}
\Delta \text { proxy }^{\text {norm }}=\frac{\Delta \text { proxy }}{\operatorname{sd}\left(\Delta \text { proxy }_{1: n}^{\text {weighted }}\right)} \tag{3}
\end{equation*}
$$

where 1:n denotes all voxels in space and time.
Hence, the resulting deviations from the average vegetation behavior are measured in units of "global (spatiotemporal) standard deviations (global SD)."

### 2.2.2. Event-Based Analysis

The link between meteorology and vegetation variability is studied from a driver perspective, which means that we define events based on deviations from climatology in one meteorological variable. Then, the corresponding deviation in the vegetation proxies is analyzed for each meteorological event. We use deviations in the soil water content to define a meteorological event as consecutive 16 -day periods (time steps) of positive (negative) deviations in a given pixel. We then sum the deviations of a given vegetation proxy in the same pixel $x, y$ over the duration of a given event $k$ and will obtain the integrated deviation (or event size) as the immediate vegetation response to the soil moisture event.

$$
\begin{equation*}
\text { event }_{x, y, k}^{\mathrm{proxy}}=\sum_{i=t_{m}}^{t_{n}} \Delta \operatorname{proxy}_{x, y, i} \tag{4}
\end{equation*}
$$

where the first time step $t_{m}$ and the last one $t_{n}$ belonging to the event $k$ are defined by the deviations in soil moisture

$$
\Delta \mathrm{SM}_{x, y, t_{m} \cdots t_{n}}>0 \& \Delta S M_{x, y, t_{m}-1}<0 \& \Delta \mathrm{SM}_{x, y, t_{n}+1}<0
$$

or

$$
\Delta \mathrm{SM}_{x, y, t_{m} \ldots t_{n}}<0 \& \Delta \mathrm{SM}_{x, y, t_{m}-1}>0 \& \Delta \mathrm{SM}_{x, y, t_{n}+1}>0
$$

Iterating over all pixels and events, we will thus obtain integrated vegetation deviations that can be compared across proxies in a consistent way, since the meteorological events are the same for every vegetation proxy. For summary plots other than maps the deviations are weighted by their areal contributions to the average (again, a pixel value is weighted with the cosine of the latitude). For the soil moisture we show integrated event sizes of relative deviations in order to make deviations in soil moisture comparable across space. The relative deviations in soil moisture are defined as

$$
\begin{equation*}
\Delta \mathrm{SM}_{x, y, t s, a}^{\mathrm{rel}}=\frac{\Delta \mathrm{SM}_{x, y, t s, a}}{\overline{\mathrm{SM}_{x, y, t s}}} \tag{5}
\end{equation*}
$$

with subscript $t s$ denoting a time step of the year and $a$ a given year.

## 3. Results

### 3.1. Contrasting Patterns of Vegetation Productivity Associated With Below Average Soil Water Content

A spatial diagnostic of the average vegetation deviation associated with periods of below average soil moisture illustrates how both photosynthesis (represented by SIF and model GPP) and greenness (EVI) strongly decrease in large parts of the world (Figure 1). These areas mainly correspond to semiarid regions where the vegetation cover is dominated by grassland, savannah and cropland, with little or no trees (Figure 1d). In such areas, vegetation activity heavily depends on water availability and is therefore highly variable (Ahlström et al., 2015; Poulter et al., 2014; cf. supporting information Figures S2 and S3), and strongly coupled to the atmosphere (Koster et al., 2004; Zscheischler et al., 2015). On the contrary, in ecosystems with


Figure 1. Typical vegetation reaction to below average soil water content: ( $a-c$ ) deviations seen in the vegetation observations averaged across all events of reduced soil moisture. Units are given in "global SD," meaning the standard deviation in space and time across the data cube of deviations (see section 2.2). (d) Average amount of tree cover in a pixel. EVI = enhanced vegetation index; SIF = sun-induced chlorophyll fluorescence; GPP = gross primary productivity.
medium-to-high tree cover, results show a relative increase in photosynthesis in periods of reduced water availability. To better analyze this pattern, Figures $2 \mathrm{a}-2 \mathrm{c}$ display the deviations from the mean in productivity and greenness along a tree cover gradient and across a range of different intensities in anomalies in water availability. For nonforested ecosystems, the three vegetation proxies consistently show the expected synchronous patterns of reduced/increased photosynthesis and greenness in times of decreased/enhanced soil water content. Furthermore, the magnitude of the vegetation anomaly increases with the strength of the departure of soil moisture from the mean, as expected. The situation changes along the tree cover gradient as both SIF and modeled GPP detect a clear reversal in the sign of the deviations in photosynthesis co-occurring with strong anomalies in water content. Here, water deficits are actually associated with increased photosynthesis whereas wetter-than-usual periods lower it (cf. Figure S4). This effect is persistent even when considering soil moisture anomalies at different soil depths (supporting information Figure S5). These regional patterns of enhanced photosynthesis are in contrast to the established perception that reduced water availability has a generally negative impact on the primary productivity of terrestrial ecosystems (Liu et al., 2013; Reichstein et al., 2013; Schwalm et al., 2012; Zhao \& Running, 2010). Interestingly, the traditional satellite-based greenness index (EVI) is not markedly enhanced in forests during periods of reduced soil moisture and has a different threshold of inversion along the tree cover gradient (cf. short discussion in supporting information Text S3).
We further decompose SIF and GPP into anomalies of absorbed radiation (APAR), here approximated as the product of EVI with radiation, and light-use-efficiency (LUEf and LUEp, SIF, or GPP divided by APAR, respectively; Figures 2d-2f; ; Monteith, 1972). The dominant pattern of deviations in the photosynthesis proxies is qualitatively consistent with APAR anomalies. This suggests that in periods of diminished soil moisture, more incoming light combined with weak changes in greenness drives the positive photosynthesis response in forests. Conversely, for ecosystems with low to moderate tree cover, negative deviations in APAR are largely due to strong declines in greenness. Consistent with theoretical expectations, LUE


Figure 2. Patterns of vegetation greenness, photosynthesis, APAR, and LUE associated with water availability along a tree cover gradient: average deviation seen in the vegetation proxies for a given anomaly in the soil water content and as a function of the amount of trees in the given pixel. Nonforest is defined as ecosystems with a tree cover fraction of below $1 \%$. APAR is approximated as $E V I * R g$, fluorescence yield LUEf as $S I F /(E V I * R g)$, and photosynthetic light-use-efficiency LUEp as $G P P /(E V I * R g)$. EVI = enhanced vegetation index; SIF = sun-induced chlorophyll fluorescence; GPP = gross primary productivity; APAR = absorbed photosynthetically active radiation; LUE = light-use-efficiency; $\mathrm{SD}=$ standard deviation.
(LUEf and LUEp) is generally reduced when soil moisture is below average, also for forests. This suggests that the photosynthetic performance is decreased below maximum potential levels (which are dictated by APAR) due to colimiting effects of temperature and water on LUEp and further implies that SIF carries also information on physiological responses of photosynthesis beyond green APAR, which are detectable from space (Yoshida et al., 2015). Interestingly, the decline of LUE with soil moisture is weaker for forests compared to nonforests. This likely reflects reduced sensitivities of trees to depleted soil moisture due to deeper and more extensive root systems that facilitate larger access to available moisture. The combined effects of fluctuations in APAR and LUE shape photosynthesis anomaly patterns. In times of decreased soil water content, negative deviations in LUE amplify the effect of lowered APAR for low tree cover which results in the reduction of photosynthesis, while reduced LUE dampens the increased APAR for forests.

### 3.2. The Roles of Light, Climate, and Tree Density in Determining the Photosynthetic Response to Soil Moisture

To explore the mechanism behind the differential response of greenness and photosynthesis to altered water availability, we examine the covariation of temperature, incoming radiation and soil moisture with those vegetation proxies directly derived from satellite. Figure 3 presents the partial correlations in time of deviations in SIF and EVI with respect to either temperature, incoming radiation or soil moisture, whilst controlling for the remaining two. Soil moisture is the variable showing the largest partial correlations for both SIF and EVI in regions with low or no tree cover. This confirms that variations in soil water content affect nonforested ecosystems mainly by causing plant structural and pigment changes (i.e., chlorophyll content and leaf area; Zhang et al., 2016), which translate into the observed variability in greenness, photosynthesis and APAR. For intermediate fractions of tree cover, temperature contributes to explaining the temporal variations of both EVI and SIF, while the partial correlations with soil moisture decrease to 0 . For dense forests, however, partial correlations of SIF and EVI with both soil moisture and temperature drop and radiation becomes the single-most important driver of variability in SIF, while EVI remains negatively correlated to radiation. This


Figure 3. The strength of the relationship between vegetation greenness or photosynthesis and anomalies in meteorology for different amounts of tree cover: partial correlations in time between temporal fluctuations in vegetation proxies and global radiation, temperature, or soil moisture with the effects of the corresponding other two meteorological variables removed. Partial correlations are summarized as a function of tree coverage based here on $0.5^{\circ}$ resolution data. $\mathrm{EVI}=$ enhanced vegetation index; SIF $=$ sun-induced chlorophyll fluorescence.
pattern indicates that generally in forests, primary productivity is mainly controlled by incoming radiation and temperature, with light being the dominant factor in the most dense forests (cf. the consistent results for model GPP in supporting information Figure S6). The increase in photosynthesis also raises transpiration (Koirala et al., 2017), which would result in a reduction of soil water content that is less likely to be replenished by precipitation due to lower cloud cover. Such mechanisms can explain the marked patterns of concurrent increases in photosynthesis and soil water reduction in densely forested areas shown in Figure 2.

However, the signal in the forests is not uniform globally. The results show a clear dependence on the background climate of the observed responses of ecosystems to water anomalies, consistent with some observations by Madani et al. (2017) and Reich et al. (2018). Light variations exert a dominant control in the tropical regions while temperate forests tend to be more sensitive to water availability than more boreal areas (see Figures S7 and S8 and a detailed discussion in supporting information Text S4; Allen et al., 2010; Angert et al., 2005; Barr et al., 2002; Buermann et al., 2013; Buermann et al., 2018; Ciais et al., 2005; Dass et al., 2016; le Maire et al., 2010; Peng et al., 2011; Piao et al., 2014; Sippel et al., 2017; Trujillo et al., 2012; van Mantgem et al., 2009). Apart from the different sensitivities among forests living in different climates, the observed effect of increased photosynthesis under conditions of decreased soil moisture in general is strongest in colder humid climates (Figures 1 and S7) where water is not the main factor limiting photosynthesis. It poses the question of whether the differential patterns along the tree cover gradient observed in Figure 2 are an artifact of the global distribution of forests, which favors comparatively humid regions, or whether there is an intrinsic interdependence between the amount of trees in an ecosystem and how it responds to variations in soil moisture (De Keersmaecker et al., 2015)? Removing the effect of the mean climate we find that regions with a negative relationship between soil moisture and photosynthetic activity when tree cover is higher (i.e., the higher the tree cover the stronger is the association of lower soil water
content with increased photosynthesis and vice versa, red regions in Figure S9) are larger and more contiguous than areas where the relationship is positive. The occurrence of these regions in all climate zones suggests that it is not the distribution of forests in rather humid climates alone that drives the response of forests to meteorological variations but that the intrinsic structural and physiological differences of trees and grasses contribute to the observed differential responses between them (Sims et al., 2014). The most reasonable explanations for this behavior are the greater rooting depth of trees (Canadell et al., 1996), their water storage capacity in the stems (Matheny et al., 2015), and different strategies of water conservation between grasses and trees (Kelliher et al., 1993; Teuling et al., 2010).

### 3.3. The Importance of Greenness Versus Photosynthesis to Assess Variability in Ecosystem Productivity

The regular co-occurrence of increased forest photosynthesis at reduced soil water content (and vice versa), as consistently indicated by SIF and model GPP, cannot reliably be identified using satellite observations of EVI (Figures 1 and 2). The negative covariations of light with soil moisture that strongly drive the fluctuations in forest photosynthesis together with temperature when changes in greenness are largely absent (Figure 3a) can explain the different response of EVI (greenness) from SIF and modeled GPP (photosynthesis) in forests. Furthermore, even though there is striking qualitative consistency between GPP and SIF anomalies, GPP patterns appear to be stronger for the same soil moisture and tree cover conditions compared to SIF anomalies (Figure 2). This is not necessarily due to different physiological responses but could be explained by observational issues of SIF and GPP. In fact, SIF observations are only available for low to moderate cloud cover, which limits the range of radiation conditions that they represent. This observation-constrained radiation gradient propagates to attenuated SIF anomalies and contributes to the overall weaker anomaly patterns of SIF compared to GPP. Clearly, larger noise in the SIF observations compared to the empirically modeled GPP could also further dilute the SIF signal. Moreover, GPP data represent model results with inherent uncertainties and such data-driven approaches have known deficiencies to accurately track water stress (Tramontana et al., 2016). Caution is further warranted in the interpretation of the results in Figures 2d-2f because the product of EVI and global radiation does not accurately describe the light energy absorbed by photosynthetically active plant material (green APAR). Still, the observed patterns proved to be replicable with different greenness indices and another data set of SIF (cf. MODIS NDVI, Tucker, 1979; NIRv, Badgley et al., 2017; and NASA SIF, Joiner et al., 2013; Joiner et al., 2016, in Figures S10 and S11). They are also robust with respect to another soil moisture data set used to define meteorological events (ERAInterim and GLEAM; supporting information Figure S12, Martens et al., 2017; Miralles et al., 2011) and across climate zones (supporting information Figure S7). They even hold for some very large soil moisture deviations (Figures 2 and S13).

While the similar patterns of average variability among different Earth observation products of greenness on the one hand, and among various indicators of photosynthesis on the other hand, build confidence in our results, they represent average patterns based on a limited number of occurrences of soil moisture fluctuations of all magnitudes. The enhancement of forest photosynthesis during periods of high radiation and temperature and reduced soil water content, as observed on average in our results, has also been reported for some very extreme events like for the strong drought in temperate forests in the United States in 2012 (Wolf et al., 2016) or forested areas in Russia during the heat wave in 2010 (Flach et al., 2018). Yoshida et al. (2015) found strong reductions in photosynthesis and greenness in grassland and crops during the same event due to heat effects on the canopy structure, while forest greenness shows insignificant changes and absorbed radiation is enhanced in forests-consistent with our observations. We can further confirm their finding that for forests, soil moisture effects appear primarily as changes in photosynthetic LUEf and LUEp. Conversely, they report strong effects of decreased LUEf and LUEp on total negative anomalies in SIF and GPP in forests. In other studies, contradictory responses of forest greenness to reduced soil moisture are reported. Observations range from negative deviations in the absence of structural changes, via no or only small (Sims et al., 2014; Vicca et al., 2016) greenness changes for extreme drought events, to an apparent green-up under conditions of decreased soil water content (Sims et al., 2014) or under extreme heat (Zhang et al., 2015). These inconsistent patterns reinforce the importance of differentiating between greenness and photosynthesis in any kind of ecosystem study, and they highlight the clear need for advanced observational capabilities of the phenomena at large spatial scale. Also, for climate studies it is of key importance to have an observational system that reliably tracks vegetation responses to anomalous environmental conditions. The results of our study suggest that satellite derived SIF may be a valuable asset in such a refined observational system, which

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is facilitated by SIF's sensitivity to instantaneous photosynthetic functioning and absorbed light energy by chlorophyll, its direct link to plant chlorophyll content, or both. It demonstrates the capacity to inform on short-term responses of vegetation to meteorological anomalies where traditional greenness observations reach their detection limit that results from the intrinsic difference between photosynthesis and greenness.

## 4. Conclusions

The main conclusion to take from our study is twofold: (i) The deviations in vegetation greenness and photosynthesis that are associated with times of fluctuating soil moisture differ in sign between ecosystems with higher or lower abundances of trees and (ii) estimates of greenness and photosynthesis show contrasting average responses in regions with higher tree cover. Our results confirm the importance of water for vegetation productivity that has emerged from a large body of literature. Nonwoody semiarid ecosystems strongly respond to the availability of soil water. At the same time, our findings show that-although apparently obvious-any short-term surplus of water will not necessarily be beneficial for photosynthesis everywhere. Specifically, on the time scales of investigation, photosynthesis in ecosystems with more than $50 \%$ tree cover is more strongly affected by the covariations in light and temperature than by soil moisture itself, with variations in the degree of its dependencies on the prevailing climate conditions. In contrast to photosynthesis, greenness does barely change in those areas.

These patterns have both ecological and methodological implications. First, the differential relationship of forested and nonforested ecosystems with soil moisture has important consequences for the functioning of ecosystems in regions with extensive ongoing deforestation or afforestation. Man-made changes in forest cover modify the degree to which carbon uptake by vegetation is limited and consequently affected by water or light (or temperature). Also, the related fluxes of energy and water will likely be altered (Duveiller et al., 2018; Forzieri et al., 2017; Teuling et al., 2010). In addition, modifications in vegetation-atmosphere feedbacks might cause fundamental shifts between a possible intensification or a mitigation of meteorological anomalies of all magnitudes, including extremes such as droughts (Green et al., 2017; Miralles et al., 2016; Seneviratne et al., 2010; Zscheischler et al., 2015). Second, we highlight the intrinsic but often neglected crucial difference between plant greenness and photosynthetic activity. In the absence of more direct proxies of productivity, a large part of the available research on ecosystem productivity in relation to environmental factors has relied exclusively on greenness or related variables. This is straightforward in nonwoody vegetation where greenness and photosynthesis often change concomitantly. Clearly, forest photosynthesis often fluctuates in the absence of strong greenness changes. However, greenness variations have been extensively used in the literature to study changes in productivity. This calls for revisiting the conclusions of these studies with proxies closer to photosynthesis, such as SIF.

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# Supporting Information for "Satellite Observations of the Contrasting Response of Trees and Grasses to Variations in Water Availability" <br> Sophia Walther ${ }^{1,2,3}{ }^{*}$, Gregory Duveiller ${ }^{2}$, Martin Jung ${ }^{3}$, Luis Guanter ${ }^{1,4}$, Alessandro Cescatti ${ }^{2}$, Gustau Camps-Valls ${ }^{5}$ <br> ${ }^{1}$ GFZ German Research Centre for Geosciences, Helmholtz-Centre Potsdam, Section 1.4 Remote Sensing, Germany 

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## Contents of this file

1. Text S1 to S4
2. Figures S1 to S13

## 1. Additional data sets.

In order to prove the robustness of our results we use additional different indicators of greenness, another SIF data set as well another soil moisture data set to define meteorological events.

The NASA SIF data set (Joiner et al. (2013); Joiner, Yoshida, Guanter, and Middleton (2016), ungridded level 2 data of v26, https://avdc.gsfc.nasa.gov/pub/data/ satellite/MetOp/GOME_F/), is processed and filtered in the same way as the SIF data shown in the main manuscript. One difference is the effective cloud filter, which is limited to $30 \%$ in NASA SIF.

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Additional greenness indices with different characteristics regarding saturation effects and influences of non-vegetation components in the field of view are the normalized difference vegetation index NDVI (Tucker, 1979) and the near-infrared reflectance of vegetation NIRv (Badgley, Field, \& Berry, 2017). We calculated them from MODIS nadir surface reflectance measurements. MCD43C4v005 data were retrieved from the online Reverb, courtesy of the NASA EOSDIS Land Processes Distributed Active Archive Center (LP DAAC), USGS/Earth Resources Observation and Science (EROS) Center, Sioux Falls, South Dakota, https://lpdaac.usgs.gov/dataset_discovery/modis/ modis_products_table/mcd43c4 and applied exactly the same quality and snow filters and aggregations procedures like we did for the EVI in the main manuscript.

To avoid a possible dependence of the results on the choice of the soil moisture data set, we additionally use information on soil water in the surface and the root zone layers obtained from GLEAM v3.1a data (Martens et al., 2017; Miralles et al., 2011).

## 2. More Details on the Data Processing.

All data streams of vegetation proxies and of meteorological and soil moisture conditions are treated in the same way in that they are linearly de-trended pixelwise if a reliable estimate of the linear trend (over the whole period 2007-2015) can be obtained. This means that more than half of the data points must be available over the period analysed and the trend has to be significant at the $5 \%$ level in a given pixel. This procedure is intended to remove possible tiny artefacts/trends due to sensor degradation that have been reported for the MODIS C5 NBAR surface reflectances (Lyapustin et al., 2014) and that might have translated into the calculation of our vegetation indices from the

MODIS sensor. The resulting de-trended time series is de-seasonalized by removing the mean seasonal cycle (MSC). This procedure is complicated by the fact that we include in our analysis retrievals of SIF from the GOME-2 instrument onboard MetOp-A. Several orbit manoeuvres of MetOp-A have been done between the end of 2011 and the beginning of 2013, mostly in 2012, and it is not clear to what extent those might have artificially affected the time series. There is a tendency towards lower values in both, the GFZ and the NASA SIF data, particularly against the end of the data record. According to our tests, those decreasing values are best corrected for by computing the MSC separately for the period 2007-2011 and 2012-2015. In order to be consistent between data sets, this is not only done in case of SIF but for all data streams.

In order to exclude cumulative effects resulting from comparatively large deviations caused by noise in phases when vegetation is dormant or absent, we only take into account observations when there is green vegetation ( $\mathrm{EVI} \geq 0.1$ ) and during the growing season (roughly approximated by $\mathrm{EVI} \geq 30 \%$ of annual maximum). We apply the same growing season filter to all data sets and also match the spatio-temporal sampling, so that the same points in time and space are taken into account for each vegetation proxy.

The deviations from the mean seasonal cycle obtained in this way from each data set are normalized for comparability in that each pixel value is divided by the standard deviation across the whole data cube of anomalies. In the calculation of this 'global SD' the pixel values are area-weighted by the cosine of the latitude.

Except for applying the quite crude growing season filter, we do not analyse the vegetation reactions separately for different times during the year. This represents an important limitation of our study as differing responses and sensitivities might be expected for different seasons. For example, in the mid-latitudes vegetation is generally rather temperaturelimited in spring and rather sensitive to precipitation in summer with changing sensitivities with latitude throughout a year (Ceccherini, Gobron, \& Migliavacca, 2014; le Maire et al., 2010; Wu et al., 2012). The overstory in a savannah ecosystem has been shown to be light-limited during the wet season and water-limited during the dry season (Moore et al., 2016), the same for southeast Asian tropical forests (Zhang et al., 2016). Further, the detectability of the meteorological impacts on the vegetation does not only change between the types of satellite observation (greenness or SIF), but also with the season and the phasing between the meteorological driver and the phenology of the vegetation proxy (Vicca et al., 2016; Zhang et al., 2016). Our approach is limited to give information on the average behaviour across all times of the growing season. We cannot infer whether observed sensitivities are rather due to changes in the length of the growing season or due to effects during the peak seasonal cycle (Zhou et al., 2016). Splitting for various periods during a year will result in too few events and results will become barely representative and reliable. With more years of available satellite observations future investigations should consider analysing seasonally changing responses.

It is important to note that methods to detect extreme events (Mahecha et al., 2017; Zscheischler, Mahecha, Harmeling, \& Reichstein, 2013; Zscheischler et al., 2014) or co-
incidence analysis of extremes in environmental conditions and the vegetation response (Baumbach, Siegmund, Mittermeier, \& Donner, 2017; Donges, Schleussner, Siegmund, \& Donner, 2016; Rammig et al., 2015) have intentionally not been employed in this study, as our method targets the immediate vegetation anomalies that are associated with fluctuations in soil moisture availability rather than the most extreme ones. If a meteorological event has no effect on the vegetation, this method will still work. However, lagged and longer lasting vegetation responses (Braswell, Schimel, Linder, \& Moore, 1997; Frank et al., 2015; Smith, 2011) to meteorological variations are not taken into account. Focussing the analysis to the immediate responses of the vegetation leaves an important ecological time period uncovered, which might be particularly severe in case of forested ecosystems. Furthermore, co-limitation of plant activity by more than one meteorological variable (compound events), e.g. heat and drought, cannot explicitly be identified with this approach.

## 3. Thresholds of inversion.

We find different thresholds of inversion along the tree cover gradient between EVI and both SIF and model GPP (Fig. 2). We hypothesise that herbaceous dry-down strongly affects the spectral greenness signal in these mixed ecosystems. At the same time, the trees are not yet water-limited but their activity benefits from the additional radiation. That way they could balance the signal in SIF and model GPP but not in EVI and explain the different thresholds of inversion between EVI on the one hand and SIF and model GPP on the other hand.

## 4. Dependence of the signals on the background climate.

Different sensitivities of different forest types to environmental changes are ultimately reflected in the regional differences of the derived signals. As an example, in temperate forests the average enhancement of photosynthesis in times of water deficit is much lower than in the continental/ boreal areas (Fig. S7), and the dependence on soil moisture for ecosystems with more than $50 \%$ tree cover comparatively higher (Fig. S8). This pattern suggests that in temperate forests individual events of low soil moisture do increasingly limit photosynthesis despite enhancing effects of light and temperature, which is in line with reports on reduced GPP at eddy-covariance towers at temperate forest sites during strong drought (Barr et al., 2002; Ciais et al., 2005) as well as heat- and drought-induced forest mortality globally (Allen et al., 2010; Peng et al., 2011; van Mantgem et al., 2009). Often, water deficits and heat stress during the peak growing season occur as a result of carry-over effects of enhanced evapotranspiration and soil moisture depletion in spring (Angert et al., 2005; Barr et al., 2002; Buermann et al., 2018; Buermann, Parida, Jung, Burn, \& Reichstein, 2013; le Maire et al., 2010; Piao et al., 2014; Sippel et al., 2017). With climate change driving the reduction in snow packs and the anticipation of spring phenology, the enhancement of forest photosynthesis during periods of high radiation and reduced soil water content might become less frequent (Trujillo, Molotch, Goulden, Kelly, \& Bales, 2012) and increasingly negative impacts of individual events of water deficit on GPP in temperate forests might be expected (Angert et al., 2005; Barr et al., 2002; Buermann et al., 2013; Dass, Rawlins, Kimball, \& Kim, 2016; le Maire et al., 2010; Piao et al., 2014; Sippel et al., 2017). The results are also consistent with findings by Reich et
al. (2018) in that the temperature related effects on photosynthesis might be diminished or even reversed due to co-limitation by soil moisture in boreal trees.

In our results, similar dependencies on mean climate become apparent in the importance of co-variations in temperature with soil moisture for productivity in more continental areas which is in contrast to the dominant role of light variations in the tropical regions (Fig. S8) where the dense forests grow close to their optimum temperatures. Ultimately, the different sensitivities of forests growing in diverse climate conditions is reflected in the slight noise present in Fig. 2. Based on the ratio of the monthly climatologies of SIF and PAR and its relationship to the mean seasonal cycles of minimum temperature, vapour pressure deficit and soil moisture, Madani, Kimball, Jones, Parazoo, and Guan (2017) find similar nuances in the dependence of photosynthetic seasonality on environmental conditions that are related to the background climate.



Figure S1. Number of events going into an average.


Figure S2. Hotspots of variability in vegetation greenness and photosynthetic activity. Average absolute deviations from the mean seasonal cycle of the detrended time series during the growing season.

$\begin{array}{lllll}\text { global SD } & & & & 1.2\end{array}$
Figure S3. Variability in meteorology. Average absolute deviations from the mean seasonal cycle of the detrended time series during the growing season.


Figure S4. Typical vegetation reaction to above average soil water content: Deviations seen in the vegetation observations averaged across all events of elevated soil moisture. Units are given in 'global SD', meaning the standard deviation in space and time across the data cube of deviations during the growing season (see methods section).


Figure S5. Typical patterns of vegetation greenness and photosynthesis associated with water availability along a tree cover gradient and separately for different soil layers: Average deviation seen in the vegetation proxies for a given anomaly in the soil water content and as a function of the amount of trees in the different depths.


Figure S6. Partial correlations in time between meteorological anomalies and model GPP anomalies, controlling for the remaining other meteorological variables as a function of tree cover.


Figure S7. Typical patterns of vegetation greenness and photosynthesis associated with water availability along a tree cover gradient and separately for different climate classes: Average deviation seen in the vegetation proxies for a given anomaly in the soil water content and as a function of the amount of trees in the different climate classes according to the Koeppen climate classification.


Figure S8. Partial correlations in time between SIF and EVI anomalies and meteorological anomalies, controlling for the remaining other meteorological variables as a function of tree cover and Koeppen main climate class.


Figure S9. Relationship between tree cover and the effect of soil moisture on vegetation as observed by SIF, EVI and model GPP: Spatial partial correlation between tree cover and the partial correlation in time between the vegetation proxies and soil moisture in time (with the effects of variations in global radiation and temperature removed) in a moving window of $5.5^{\circ}$. The effect of spatial gradients in average temperature has been removed in January 16, 2019, 3:28pm the spatial partial correlation. For this analysis data of $0.5^{\circ}$ resolution have been used. Only significant (95\%) spatial partial correlations are shown. Colour scale extents from -1 (red) to 1 (blue).


Figure S10. Deviations seen in the vegetation observations averaged across all events of decreased soil moisture. Units are given in 'global SD', meaning the standard deviation in space and time across the data cube of deviations (see methods).


Figure S11. Typical patterns of vegetation greenness and photosynthesis associated with water availability along a tree cover gradient: Average deviation seen in the vegetation proxies for a given anomaly in the soil water content and as a function of the amount of trees.

Vegetation deviations


Figure S12. Typical patterns of vegetation greenness and photosynthesis associated with water availability along a tree cover gradient: Average deviation seen in the vegetation proxies for a given anomaly in the soil water content and as a function of the amount of trees with meteorological events being defined by deviations in soil moisture in the GLEAM data set instead of ERAInterim.


Figure S13. Correspondence between the most extreme deviations in vegetation and soil moisture as a function of forest cover: a) Distribution of the deviations in photosynthesis as indicated by SIF for the largest positive and largest negative deviations in soil moisture in each pixel (each point represents one pixel). Large squares and circles represent the average per forest cover bin across all pixels. The average SIF anomaly clearly changes sign along the tree cover gradient which suggests that the differential response of forested and non-forested ecosystems holds for very strong soil moisture deviations. b) Where in the range of all events of soil water deviations in a pixel does the soil moisture deviation range that co-occurs with the largest positive deviation in photosynthesis and the largest negative one? Large filled circles represent the mean across pixels per forest cover bin, filled squares the median. The bottom
 the largest soil moisture deviations. However, there is a clear tendency towards an association of the strongest vegetation deviation with soil moisture anomalies that are located at opposed ends of the distribution of soil moisture anomalies between forested and non-forested ecosystems.

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