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## Transferability of an individual- and trait-based forest dynamics model: A test case across the tropics

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1           **Transferability of an individual- and trait-based forest**  
2           **dynamics model: a test case across the tropics**

3

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26 **Abstract**

27 Individual-based forest models (IBMs) are useful to investigate the effect of  
28 environment on forest structure and dynamics, but they are often restricted to site-  
29 specific applications. To build confidence for spatially distributed simulations, model  
30 transferability, i.e. the ability of the same model to provide reliable predictions at  
31 contrasting sites, has to be thoroughly tested. We tested the transferability of a  
32 spatially explicit forest IBM, TROLL, with a trait-based species parameterization and  
33 global gridded climate forcing, by applying it to two sites with sharply contrasting  
34 climate and floristic compositions across the tropics, one in South America and one in  
35 Southeast Asia. We identified which parameters are most influential for model  
36 calibration and assessed the model sensitivity to climatic conditions for a given  
37 calibration. TROLL produced realistic predictions of forest structure and dynamics at  
38 both sites and this necessitates the recalibration of only three parameters, namely  
39 photosynthesis efficiency, crown allometry and mortality rate. All three relate to key  
40 processes that constrain model transferability and warrant further model development  
41 and data acquisition, with mortality being a particular priority of improvement for the  
42 current generation of vegetation models. Varying the climatic conditions at both sites  
43 demonstrate similar, and expected, model responses: GPP increased with temperature  
44 and irradiance, while stem density and aboveground biomass declined as temperature  
45 increased. The climate dependence of productivity and biomass was mediated by  
46 plant respiration, carbon allocation and mortality, which has implications both on  
47 model development and on forecasting of future carbon dynamics. Our detailed  
48 examination of forest IBM transferability unveils key processes that need to improve  
49 in genericity before reliable large-scale implementations can be envisioned.

50

51 Keywords: TROLL, forest simulations, model calibration, climate forcing, Taiwan,  
52 Amazonia

53

54

## 55 **1. Introduction**

56 Forests harbor more than half of the total terrestrial biodiversity (Gardner et al., 2010)  
57 and contribute to climate change mitigation (Ellison et al., 2017; Mitchard, 2018).

58 However, forest disturbances are important drivers of canopy cover change and they  
59 will likely impact tropical forest structure, diversity, and functioning in the future  
60 (Feng et al., 2018; Malhi et al., 2009; Zemp et al., 2017). These projections depend on  
61 a detailed understanding of the processes that link the abiotic environment and forest  
62 dynamics, as can be achieved through integration into simulation models (Fisher et  
63 al., 2018; Shugart et al., 2018). Confronting the robustness, reliability and realism of  
64 such models is crucial to gain confidence in their predictions (Prentice et al., 2015).

65 Dynamic global vegetation models (DGVMs) adopt a coarse representation of  
66 the coupling between vegetation and biogeochemical cycles. Their simplified  
67 description of vegetation dynamics assume a limited set of vegetation structure and  
68 summarize plant diversity with a few plant functional types (PFTs). Modern DGVMs  
69 simulate demographic processes and trait variability (Fisher et al., 2010; Koven et al.,  
70 2020; Sakschewski et al., 2015; Sato et al., 2007; Scheiter et al., 2013). However,  
71 difficulties remain in representing plant recruitment and mortality, translating into  
72 uncertainties in model projections of forest dynamics (Fisher et al., 2018).

73 Unlike DGVMs, individual-based forest models (IBMs) explicitly simulate tree  
74 establishment, growth, competition, and mortality, simulating forest structure and  
75 dynamics at the stand scale (Bugmann, 2001; DeAngelis and Grimm, 2014; Fischer et  
76 al., 2016; Shugart, 1984). Forest IBMs adopt a fine-grained representation of the  
77 diversity and structure of tree assemblages, which facilitates the exploration of mixed-  
78 species forest responses to climate variability (Maréchaux et al., 2021). One drawback  
79 is that the calibration of forest IBMs is data demanding, and requires data at a fine  
80 spatial and temporal scale. For this reason, IBMs have traditionally been restricted to  
81 stand-scale application, and even if their extension to regional or global scale is  
82 technically possible (Shugart et al., 2018, 2015), one fundamental challenge is to  
83 explore the model validity across space.

84 At the heart of model upscaling is the question of model transferability (Wenger  
85 and Olden, 2012; Yates et al., 2018): when a model has been calibrated at one site,  
86 how well does it simulate the vegetation dynamics at another site? Model

87 transferability hinges upon how well the model is able to capture forest processes at  
88 any given site, and on whether the same biogeochemical and biophysical processes  
89 hold across sites (Fyllas et al., 2017; Sullivan et al., 2020). For instance, process-  
90 based models couple forest processes to environmental drivers in a generic way,  
91 through mechanistic modules, such as photosynthesis, water uptake, allocation. These  
92 processes are parameterized locally through measurable traits with consistent  
93 biological and ecological meaning (e.g. functional traits). **This means that, in theory, a**  
94 **completely process-based model should be transferable to any site, provided that**  
95 **measurements of the environmental drivers (e.g., climatic variables) and relevant**  
96 **traits of all locally present tree species are available.**

97 However, for some processes, current knowledge is insufficient to develop  
98 generic functions, and a simplified representation is necessary to **encapsulate finer**  
99 **processes** mediated by environmental, biogeographic or evolutionary factors. As a  
100 result, part of the site-specificity is **hidden in** the model equations and parameters  
101 themselves. These site-specific parameters need to be re-calibrated from one site to  
102 the other to ensure reliable simulation outputs, **which increases calibration efforts and**  
103 **hampers** transferability (Lehmann and Huth, 2015; Maréchaux et al., 2021). Even  
104 generic equations have typically been formulated **using** input data from specific sites  
105 and under specific conditions, which **will not always be consistent with the data**  
106 **provided for model initialization at other sites (Huber et al., 2018). This issue is**  
107 **especially important for tropical forests, which have high variability in composition,**  
108 **structure and functioning within and between sites, making model transferability and**  
109 **upscaling a greater challenge (Castanho et al., 2016; Johnson et al., 2016; Townsend**  
110 **et al., 2008).**

111 Model transferability in part depends on the availability of standardized and  
112 spatially distributed data on forest structure and function. For example, site-specific  
113 information can be prescribed for a model through trait-based data on floristic  
114 diversity (Fyllas et al., 2014, Maréchaux and Chave, 2017) or remote sensing data  
115 (Fischer et al., 2019; Joetzjer et al., 2017; Shugart et al., 2015). Consistent climatic  
116 boundary conditions, derived from weather models and data assimilation systems,  
117 also increase model transferability (Bugmann and Fischlin, 1996; Fauset et al., 2019).  
118 This also facilitates the evaluation of how a model responds to changes in climate  
119 forcing conditions: **for example, in light-limited tropical rainforests, we expect that**  
120 **GPP will exhibit weakly positive or even negative relationship** with increasing

121 temperature, due to increasing competition, mortality and faster turnover (Allen et al.,  
122 2010; Clark et al., 2010; McDowell et al., 2018).

123 Another way to improve model transferability is to **convert modules that are**  
124 **implicitly site-specific into more generic formulations that encode site-specific**  
125 **conditions only through dependence on environmental and floristic composition. This**  
126 **can be facilitated by performing tests to identify model processes that are currently**  
127 **particularly site-specific: the improvement of the representation of those processes,**  
128 **through theoretical and empirical work across multiple sites, should then be**  
129 **prioritized.** For instance, we expect that outputs of forest IBMs **will be highly**  
130 **sensitive to parameters of mortality, and a more accurate mechanistic representation**  
131 **of mortality should improve the reliability of model projections under conditions**  
132 **beyond the range of the original calibration data** (Johnson et al., 2016; Bugmann et  
133 al., 2019). Although several studies have explored the issue of transferability of forest  
134 IBMs (Bugmann and Solomon, 1995; Lagarrigues et al., 2015; Ma et al., 2017;  
135 Shuman et al., 2015), they have so far been limited to temperate and boreal forests  
136 with low tree species diversity.

137 In this study, we explored the conditions of transferability of a forest IBM  
138 between two contrasting tropical forest sites chosen to maximize dissimilarity in  
139 geography, floristic composition and environmental conditions, evaluating separately  
140 the effect of parameter calibration and of climate forcing. We asked the following  
141 questions:

142 (1) How well does a locally calibrated forest IBM perform when transferred at  
143 another site? We expect a degradation of model performance with no fine-tuning at  
144 the contrasting site.

145 (2) What key parameters determine model performance during model transfer?  
146 We expect that, **since most fundamental processes are captured by generic**  
147 **formulations in the model, only few parameters will be identified as in need of**  
148 **recalibration: these parameters point to limitations in model representation of the**  
149 **underlying processes.**

150 (3) What are the expected responses to climatic conditions? In the absence of  
151 water limitation, as in light-limited rainforests, GPP should increase with temperature  
152 and irradiance, while biomass should depend less on temperature.

153

## 154 2. Materials and methods

### 155 2.1 Model description

156 The TROLL model is a spatially explicit individual-based model in which the  
157 aboveground space of a forest stand is divided into 3D cells of size  $1 \text{ m}^3$  (hereafter  
158 called voxels; Chave, 1999; Maréchaux and Chave, 2017). Solar irradiance  
159 (photosynthetic photon flux density, PPFD) is computed inside each voxel as the  
160 irradiance fraction transmitted immediately above the focal voxel. **We considered**  
161 **only vertical light transmittance in the canopy; for trees at the edge of the simulated**  
162 **plot, we simulate light interception only for the part of the crown that is inside the**  
163 **plot, and then scale total assimilation with crown radius.** At most, one tree can  
164 establish in each  $1 \times 1 \text{ m}$  pixel at any given time, and only self-standing stems  $\geq 1 \text{ cm}$   
165 in trunk diameter at breast height (DBH) are explicitly modelled (herbaceous plants  
166 and lianas are not included). The effects of topography and water balance are not  
167 modeled. Seeds and seedlings  $< 1 \text{ cm}$  DBH are indirectly modeled as part of a  
168 regeneration compartment, with inputs from an external seed rain and seed production  
169 within the simulated stand. Each modelled tree is a 3D object, characterized by DBH,  
170 height, crown radius, crown depth, total leaf surface area, and age. Trees are assigned  
171 species-specific **trait values**, which **influence processes such as photosynthesis,**  
172 **growth and mortality.**

173 **At each monthly timestep, the model simulates carbon assimilation**  
174 **(photosynthesis), respiration, carbon allocation and growth for each tree, and also**  
175 **simulates seed dispersal or tree death when conditions are met.** Tree growth is the  
176 result of an explicit balance between carbon assimilation (photosynthesis) and  
177 respiration. Carbon assimilation is represented with the C3 photosynthesis model  
178 (Farquhar et al., 1980), which depends on temperature, irradiance, vapor pressure  
179 deficit (VPD), and atmospheric  $\text{CO}_2$  concentration. During a monthly timestep,  
180 photosynthesis is calculated over half-hourly periods of a representative day (monthly  
181 mean values of temperature, irradiance and VPD); atmospheric  $\text{CO}_2$  concentration is  
182 assumed constant. Stomatal conductance is modelled following Medlyn et al. (2011).  
183 We define the parameter  $\phi$  (quantum carbon yield per quantum photon) as the initial  
184 slope of the photosynthetic carbon assimilation against irradiance curve; this  
185 parameter controls carbon uptake in light-limited conditions (Farquhar et al., 1980).  
186 The value of  $\phi$  depends on environment and species, and it has been shown to be an

187 important source of uncertainty in vegetation models (Domingues et al., 2014;  
188 Mercado et al., 2009).

189 After the gross assimilated carbon is calculated from the photosynthesis model,  
190 net assimilated carbon is calculated as the gross assimilated carbon minus respiration.  
191 Net assimilated carbon is then allocated into biomass in different organs based on  
192 parameters of fixed fractions, resulting in tree growth and leaf flush dynamics in the  
193 same timestep. The resulting changes in tree height, crown shape and position, and  
194 leaf density will then influence the calculation of the light environment and  
195 photosynthesis of each tree in the next timestep.

196 The allometric relationship relating tree height and DBH is assumed to be  
197 species-specific, while allometric functions relating DBH and crown size are assumed  
198 the same for all trees. Crown radius grows as a function of DBH, following a non-  
199 linear relationship:  $CR = e^{(CR_a + CR_b \times \ln DBH)}$  where  $CR_a$  and  $CR_b$  are general  
200 parameters provided in input. Hence higher  $CR_a$  indicates larger crowns for trees of  
201 all sizes, whereas higher  $CR_b$  indicates that larger trees have disproportionately larger  
202 crowns than smaller trees. Identical values of  $CR_a$  and  $CR_b$  are prescribed for all  
203 species given the paucity of available data, even if it is acknowledged that crown size  
204 allometry can vary within species, across species and across sites (Jucker et al., 2017;  
205 Loubota Panzou et al., 2021).

206 In TROLL, tree mortality results from several processes: (i) stochastic mortality,  
207 modelled as function of a maximal background mortality rate  $m$  and a linearly  
208 decreasing relationship with species-specific wood density (WD), so that:  $m_{eff} =$   
209  $m - \alpha \times WD$  ( $\alpha$  being positive,  $m$  is the maximal possible value of the mortality  
210 rate); (ii) carbon starvation if net assimilated carbon is negative over a consecutive  
211 period exceeding leaf lifespan, so that old leaves have all died while no new leaves  
212 could be produced (assuming no internal carbon storage); and (iii) stochastic treefall  
213 events, assumed to depend on a tree height threshold, where the parameter  $vC$   
214 represents the variability of this threshold. Both  $m$  and  $vC$  hence summarize complex  
215 processes that are not modeled mechanistically.

216 A schematic diagram, which illustrates the structures and processes controlling  
217 the individual- and community-level dynamics of a forest in the TROLL model, can  
218 be found in Maréchaux and Chave (2017) (Appendix S5, Figure S1). Necessary  
219 inputs for a run of TROLL include (i) climate forcing data for the simulated location,



220 (ii) species-specific parameters of plant traits for the simulated forest, and (iii)  
221 species-independent parameters. The source code of TROLL (v2.5) is written in C++  
222 and is available at <https://github.com/troll-code/troll>. On a computing cluster, each  
223 simulation of 200 × 200 m and 500 years uses around 15 min of CPU time.

224

## 225 2.2 Global climate forcing

226 The TROLL model requires the following climate forcing variables: monthly mean  
227 values of daytime and nighttime mean temperature, cumulated rainfall, mean wind  
228 speed, and daytime mean irradiance, daytime mean vapor pressure deficit (VPD), and  
229 average normalized daily variation of temperature, irradiance and VPD.

230 We used the CRU-NCEP reanalysis as a standardized climate forcing (version 8;  
231 version 7 archived at <https://rda.ucar.edu/datasets/ds314.3/>) (Viovy, 2018). The CRU-  
232 NCEP data set is a global gridded (0.5° × 0.5°) sub-daily (6-hourly) climate product  
233 spanning the 1901-2016 period. It provides seven climatic variables: temperature,  
234 precipitation, wind, downward longwave and shortwave radiations, air specific  
235 humidity, and atmospheric pressure, resulting from the combination of observation-  
236 based CRU TS 3.2 data (Harris et al., 2014) and model-based NCEP-NCAR data  
237 (Kalnay et al., 1996). We constructed reference monthly mean conditions based on  
238 the time range 1980-2016, a period for which the most observations are available, in  
239 order to ensure higher accuracy (Kistler et al., 2001), and calculated and extracted  
240 climatic variables necessary for TROLL input (Appendix A).

241

## 242 2.3 Study site and species parameterization

243 We parameterized the TROLL model for Nouragues, French Guiana, South America,  
244 and Fushan, Taiwan, Southeast Asia. Aside from the difference in climatic patterns,  
245 there is **no** floristic overlap between Nouragues and Fushan, **and tree trait distribution**  
246 **at the two sites differ widely: for example, there is no overlap in the interquartile**  
247 **range of leaf mass per area (LMA; g.m<sup>-2</sup>) values (41.62 - 73.86 at Fushan, and 82.71 -**  
248 **111.45 at Nouragues) and of wood density (g.cm<sup>-3</sup>) values (0.464 - 0.524 at Fushan,**  
249 **and 0.600 - 0.727 at Nouragues).**

250 The Nouragues Ecological Research Station includes a 12-hectare (400 m × 300  
251 m) plot in a moist lowland tropical forest, part of the Amazonian biome. The  
252 Nouragues site experiences two months of dry season per year, with mean annual  
253 precipitation around 3000 mm, mean annual temperature around 26°C, and a mean

254 relative humidity around 99% (Bongers et al., 2001). Since plot establishment in  
255 1994, censuses were completed regularly (2001, 2007, 2012, 2017). All self-standing  
256 stems  $DBH \geq 10$  cm were identified, measured, tagged and mapped. The plot has 622  
257 tree species (Chave et al., 2008; Maréchaux and Chave, 2017).

258 The Fushan Forest Dynamics Plot (FDP) is a 25-hectare (500 m  $\times$  500 m) plot in  
259 a moist broadleaf subtropical forest in the northeast of Taiwan (Su et al., 2007), and is  
260 a part of ForestGEO (Forest Global Earth Observatory; Anderson-Teixeira et al.,  
261 2015; Condit, 1998). The Fushan site is under influence of northeasterly monsoon in  
262 winter, and frequent typhoon visits in summer and autumn, with mean annual  
263 precipitation around 4200 mm, mean annual temperature around 18°C, and a mean  
264 relative humidity around 95%. Plot elevation ranges from 600 m to 733 m (Su et al.,  
265 2007). Since plot establishment in 2004, censuses were completed every five years,  
266 where all self-standing stems with a  $DBH \geq 1$  cm were identified, measured, tagged  
267 and mapped, with a total of 110 recorded tree species in the plot (Su et al., 2007).

268 Species-specific parameters of TROLL include leaf mass per area (LMA;  $g \cdot m^{-2}$ ),  
269 nitrogen and phosphorus content per mass ( $N_{mass}$ ,  $P_{mass}$   $g \cdot g^{-1}$ ), wood density ( $g \cdot cm^{-3}$ ),  
270 maximum DBH (cm), DBH-height allometric parameters, and regional relative  
271 abundance. **We implemented all 622 species in the model for the Nouragues site:** a  
272 complete set of measured trait values were available for 163 species, **and** for the other  
273 species, a combination of species-specific values and genus means or abundance-  
274 weighted community means were assigned (Maréchaux and Chave, 2017). **For the**  
275 **Fushan site, we implemented 94 species for which a complete set of measured trait**  
276 **values were available: this represents** ca. 90% of the trees. The methodology of data  
277 collection is detailed in Appendix B.

278 Climatic data were extracted from the CRU-NCEP dataset at both sites. We also  
279 used local climate data, in order to force the model simulations. At Nouragues, semi-  
280 hourly meteorological data are available from 2013 to 2019, recorded 400 m away  
281 from the plot (4° 05' N, 52° 41' W). At Fushan, daily meteorological data are  
282 available from 1991 to 2012, with hourly data from 2013 to 2016, recorded at a  
283 meteorological station 3 km east of the forest plot (24° 45' N, 121° 35' E). A  
284 comparison of the local versus gridded climatic conditions is provided in Appendix C.

285 For all simulations, we simulated forest regeneration from bare soil for a  
286 reference plot area of 4 hectares (200 m  $\times$  200 m) for a duration of 500 years (6000

287 monthly timesteps): based on trial simulation, after 500 years, the forest has reached a  
288 steady state.

289

#### 290 2.4 Global parameter calibration

291 In addition to species-specific parameters, TROLL includes a set of 41 species-  
292 independent parameters (or ‘global’ parameters). The majority of these parameters  
293 can be measured empirically: initialization (plot size, initial size and leaf densities of  
294 trees etc.) and trait variability (intraspecific variation and covariance). Other  
295 parameters could vary across sites and they are the primary target of this study.

296 We first performed a preliminary sensitivity analysis on five parameters tested in  
297 a previous study (Maréchaux and Chave, 2017), which revealed that the model had a  
298 low sensitivity to the light extinction coefficient ( $k$ ), and to carbon allocation  
299 fractions:  $f_{wood}$  and  $f_{canopy}$ . We also found that stem density was not adequately  
300 estimated at Fushan (Appendix D): we hypothesized that asymmetric light  
301 competition and tree mortality may be factors shaping stem density. Thus, we focused  
302 on the calibration of five parameters ( $\phi$ ,  $\nu C$ ,  $CR_a$ ,  $CR_b$ ,  $m$ ; Table 1) for which it is  
303 difficult to obtain precise field estimates. We examined model responses by varying  
304 these parameters across a range of values, while using fixed values taken from  
305 literature for all other parameters, including  $k$ ,  $f_{wood}$  and  $f_{canopy}$ .

306 For  $\phi$ ,  $\nu C$  and  $m$ , we generated uniform prior distributions, bounded within the  
307 reported value range.  $CR_a$  and  $CR_b$ , the slope and intercept of the log-transformed  
308 crown radius to DBH relationship are strongly correlated, so we generated correlated  
309 standard normal distributions using the Cholesky decomposition assuming a  
310 Pearson’s  $r$  of 0.8, then transformed them to Beta prior distributions (of Beta(2, 2)),  
311 bounded within the empirically observed value ranges.

312 We performed 500 calibration runs for both study sites. For each simulation,  
313 **three parameters ( $\phi$ ,  $\nu C$  and  $m$ ) were randomly drawn from the uniform prior**  
314 **distribution, and the two crown allometry parameters ( $CR_a$  and  $CR_b$ ) were drawn as a**  
315 **pair from the correlated Beta prior distributions.** Goodness of fit was assessed using  
316 four summary metrics: stem density (DBH  $\geq 10$  cm;  $N_{10}$ , trees ha<sup>-1</sup>), large stem  
317 density (DBH  $\geq 30$  cm;  $N_{30}$ , trees ha<sup>-1</sup>), aboveground biomass (AGB, Mg ha<sup>-1</sup>), and  
318 gross primary productivity (GPP, MgC ha<sup>-1</sup> yr<sup>-1</sup>). These metrics summarize both  
319 forest structure and functioning and overall constrain the model well. Empirical

320 values for these metrics were obtained from census data for  $N_{10}$ ,  $N_{30}$  and AGB, and  
321 from a global gridded database for GPP (Madani and Parazoo, 2020).

322 For each summary metric and each simulation, we calculated the steady-state  
323 value (defined as the mean over the last 100 years of simulation), and qualitatively  
324 described trends of model outcome and model sensitivity to each parameter using  
325 scatter plots of parameters against output metrics (Appendix E). Model goodness-of-  
326 fit was derived from individual summary statistics using an Euclidean distance  
327 between the simulated metrics and empirical values (centered and scaled), and we  
328 reported median and interquartile range of parameter values of the simulations with  
329 the 10% best overall fit (i.e., 50 best simulations out of 500).

330 We quantified parameter “informativeness”, i.e. the degree to which the  
331 dispersion of the posterior parameter distribution is reduced compared to the prior  
332 distribution, using the ratio between the interquartile range (IQR) of the best-fit  
333 simulations to that of all simulations: a smaller ratio indicates higher parameter  
334 informativeness. Finally, we reported the temporal trends of the four summary  
335 metrics, and discussed their fit with field observation values.

336

### 337 2.5 Forest response to climatic conditions: a virtual experiment

338 To study the dependence of forest structure and dynamics on temperature, irradiance  
339 and VPD, we performed the following simulated experiment. In the CRU-NCEP  
340 dataset, we selected a subset of points corresponding to lowland light-limited rain  
341 forest within the 35°N – 35°S latitude range, based on elevation (< 1000 m), climate  
342 (annual precipitation > 2000 mm yr<sup>-1</sup>; Guan et al., 2015; Wagner et al., 2016), and  
343 land cover (ESA ‘forest’ CCI Land Cover classes: 50, 60, 70, 80, and 90). At both  
344 study sites, we then performed 500 simulations, each time using the **three climatic**  
345 **variables at a randomly sampled point within the selected subset, and using “optimal**  
346 **parameter values”, the general parameter values of the one simulation that provided**  
347 **the best overall fit during calibration with the initial climatic condition** (Table 2). **The**  
348 **aim of this experiment is to explore the response of a forest stand as its climate**  
349 **forcing changes, with a range and correlation structure between the climatic variables**  
350 **that are realistic for tropical forests, and to examine if this climate effect is consistent**  
351 **between sites.**

352 To select the reference pixels, we used precipitation data from CRU-NCEP, the  
353 C3S Global Land Cover product for 2018 (accessible at

354 <https://maps.elie.ucl.ac.be/CCI/viewer/download.php>; ESA, 2017), and elevation data  
355 from the SRTM product (accessible at <http://www.earthenv.org/topography>)  
356 (Amatulli et al., 2018). We used the *gdal\_translate* utility to rescale the Land Cover  
357 data (300 m × 300 m) and elevation data (1 km × 1 km) to match the spatial scale of  
358 CRU-NCEP (0.5° × 0.5°). This resulted in a set of 3753 “reference climate” pixels, of  
359 which we randomly sampled 500, using the corresponding climatic variables to force  
360 simulations for both Fushan and Nouragues.

361 To evaluate model sensitivity, we used the same four summary metrics ( $N_{10}$ ,  $N_{30}$ ,  
362 AGB, GPP). For each metric, we calculated the steady-state value of each simulation  
363 (mean value of the last 100 simulated years), and described the trends of model  
364 outcome and model sensitivity to each variable using scatter plots of climatic  
365 variables against output metrics. In order to quantify the degree of influence of each  
366 climatic variable, we fitted linear models with climatic variables as independent terms  
367 and the summary metrics as dependent terms, and reported semi-partial coefficients as  
368 effect size. Assumptions for linear models were tested and confirmed; two sample  
369 points with temperature lower than 15°C were identified as high-leverage points, but  
370 their inclusion did not significantly deviate the statistical estimates (Appendix F).

371

## 372 2.6 Data analysis

373 Data processing, statistical analysis and visualization were performed in R 3.3.0 (R  
374 Core Team, 2019). Apart from those already mentioned elsewhere, R packages  
375 *ggplot2*, *ggpubr*, *ncdf4*, *raster*, *data.table*, *geosphere*, *sp*, *tidyr*, *extRemes*, and  
376 *BIOMASS* were used for this study (Dowle and Srinivasan, 2020; Gilleland and Katz,  
377 2016; Hijmans, 2020, 2019; Kassambara, 2020; Pierce, 2019; Rejou-Mechain et al.,  
378 2017; Venables and Ripley, 2002; Wickham, 2020, 2016).

379

## 380 3. Results

381 Model outcomes were highly sensitive to  $\phi$ ,  $CR_a$  and  $m$ , and to a lesser extent to  $CR_b$ .  
382 Higher quantum yield ( $\phi$ ) led to higher large-stem density and AGB and a sharp  
383 increase in productivity. Higher overall crown size (larger  $CR_a$  values) led to lower  
384 stem density and AGB, and a slight increase in productivity; its relationship with  
385 large-stem density and AGB was non-linear at Fushan. Higher mortality rates ( $m$ ) led  
386 to reduced large-stem density and AGB (Figure E1 & E2). The parameter values

387 corresponding to the simulation maximizing the goodness of fit were similar between  
388 the two sites for  $\phi$  and  $CR_b$ , but differed markedly for  $vC$ ,  $CR_a$  and  $m$  (Table 2).

389 We used the IQR ratio as measure of parameter informativeness: lower IQR ratio  
390 signifies higher informativeness. The most informative parameter was found to be  
391  $CR_a$ , informative at both sites (0.55 at Fushan and 0.38 at Nouragues).  $\phi$  was  
392 informative at Nouragues (0.38) but less so at Fushan (0.78), and  $m$  was informative  
393 at Fushan (0.33) but less so at Nouragues (0.75).  $CR_b$  and  $vC$  were only moderately  
394 informative (values  $> 0.6$  at both sites) (Figure 1).

395 Temporal change of all four summary statistics ( $N_{10}$ ,  $N_{30}$ , AGB and GPP) were  
396 qualitatively similar at both sites, showing sigmoidal increase for stem densities ( $N_{10}$   
397 and  $N_{30}$ ). We observed , a gradual increase of AGB and rapid increase and  
398 stabilization of GPP at both sites, and an initial overshoot of  $N_{10}$  at Nouragues but not  
399 at Fushan (Table 3, Figure 2). At Nouragues, all steady-state estimated metric values  
400 showed a good fit to field values; at Fushan,  $N_{10}$  was underestimated (ca. 14%), GPP  
401 was overestimated (ca. 9%), and  $N_{30}$  and AGB showed reasonably good fit to field  
402 values. Both climate forcings yielded similar model outputs, matching well field  
403 observations:  $N_{10}$  values were similar,  $N_{30}$  and AGB values were slightly lower when  
404 using ground-based climate forcing at Fushan, and GPP values were markedly lower  
405 when using ground-based climate forcing at both sites (Figure 2).

406 Median climate values across sampled pixels were: temperature = 26.25°C,  
407 irradiance = 207.6 W.m<sup>-2</sup>, VPD = 0.644 kPa. Temperature, irradiance and VPD all  
408 had significant effects on simulated forest structure and functioning, although effect  
409 sizes varied. Temperature effect on  $N_{10}$  was strongly negative at Fushan but non-  
410 significant at Nouragues; it had strong negative effects on  $N_{30}$  and AGB but a weak  
411 positive effect on GPP at both sites. Irradiance had a positive effect on all four metrics  
412 at both sites, and are especially strong for GPP. VPD had weakly negative effects on  
413 GPP at both sites; its effects on the other three metrics were weakly positive at Fushan  
414 and non-significant at Nouragues. Overall, effect sizes were weaker at Nouragues  
415 than at Fushan (except for irradiance effects on  $N_{30}$  and AGB) (Figure 3, Table 4).

416

#### 417 **4. Discussion**

418 In this study, we tested the transferability of a forest IBM, and demonstrated that the  
419 model predicts forest structure and functioning with reasonable accuracy at two

420 species-rich forest sites in different bioregions. Parameters controlling photosynthetic  
421 efficiency, crown allometry and background mortality were found to be key for model  
422 calibration. We showed that calibration could help identify influential processes in  
423 trait-based forest IBMs and suggests that there is potential of IBM upscaling with  
424 improved representation of influential processes and parameter estimation.

425

#### 426 4.1 Transferability of an individual-based model

427 The TROLL model was designed to incorporate a detailed representation of forest  
428 diversity while remaining relatively easy to parameterize at a forest site, by  
429 prescribing each species using a set of commonly measured traits (Maréchaux and  
430 Chave, 2017). This approach alleviates the calibration burden of model transfer  
431 (DeAngelis and Grimm, 2014) and facilitates the implementation of large-scale  
432 testing of individual-based models. However, not all parameters used in the model are  
433 directly observable or easily measurable in the field: some are integrators of multiple  
434 processes not explicitly represented within the model. So the issue of model  
435 transferability still stands, and we here ask whether a calibrated parameter set for one  
436 site performs well elsewhere.

437 We estimated model parameters through model inversion, comparing model  
438 outputs against field observations (Hartig et al., 2012). This approach has been used  
439 for several DGVM parameterizations, usually by calibrating against eddy-covariance  
440 data (Ichii et al., 2010; Pappas et al., 2013; Restrepo-Coupe et al., 2017). Here,  
441 goodness-of-fit depends on four summary statistics of forest structure (stem density)  
442 and functioning (biomass and productivity) that are usually available in field  
443 inventory data or global gridded data. In the future, the approach could be improved  
444 by using the whole height or diameter distribution of the simulated forest, or by  
445 adopting a likelihood-based approach (Hartig et al., 2014, 2012).

446 We calibrated the model at two contrasted tropical forest sites. In spite of their  
447 marked differences in climatic conditions, species composition and functional  
448 diversity, the simulated forests matched field observations by calibrating a limited  
449 subset of parameters. This supports the view that forest models with trait-based  
450 parameterization are capable of capturing site-specific characteristics that underpin  
451 community dynamics and structure at a given forest site. We speculate that the use of  
452 trait-based species parameterization contributes to the reduced need for refitting (i.e.,  
453 higher model genericity) (Christoffersen et al., 2016; Fisher et al., 2018; Fyllas et al.,

454 2014; Pappas et al., 2016). Parameters that do differ across sites point to potential  
455 improvements in the model, a discussion we now turn to.

456

#### 457 4.2 Parameter calibration

458 We performed calibrations for three parameters that influence predicted forest  
459 structure and functioning: photosynthetic efficiency ( $\phi$ ), crown allometry ( $CR_a$ ), and  
460 tree mortality ( $m$ ). As  $\phi$  represents the actual quantum yield of photosynthesis (the  
461 amount of fixed carbon per light flux absorbed by the chloroplasts), higher  $\phi$  value  
462 results in higher carbon assimilation (when light is limiting) and higher GPP. This  
463 parameter only leads to a moderate increase in large stem density ( $N_{30}$ ) and AGB, and  
464 an even smaller effect on overall stem density ( $N_{10}$ ), indicating that forest  
465 demography and biomass accumulation are not solely conditioned by productivity,  
466 but also hinge on respiration, carbon allocation, and carbon residence time (Álvarez-  
467 Dávila et al., 2017; Johnson et al., 2016; Malhi et al., 2015).

468 Model calibration was not sensitive to TROLL's species-independent carbon  
469 allocation parameters (appendix D), but it should be pointed out that carbon allocation  
470 does vary across and even within species (Malhi et al., 2015; Negrón-Juárez et al.,  
471 2015). Therefore, including a more mechanistic or trait-mediated representation of  
472 carbon allocation may unveil more heterogeneity in forest dynamics, and is an  
473 important objective in future model development (Merganičová et al., 2019; Negrón-  
474 Juárez et al., 2015; Schippers et al., 2015; Trugman et al., 2019).

475 In TROLL, crown allometry directly controls light use efficiency and tree  
476 competition. Higher  $CR_a$  values mean that trees have wider crowns at a given  
477 diameter, and achieve higher carbon assimilation rates due to increased light  
478 interception, leading to the observed pattern of increase in GPP with increased  $CR_a$ .  
479 Wider crowns also create more intense shading for smaller trees in the understory and  
480 cause higher tree turnover and mortality, leading to the observed pattern of decreasing  
481 stem density and AGB. Stand structure also strongly depends on the level of  
482 prescribed inter- and intraspecific variability of crown allometry, which determine  
483 how complementarity in crown architecture could increase light use efficiency and  
484 promote coexistence (Pretzsch, 2019; Vieilledent et al., 2010).

485 Mortality is an important calibration parameter in TROLL. Tree mortality is a  
486 complex process, and in current IBMs, it is often modeled empirically, and thus  
487 remains one of the main sources of model uncertainty (Bugmann et al., 2019). In the



488 FORMIND model, the mortality rate is empirically correlated with environmental  
489 variables such as precipitation and soil property, which vary across space (Rödig et  
490 al., 2018, 2017). Such simplifications limit our ability to explore how different causes  
491 of tree mortality impact forest structure (McDowell et al., 2018).

492 Natural disturbance events such as fire, drought or wind are responsible for a  
493 significant proportion of tree mortality (Fischer et al., 2018; McDowell et al., 2018;  
494 Peterson et al., 2019), and they impact forest structure and functioning (Ibanez et al.,  
495 2019; Magnabosco Marra et al., 2018; Pugh et al., 2019). The two forest sites selected  
496 for this study depend on different wind disturbance regimes: notably, Fushan is  
497 influenced by frequent tropical cyclones (Dowdy et al., 2012; Lin et al., 2011), while  
498 Nouragues is not exposed to cyclones. At Nouragues, TROLL simulates an overshoot  
499 of stem density during early succession, indicating self-thinning, but not at Fushan.  
500 One hypothesis for this pattern is that cyclones shape a more open canopy at Fushan,  
501 resulting in a less intense self-thinning. This may also explain why the optimal value  
502 for the mortality rate ( $m$ ) is lower at Fushan than at Nouragues. It would be important  
503 to devise more mechanistic representations of disturbance events in TROLL.

504

#### 505 4.3 Upscaling of individual-based models

506 Various efforts have been made to upscale IBMs to the regional or global scale.  
507 Individual-based approaches have been coupled to or developed within DGVMs  
508 (Fisher et al., 2018; Sakschewski et al., 2015; Sato et al., 2007) to represent cohort  
509 processes. Ma et al. (2017) prescribed environmental data for simulations of the  
510 FORCCHIN IBM model at several flux tower sites, and validated the simulated  
511 carbon flux against flux tower data. Rödig et al. (2018, 2017a) performed  
512 regionalization for the FORMIND model by calibrating the mortality parameter at a  
513 number of sites and correlating it with environmental variables (precipitation and soil  
514 properties), and performing simulations at sites over the entire Amazon using  
515 mortality parameters predicted from the environmental variables. Simulated temporal  
516 dynamics of canopy height were then compared with remote sensing data to  
517 determine the succession status of each site, which was then used to generate  
518 Amazon-wide estimation of other forest attributes such as biomass and productivity.

519 Yet, these studies assigned trees to a small number of plant functional types that  
520 relied on empirical parameterization. Our study, although smaller in scope, is a proof  
521 of concept demonstrating that trait-based IBM upscaling is achievable with minimal

522 calibration and is therefore realistic in the tropics, provided that trait measurements  
523 exist and tree floristic composition is available at the focal site. Moreover, since  
524 model output contains detailed information about forest composition, TROLL could  
525 also help answer how plant diversity responds to environmental changes.

526 With every forest model, assumptions are made about which parameters are  
527 species-dependent and which are not. The model described here, TROLL, is designed  
528 with the aim to contain as much species-specific information that is currently  
529 available. For an individual-based model, this choice does not necessarily incur higher  
530 computational burden than the plant functional type approach, since in both cases  
531 every individual tree is simulated. However, supplying models with species-specific  
532 information requires considerably more parameterization effort. With the ongoing  
533 collection effort of plant traits in permanent plots around the world, the assembly of  
534 global trait databases (Anderson-Teixeira et al., 2015; Chave et al., 2009; Kattge et  
535 al., 2020) and development of techniques to measure new plant traits, we expect that  
536 it will be easier to generalize this approach to many sites. Here we show that of the  
537 species-independent parameters, only a few require site-specific calibration for  
538 realistic model output to be achieved, and identifying these parameters helps  
539 identifying priorities for future theoretical and modeling development, as well as for  
540 field measurements (Medlyn et al., 2016).

541

#### 542 4.4 Climate impact on forests using IBMs

543 Another important part of assessing transferability of forest IBMs consists in  
544 evaluating how the model responds to environmental forcing, an important step in  
545 understanding how forests respond to climate change (Shugart et al., 2018). We here  
546 examined the effect of climate forcing without the need of re-calibration (Fauset et al.,  
547 2019; Shugart et al., 2018). Many forest IBMs prescribe climatic conditions based on  
548 locally measured data (Ma et al., 2017; Shuman et al., 2015), yet it is important to  
549 provide a consistent climate forcing condition even at places where local  
550 measurements do not exist, and to ensure comparability among sites. The integration  
551 of the gridded CRU-NCEP climate dataset as model input fulfills this condition, and  
552 thus further simplifies large-scale implementation.

553 TROLL simulations at the Fushan and Nouragues sites with different climatic  
554 conditions demonstrate that the model reproduces a general pattern of climatic  
555 response that remain nearly identical upon model transfer, with only quantitative

556 differences between sites. The simulated positive relationship of GPP with  
557 temperature and irradiance and the negative relationship with VPD are in agreement  
558 with expectations (Malhi et al., 2015; Reyer, 2015). Under the current model version,  
559 VPD constrains leaf stomatal conductance in the photosynthesis process, and we  
560 found a weak effect of VPD. As water availability is one of the key climatic factors  
561 that shape forest dynamics and functioning (Álvarez-Dávila et al., 2017; Feng et al.,  
562 2018; Galbraith et al., 2010; Poorter et al., 2017), further investigation of forest  
563 response to drought and soil water stress is necessary, and will be the focus of future  
564 model development.

565 At both sites, we observed a decoupling between the response of productivity  
566 and that of stem density and AGB. With increasing temperature, GPP increased while  
567 large tree density and AGB decreased. These observations are consistent with  
568 empirical studies that showed that productivity is a poor predictor of biomass in old-  
569 growth tropical forests (Johnson et al., 2016; Malhi et al., 2015). Biomass  
570 accumulation is controlled by numerous processes other than carbon assimilation,  
571 including mortality, functional composition, and size structure (Allen et al., 2010;  
572 Bugmann et al., 2019; Johnson et al., 2016).

573 The Fushan site responded more to variation in climatic conditions than  
574 Nouragues. One interpretation of this finding is that the native bioclimatic conditions  
575 of Nouragues were closer to the average condition of reference climatic conditions,  
576 whereas Fushan has a fringe climatic condition (subtropical). Consequently,  
577 constraining the Fushan forest to average tropical forest climatic conditions had more  
578 effect than on the Nouragues forest.

579

#### 580 4.5 Conclusion and perspectives

581 We have demonstrated that a detailed exploration of the calibration and transferability  
582 of trait-based forest IBMs offers an opportunity to assess the genericity of model  
583 assumptions. Even though our results are based on model simulations, they do pave  
584 the way towards a much more systematic exploration of model behavior across a wide  
585 range of sites that are representative of a variety of forest types.

586 We here identify two main priorities for future individual-based model  
587 development: 1) including more detailed and mechanistic representation of important  
588 physiological processes, such as disturbance-driven tree mortality (Seidl et al., 2014,  
589 2011; Uriarte et al., 2009), and 2) improving constraints of key parameters with

590 detailed and spatially distributed data, such as informing crown allometry with remote  
591 sensing data (Calders et al., 2018; Fischer et al., 2020; Shugart et al., 2015). With the  
592 help of improvements in these two directions, we argue that upscaling of individual-  
593 based vegetation models with detailed, trait-based species description need not be  
594 associated with high calibration burden, and that they have great potential for large-  
595 scale implementation.

596

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605

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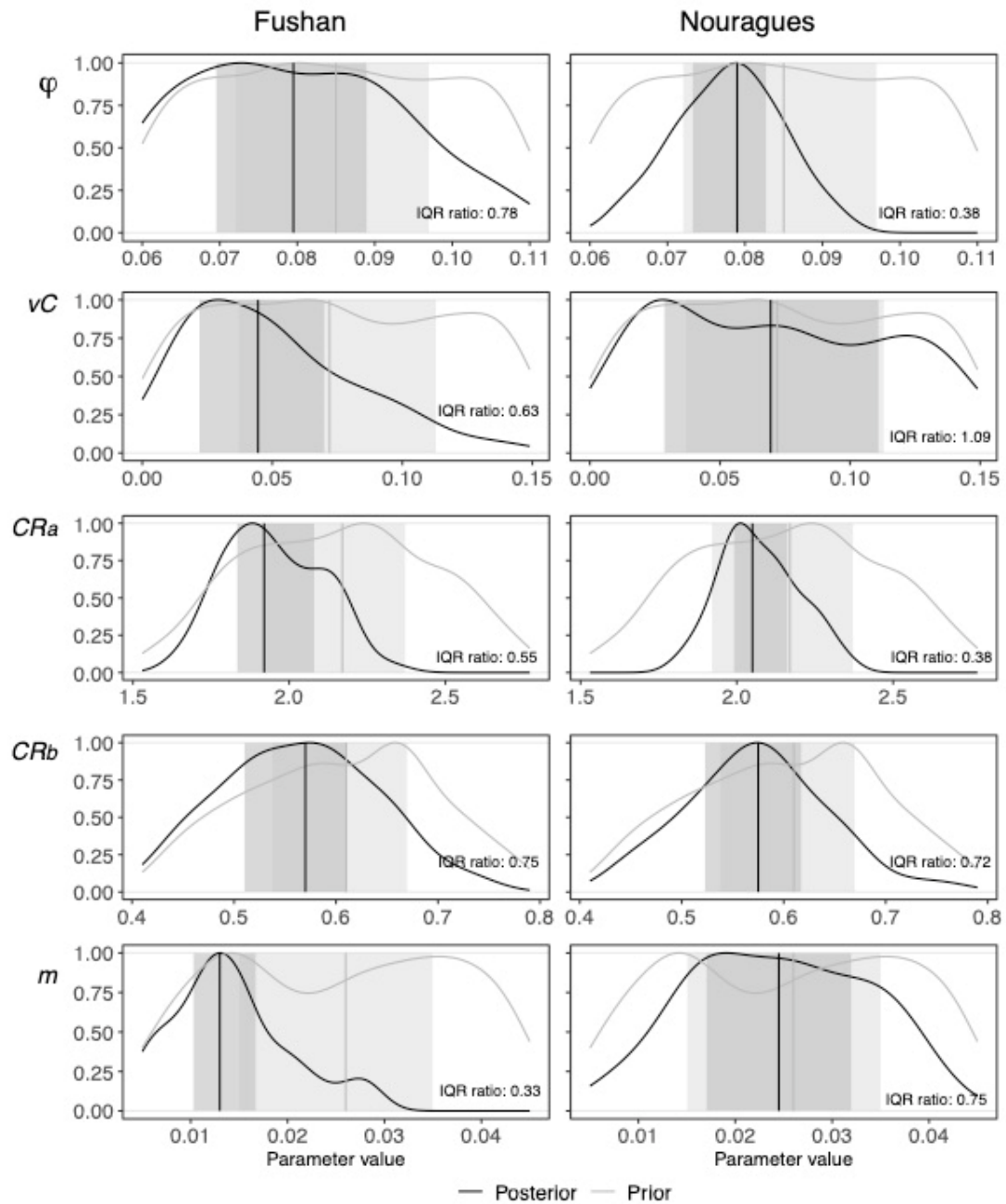
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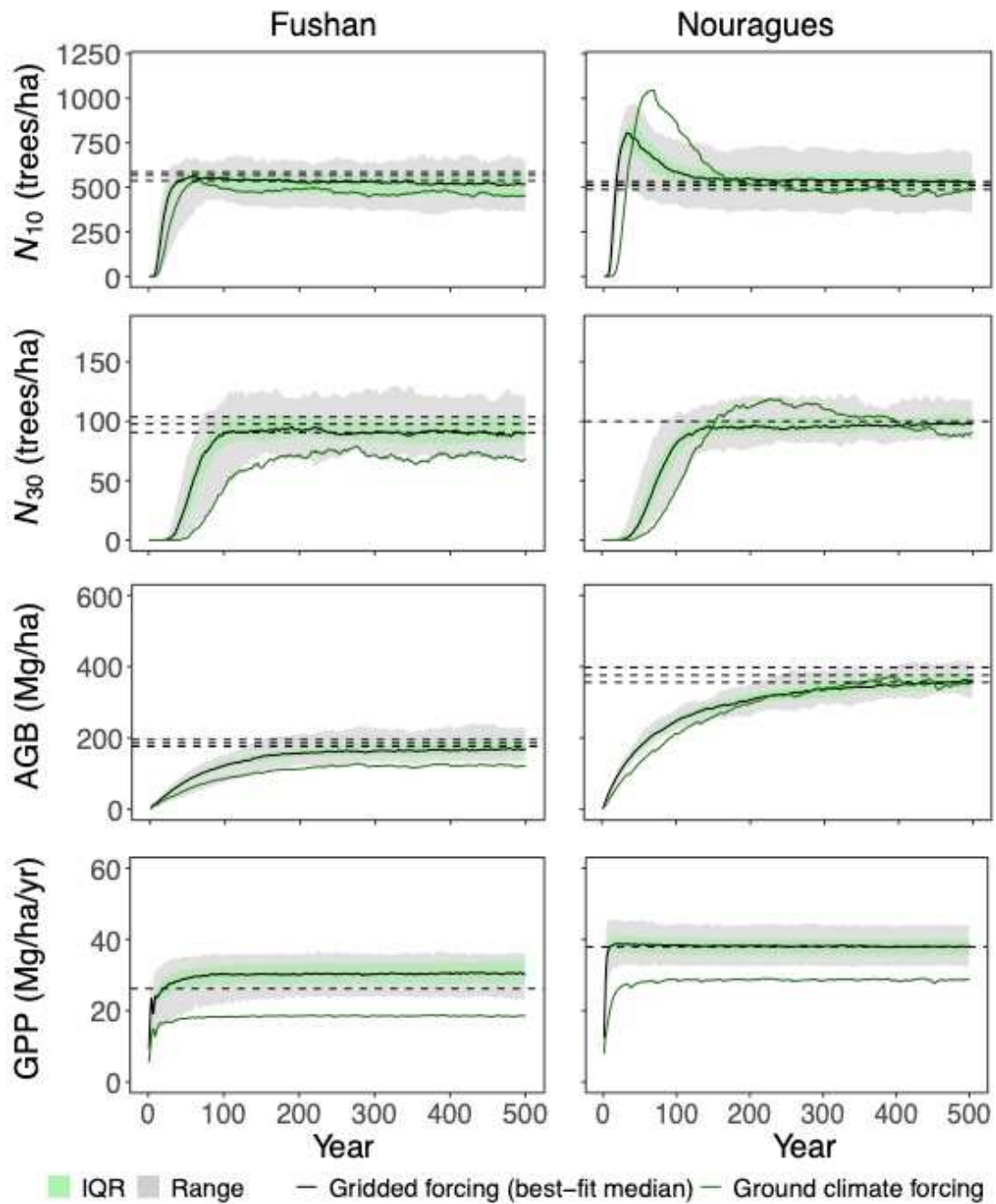
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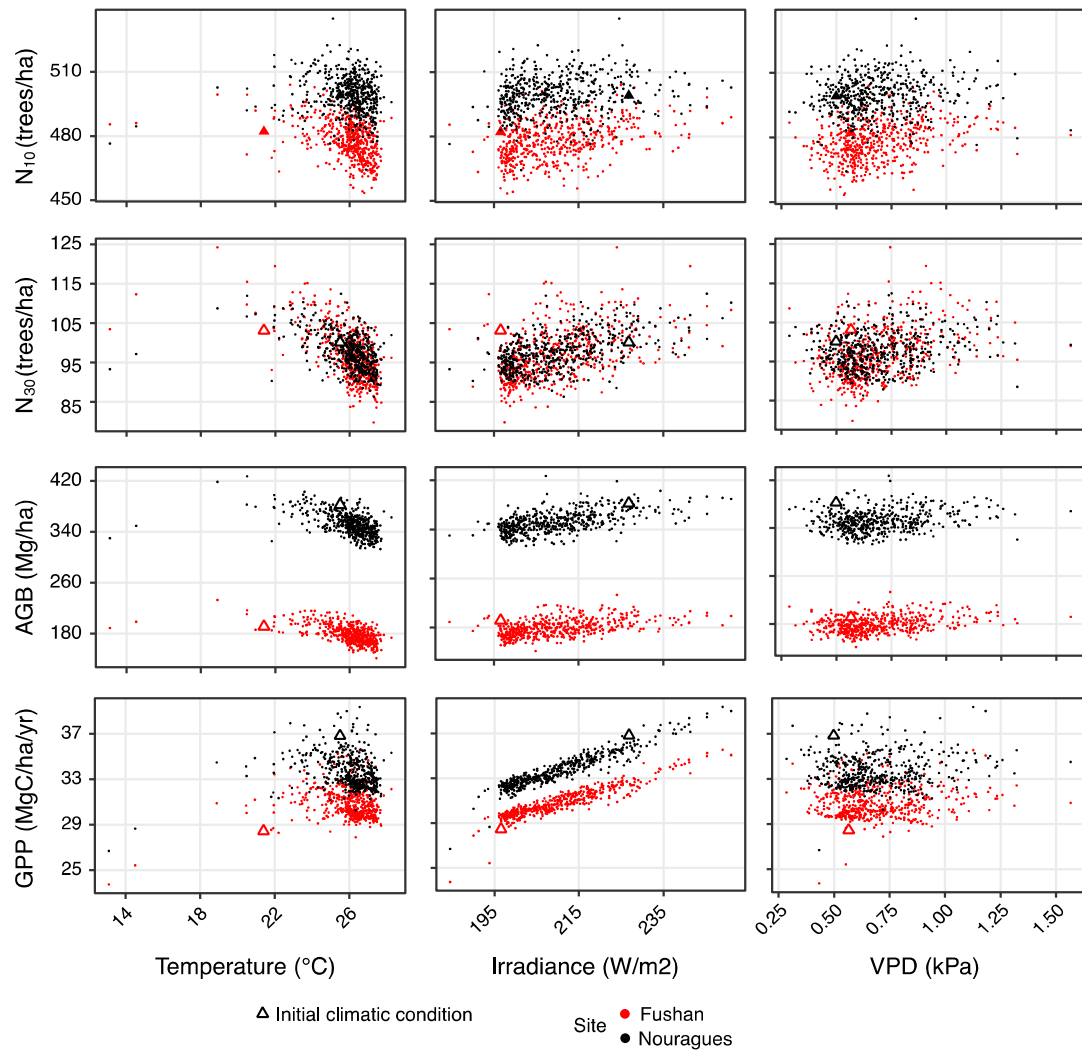
Figure 1. Prior (gray) and posterior (black) distributions for five parameters:  $\phi$  (quantum yield),  $vC$  (treefall parameter),  $CR_a$  and  $CR_b$  (intercept and slope terms of the crown radius allometry), and  $m$  (background mortality). Results are reported for the Fushan site (Taiwan), and for the Nouragues site (French Guiana). Curves represent density functions, and vertical lines represent median value of the distributions. Shaded areas indicate interquartile range (IQR) of prior (light gray) and posterior (dark gray) distributions. IQR ratio is calculated as the posterior divided by prior IQR: lower IQR ratio is thus indicative of a higher parameter informativeness.





1204

1205 Figure 2. Successional dynamics of best-fit simulations at the Fushan and Nouragues  
 1206 sites, for four variables. Green shades represent the interquartile range, and gray  
 1207 shades represent the entire range of variation. Solid lines: median value of the best-fit  
 1208 simulations (black: gridded climate forcing; dark green: ground climate forcing);  
 1209 dashed lines: empirical values.



1210

1211 Figure 3. Effect of climatic conditions on forest structure and functioning at both sites

1212 (red: Fushan; black: Nouragues). Triangles indicate the simulations done under

1213 climatic condition of the original site.

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1215

1216 **Tables**

1217

	Description	Prior range
$\varphi$	quantum carbon yield per quantum photon	0.030-0.110 (Mercado <i>et al.</i> 2009)
$\nu C$	variability of the tree height-dependent stochastic treefall process	0.0-0.15
$CR_a$	intercept of the log-transformed CR-DBH allometry	1.5-2.8 (Fischer <i>et al.</i> 2020)
$CR_b$	slope of the log-transformed CR-DBH allometry	0.4-0.8 (Fischer <i>et al.</i> 2020)
$m$	maximal background mortality rate	0.005-0.045

1218 Table 1. Parameters of the TROLL model calibrated at the two tropical forest sites.

1219

Parameter	Fushan	Nouragues
$\phi$	0.071 (0.070 – 0.089)	0.074 (0.073 – 0.082)
$\nu C$	0.099 (0.022 – 0.070)	0.031 (0.029 – 0.111)
$CR_a$	1.93 (1.833 – 2.080)	2.10 (1.990 – 2.163)
$CR_b$	0.51 (0.510 – 0.610)	0.57 (0.523 – 0.618)
$m$	0.006 (0.005 – 0.017)	0.023 (0.017 – 0.032)

1220 Table 2. Optimal parameter values (parameter values of the simulation with best  
1221 overall fit) at each site. Values in parentheses indicate the interquartile range of 50  
1222 best-fit simulations.  
1223

Metrics	Fushan	Nouragues
$N_{10}$	-14.4% (-18.1% – 0.8%)	-2.5% (-9.0% – 12.4%)
$N_{30}$	-5.9% (-14.9% – 5.3%)	0.1% (-8.4% – 4.2%)
AGB	-3.1% (-17.4% – 3.3%)	2.9% (-9.4% – 1.0%)
GPP	8.6% (5.6% – 28.5%)	-2.9% (-6.3% – 5.6%)

1224 Table 3. Percentage difference between summary statistics of the optimal simulation  
1225 (simulation with the best overall fit) and the mean empirical value. Values in  
1226 parentheses indicate the interquartile range of percentage differences of the 50 best-fit  
1227 simulations.

1228

	Fushan				Nouragues			
	<i>N<sub>10</sub></i>	<i>N<sub>30</sub></i>	AGB	GPP	<i>N<sub>10</sub></i>	<i>N<sub>30</sub></i>	AGB	GPP
Temperature	<b>-0.341</b>	<b>-0.553</b>	<b>-0.489</b>	0.135	<i>-0.049</i>	<b>-0.385</b>	<b>-0.413</b>	0.032
Irradiance	0.251	0.296	<b>0.329</b>	<b>0.953</b>	0.142	<b>0.436</b>	<b>0.476</b>	<b>0.947</b>
VPD	0.228	0.230	0.183	-0.226	<i>0.061</i>	<i>0.039</i>	<i>0.027</i>	-0.202

1229 Table 4. Effect size of each climatic variable on the output metrics at both sites,  
1230 expressed in semi-partial correlation coefficients. Effect sizes with absolute values  
1231 larger than 0.3 are indicated in bold. Italic indicates non-significant effects ( $p > 0.05$ ).  
1232

1233

1234 **Appendix A: generation of monthly mean climatic variables for**  
1235 **TROLL input**

1236 *Automated global reanalysis climate data calculation and extraction*

1237 The CRU-NCEP data are stored in NetCDF format, and the following variables  
1238 are available: *Tair* for air temperature (K), *rain* for precipitation (mm), *WindN* and  
1239 *WindE* for each of the two horizontal directional components of wind speed (m/s),  
1240 *SWdown* for incoming short-wave radiation exposure (J/m<sup>2</sup>), *Qair* for air specific  
1241 humidity, and *PSurf* for surface atmospheric pressure (Pa). We retrieved data for the  
1242 period from 1980 to 2016, a period when many direct observations complemented  
1243 model-based inferences in CRU-NCEP.

1244 We processed the CRU-NCEP data across the entire land surface on Earth using  
1245 the Climate Data Operators (cdo) tool (Schulzweida, 2019) and stored the results in  
1246 NetCDF files, with a total of 74 files (2 files for each year). For each year, one file  
1247 contains the monthly mean values of the following climatic variables: mean,  
1248 maximum and minimum daily temperature (°C), mean and maximum daily irradiance  
1249 (W/m<sup>2</sup>), mean and maximum daily VPD (vapor pressure deficit, kPa), as well as  
1250 monthly total precipitation (mm); another file contains the 6-hourly average wind  
1251 speed (m/s), calculated as the quadratic average of the two wind speed components.  
1252 Irradiance was calculated as the short-wave radiant exposure, divided by the time  
1253 length of each measurement interval (6 hours, i.e. 6 × 3600 = 21600 seconds). VPD  
1254 was calculated from temperature (T, °C), air specific humidity (R, unitless), and  
1255 surface atmospheric pressure (P, kPa) with the following equations (Buck, 1981;  
1256 Monteith and Unsworth, 2008):

1257 
$$VP_{sat} = 0.61121 \times e^{(18.678 - \frac{T}{234.5}) \times (\frac{T}{257.14 + T})} \quad (A1)$$

1258 
$$VPD = VP_{sat} - \frac{R \times P}{0.622 + 0.378 \times R} \quad (A2)$$

1259 where  $VP_{sat}$  is the temperature-dependent saturated vapor pressure.

1260 Subsequently, we used an R script to extract the monthly climatic variables from  
1261 the files for a geographic coordinate, and generated a text file that is used as an input  
1262 file for TROLL.

1263

## 1264 **Appendix B: Data at Fushan FDP**

1265 At Fushan FDP, local meteorological data, daily from 1991 to 2012 and hourly  
1266 from 2013 to 2016, was recorded at a meteorological station three kilometers east of  
1267 Fushan FDP (24° 45' N, 121° 35' E). Temperature and humidity were measured by a  
1268 Rotronic MP101A meteorological probe, precipitations by a tipping bucket rain  
1269 gauge, irradiance by an E20 Silicon pyranometer (Homeray), and instantaneous wind  
1270 speed by a Wind Monitor Model 05103 (Young).

1271 In Fushan FDP, the sampling of functional traits was conducted in 2009, where 1  
1272 to 26 individuals per species were chosen randomly according to accessibility of tree  
1273 canopy, and 1 to 3 intact and mature leaves or leaflets exposed to sunlight were  
1274 collected for each individual. Collected leaves were sealed in Ziploc® bag with wet  
1275 paper towels and kept in an insulated cooler box in order to prevent from water loss  
1276 until transport back to the field station. There, the fresh weight of the leaves was  
1277 measured to a precision of 0.1 mg, and they were scanned with a flatbed scanner  
1278 within 12 hours. Leaf area ( $LA$ ,  $\text{cm}^2$ ) was quantified with the software ImageJ  
1279 (Rasband 1997). The leaf samples were subsequently oven-dried at 80 °C for 72 - 96  
1280 hours, until constant dry weight. Leaf mass per area (LMA,  $\text{g}/\text{m}^2$ ) were then  
1281 calculated as dry weight divided by fresh leaf area (Pérez-Harguindeguy et al., 2013).  
1282 Nitrogen and phosphorus content ( $N_{mass}$  and  $P_{mass}$ ,  $\text{mg}/\text{g}$ ) were determined by the  
1283 microplate method (Huang et al., 2011; Iida et al., 2014).

1284 Wood density (WD,  $\text{g}/\text{cm}^3$ ) was measured following the ForestGEO wood  
1285 density measurement protocol (Condit, 2008; Iida et al., 2014), by taking wood core  
1286 samples of randomly chosen individuals outside the plot, measuring fresh volume by  
1287 water displacement method and dry weight after oven-drying at 80 °C. Wood density  
1288 was calculated as dry weight divided by fresh volume.

1289 The allometric relationship between DBH and tree height ( $H$ ) in the TROLL  
1290 model was assumed to follow a Michaelis-Menten function with two parameters,  
1291 asymptotic height ( $h_{max}$ ) and the Michaelis constant ( $a_h$ ), numerically equal to the  
1292 diameter at which the tree height is half of  $h_{max}$ :

$$1293 \quad H = \frac{h_{max} \times DBH}{a_h + DBH} \quad (\text{B1})$$

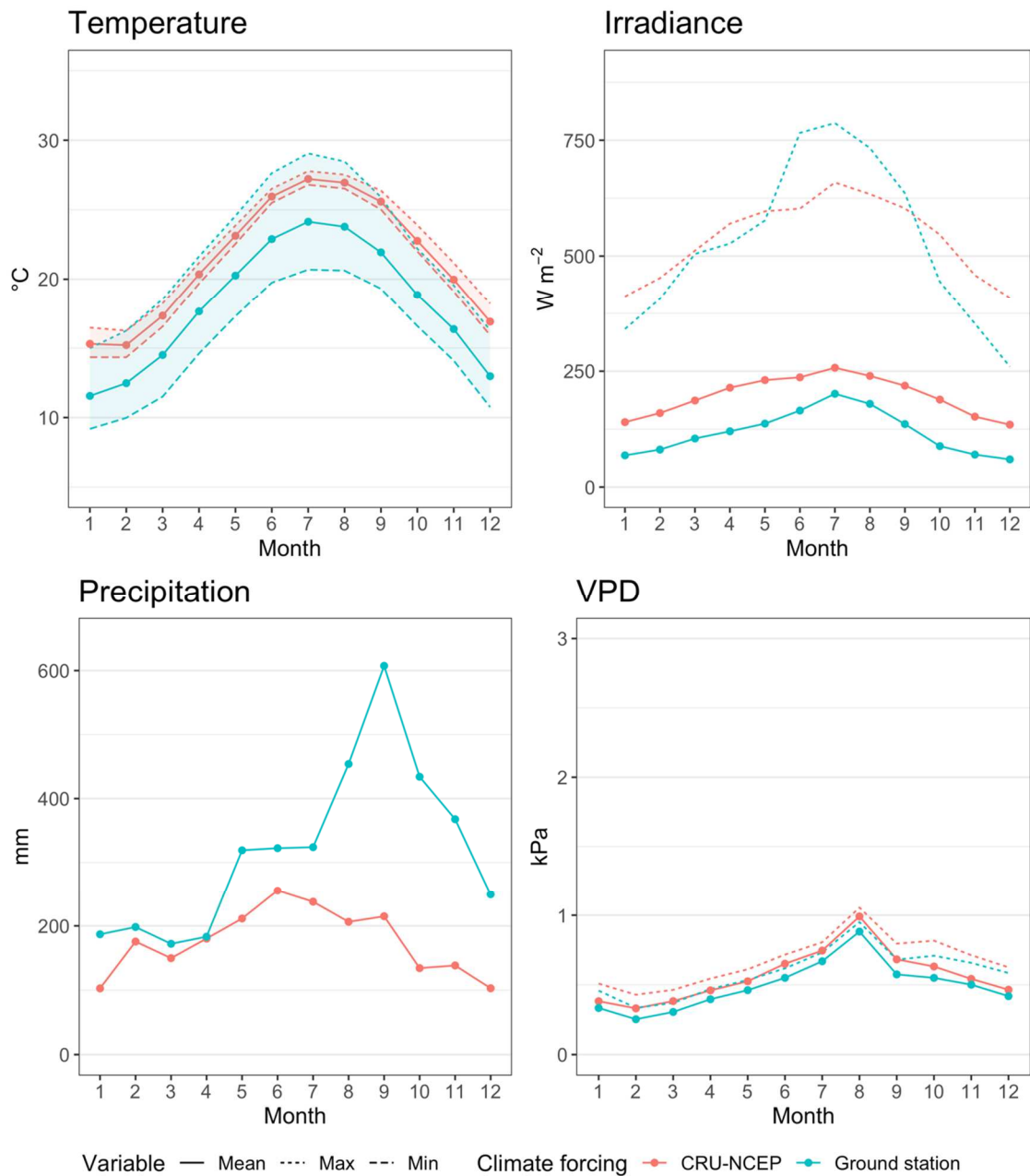
1294 Although DBH values for all individuals were available, tree heights were only  
1295 measured for 1 to 18 individuals for each species, depending on the accessibility of  
1296 tree individuals. Due to the scarcity of available height data, a hierarchical Bayesian



1297 model was used to estimate model parameters: the model assumed that the species-  
1298 specific Michaelis-Menten parameters  $h_{max, i}$  and  $a_{h, i}$  for species  $i$  are distributed  
1299 normally around common hyperparameters  $h_{max}$  and  $a_h$  (Molto et al., 2014).  
1300 Parameters are close to the hyperparameters when data points are scarce for a  
1301 particular species, while the species parameters dominate when data points are  
1302 numerous for the species. Calculations were carried out with the software STAN and  
1303 the R package *RStan* (Stan Development Team, 2016a, 2016b).  
1304

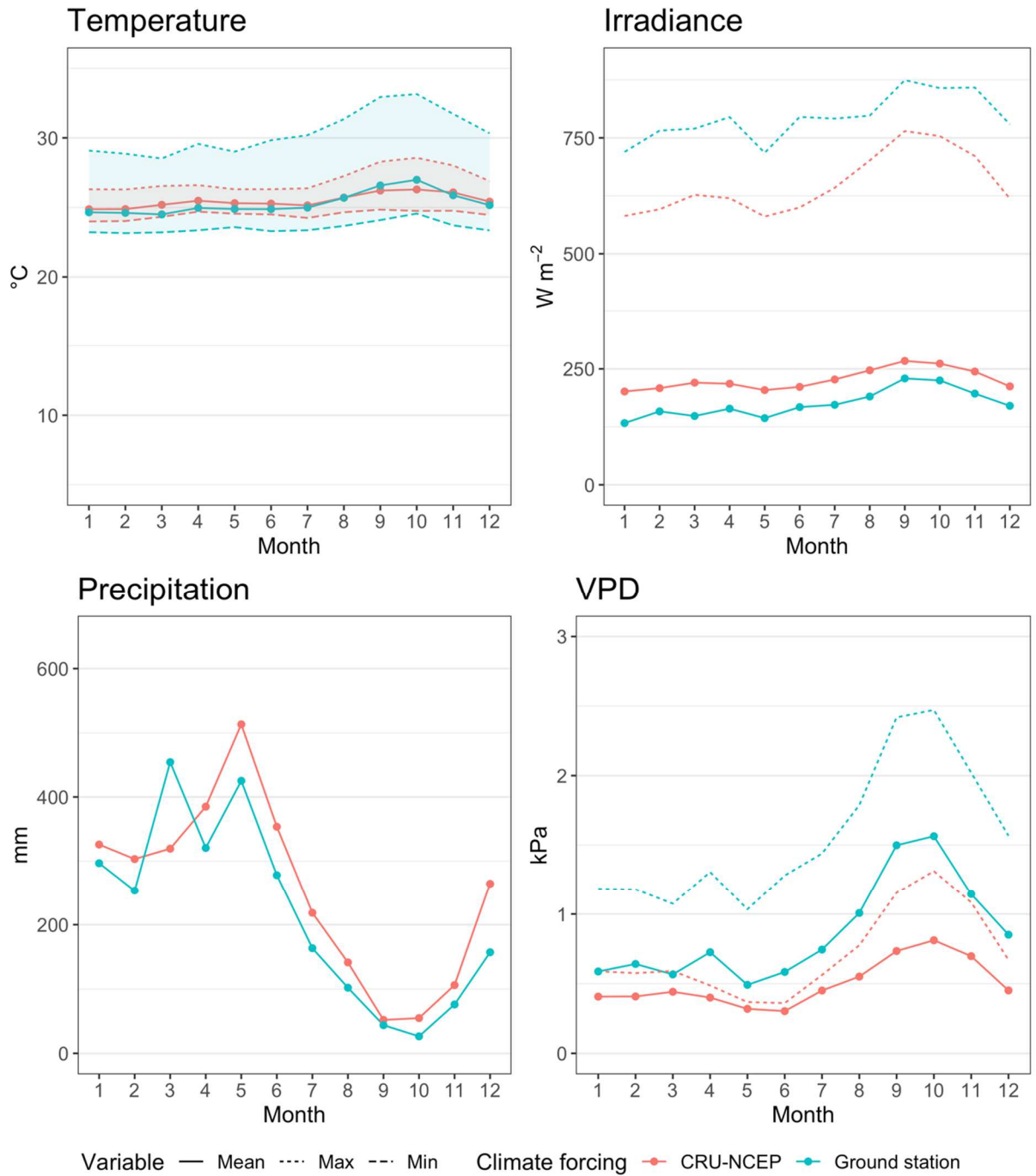
1305 **Appendix C: comparisons of different climate forcing sources.**

1306 The comparison between three climatic variables (temperature, precipitation,  
 1307 irradiance) extracted from CRU-NCEP data and ground station data showed that apart  
 1308 from minor differences, the climatic variables were largely congruent between CRU-  
 1309 NCEP and ground measures for the two ground study sites, the main difference being  
 1310 that seasonal variability for irradiance and precipitation was noticeably larger in  
 1311 ground data than in CRU-NCEP data at Fushan (Figure C1-2).  
 1312



1313  
 1314 Figure C2. Comparison of climatic variables from CRU-NCEP gridded data or  
 1315 ground-based data at Nouragues.

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Figure C2. Comparison of climatic variables from CRU-NCEP gridded data or ground-based data at Nouragues.

1321 **Appendix D: preliminary parameter calibration**

1322 In the preliminary calibration tests, three other parameters were calibrated  
 1323 besides the parameters  $\phi$  and  $m$ :  $k$ , the light extinction coefficient, describes the  
 1324 proportion of light extinction by each canopy layer;  $f_{wood}$  represents the fraction of  
 1325 assimilated carbon allocated to aboveground wood (branches and stem), and  $f_{canopy}$   
 1326 represents the fraction allocated to canopy (twigs, leaves, and reproductive organs)  
 1327 (Table D1). We conducted the calibration tests following the same procedure as  
 1328 described in the main text, performing 500 simulations and selecting simulations with  
 1329 the 10% best overall fit (i.e., 50 simulations). The results indicated that model output  
 1330 was weakly sensitive to  $k$ ; model sensitivity to  $f_{wood}$  and  $f_{canopy}$ , was non-negligible,  
 1331 but the overall model output did not deviate clearly from the observed value range no  
 1332 matter what their calibrated values were (Fig. D1 & D2). As a result, in all subsequent  
 1333 simulations we set a constant value for these three parameters. For  $k$ , we chose the  
 1334 lower bound value of 0.5 since reported values for forest ecosystems in Zhang *et al.*  
 1335 (2014) are primarily cluster around 0.5. For the allocation parameters, an intermediate  
 1336 value within the reported range was chosen ( $f_{wood} = 0.35, f_{canopy} = 0.25$ ).

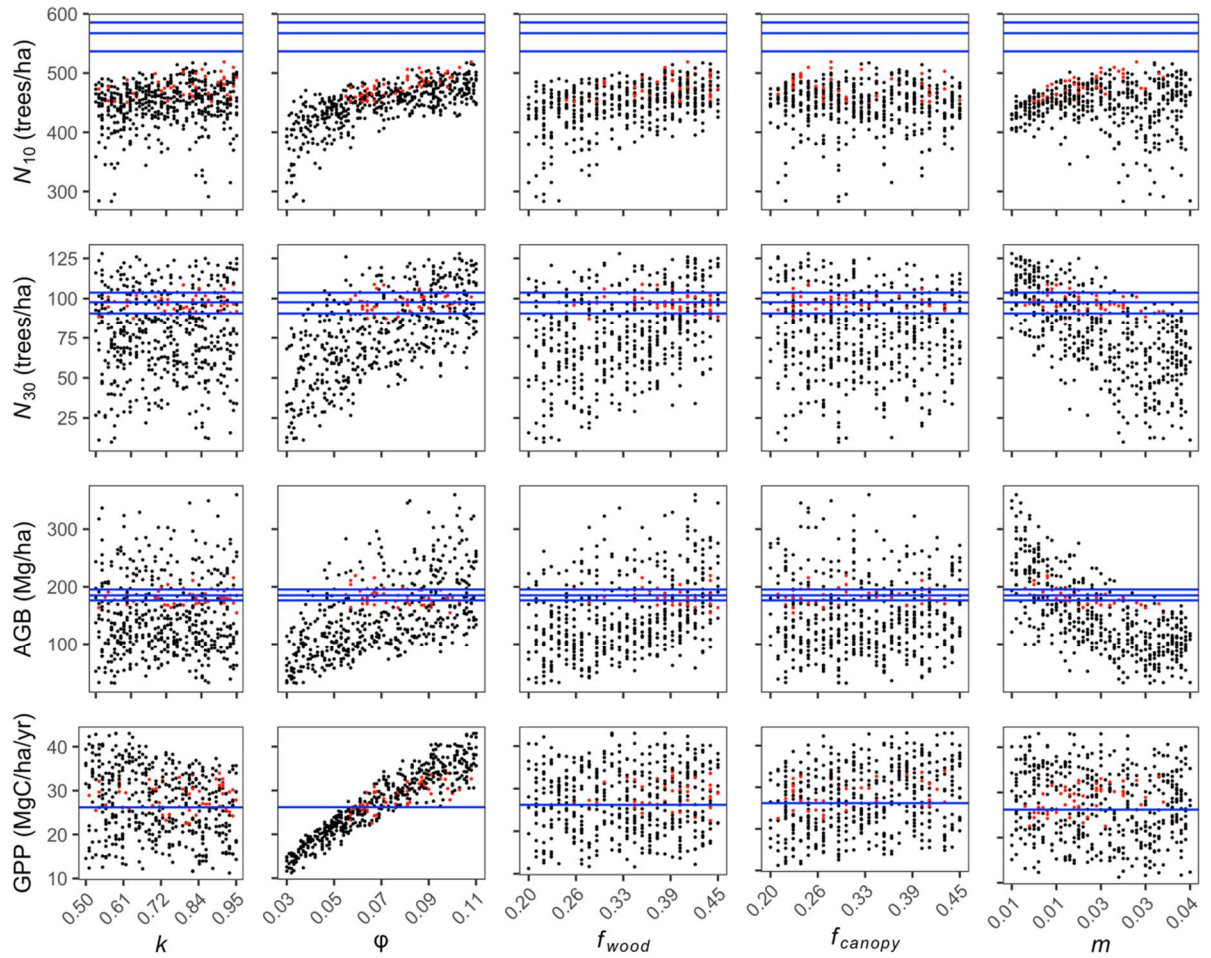
1337

$k$	light extinction coefficient	0.50-0.95 (Cournac <i>et al.</i> 2002, Zhang <i>et al.</i> 2014)
$\phi$	quantum carbon yield per quantum photon	0.030-0.110 (Mercado <i>et al.</i> 2009)
$f_{wood}$	fraction of NPP allocated to aboveground wood	0.20-0.45 (Aragão <i>et al.</i> 2009, Malhi <i>et al.</i> 2011)
$f_{canopy}$	fraction of NPP allocated to canopy	0.20-0.45 (Aragão <i>et al.</i> 2009, Malhi <i>et al.</i> 2011)
$m$	maximal background mortality rate	0.005-0.045

1338 Table D1. Parameters of the TROLL model calibrated at the two tropical forest sites  
 1339 in preliminary tests.

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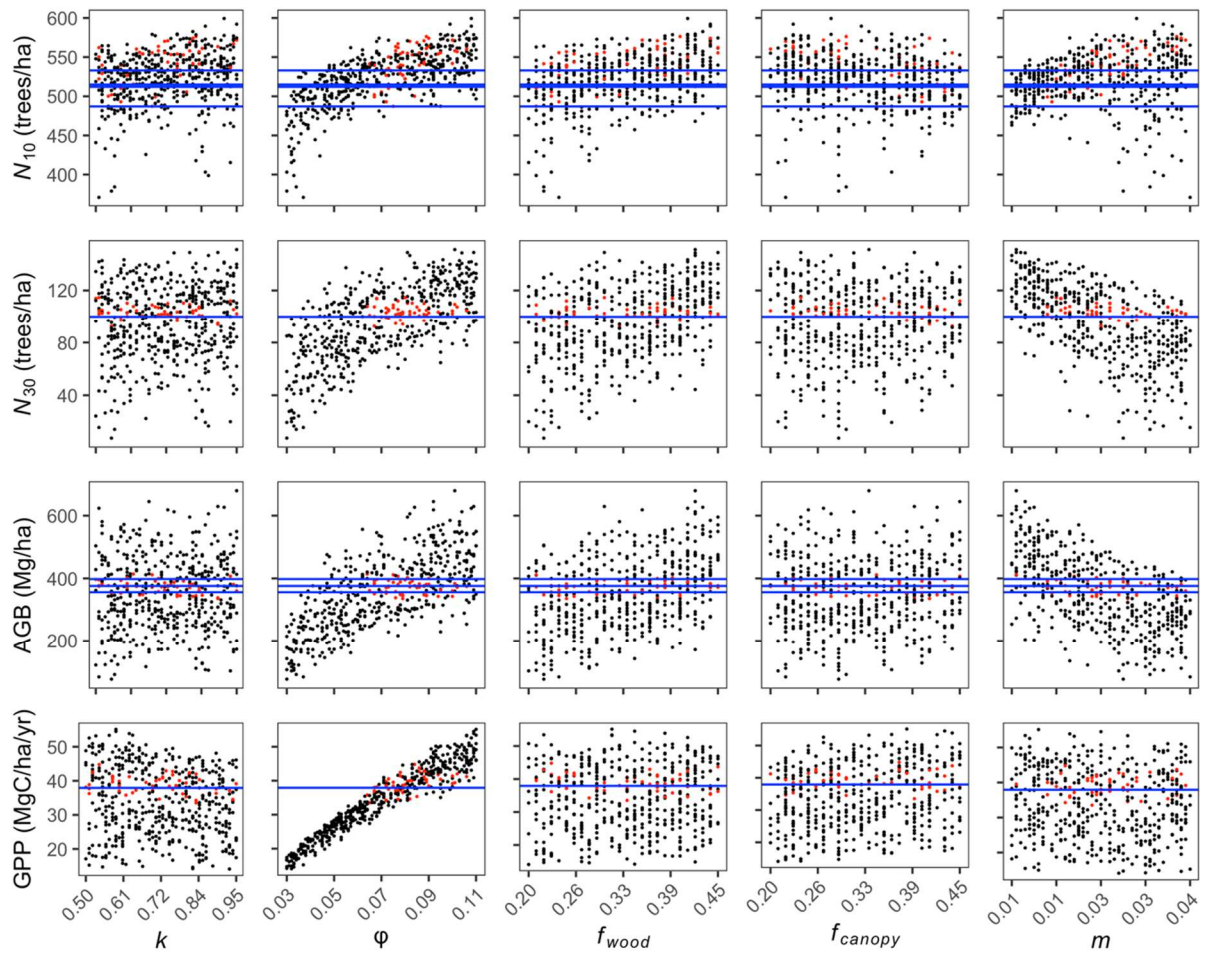
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Figure D1. Calibration of TROLL general parameters for Fushan ( $k$ : light extinction coefficient;  $\varphi$ : quantum yield;  $f_{wood}$  and  $f_{canopy}$ : carbon allocation to different plant organs;  $m$ : background mortality). Horizontal blue lines are observed values from field censuses. Each point represents one simulation, and red points are best-fit simulations.



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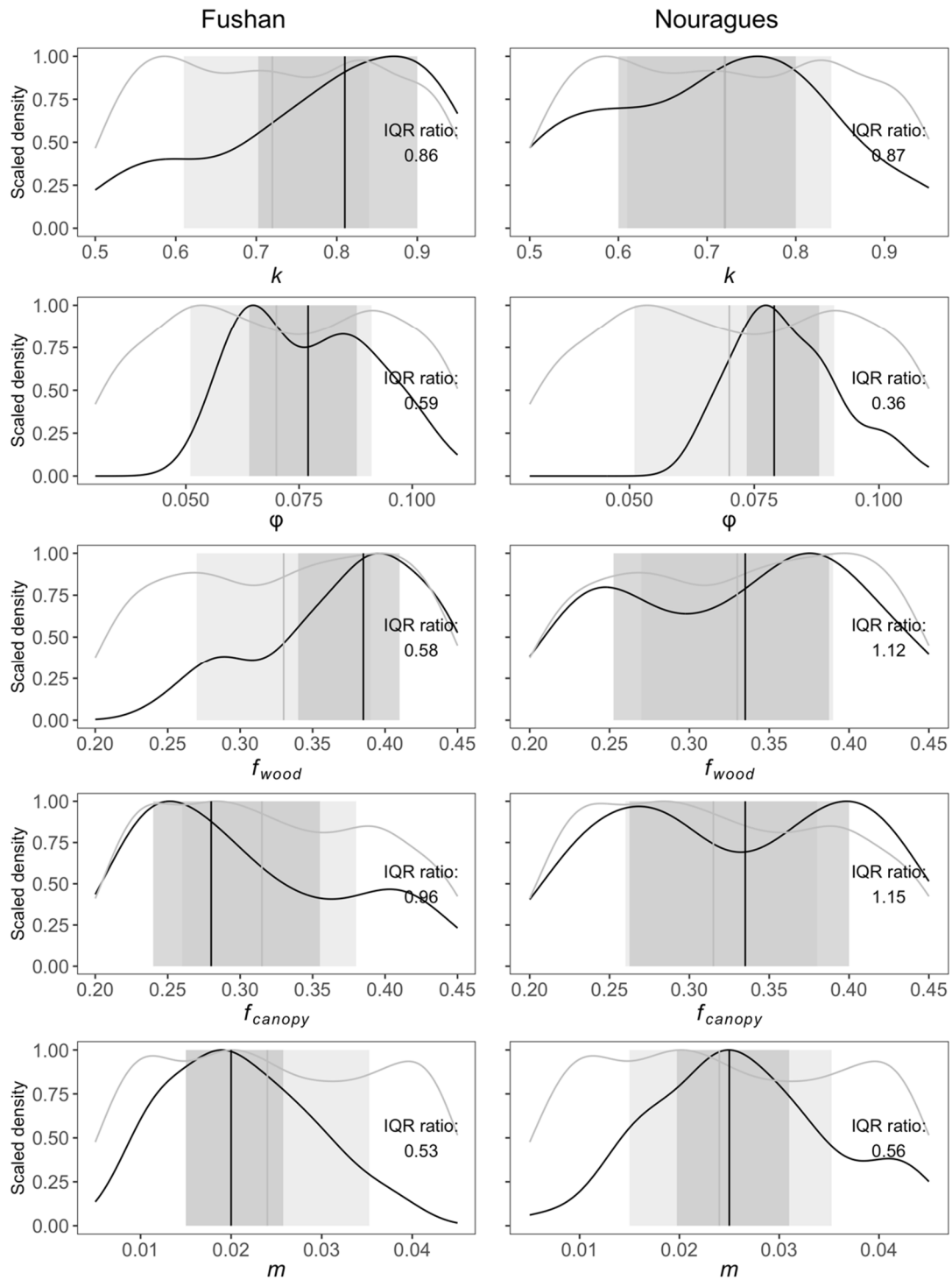
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Figure D2. Calibration of TROLL general parameters for Nouragues ( $k$ : light extinction coefficient;  $\varphi$ : quantum yield;  $f_{wood}$  and  $f_{canopy}$ : carbon allocation to different plant organs;  $m$ : background mortality). Horizontal blue lines are observed values from field censuses. Each point represents one simulation, and red points are best-fit simulations.



— Posterior — Prior

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Figure D3. Prior (grey) and posterior (black) density distributions for parameter values ( $k$ : light extinction coefficient;  $\phi$ : quantum yield;  $f_{wood}$  and  $f_{canopy}$ : carbon allocation to different plant organs;  $m$ : background mortality). Solid vertical lines indicate median and dashed vertical lines indicate interquartile range (IQR).

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Parameter informativeness is calculated as the ratio between IQR of best-fit

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simulations and that of all simulations.

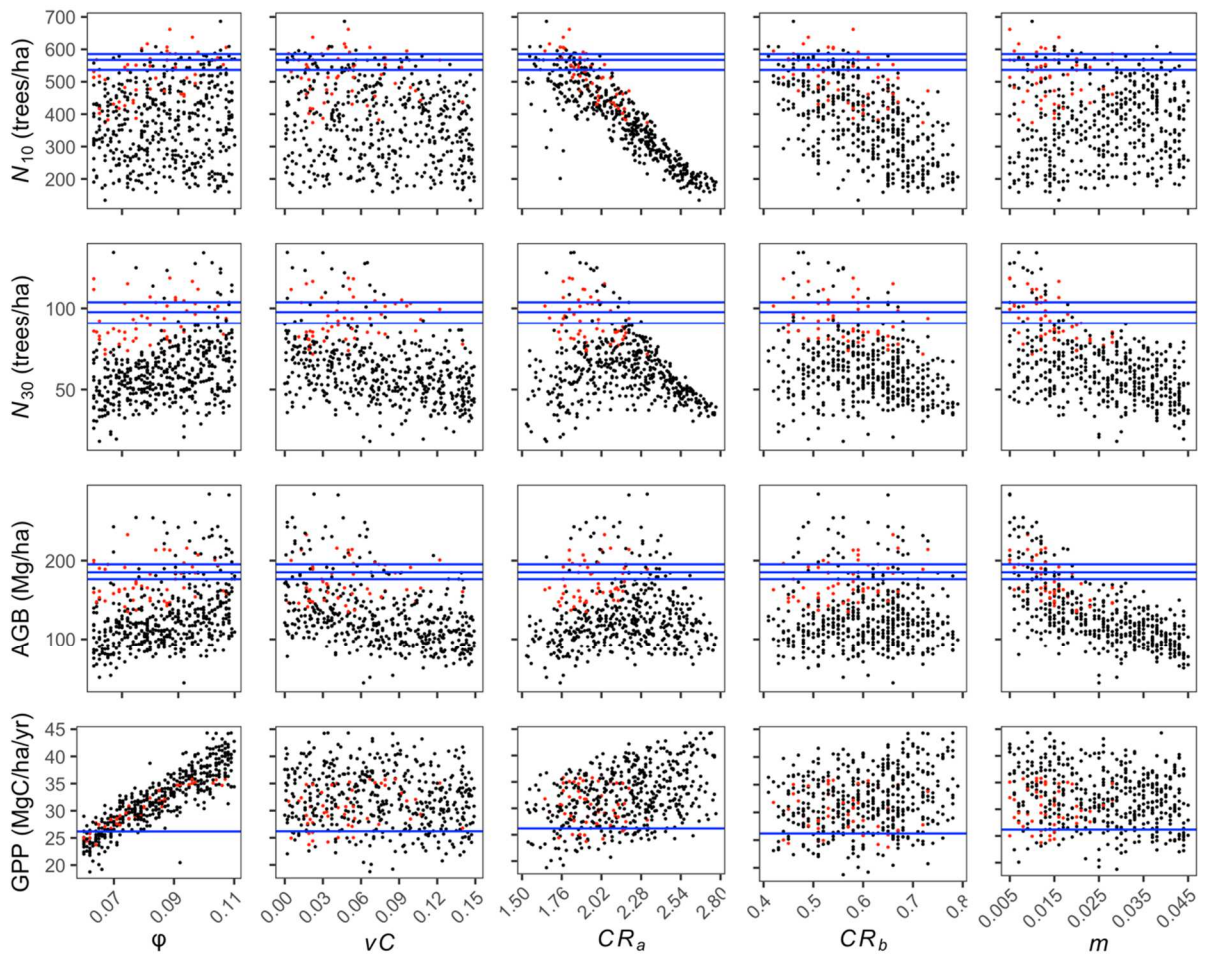
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1364 **Appendix E: parameter calibration**

1365 We conducted calibration tests on five parameters:  $\phi$  (quantum carbon yield per  
 1366 quantum photon),  $\nu C$  (variability of the tree height-dependent stochastic treefall  
 1367 process)  $CR_a$ ,  $CR_b$  (intercept and slope terms of the log-transformed CR-DBH  
 1368 allometry), and  $m$  (maximal background mortality rate), following the procedure as  
 1369 described in the main text, performing 500 simulations and selecting simulations with  
 1370 the 10% best overall fit (i.e., 50 simulations). The results showed that model output  
 1371 was strongly sensitive to  $\phi$ ,  $CR_a$  and  $m$ , and to a lesser extent to  $CR_b$ .

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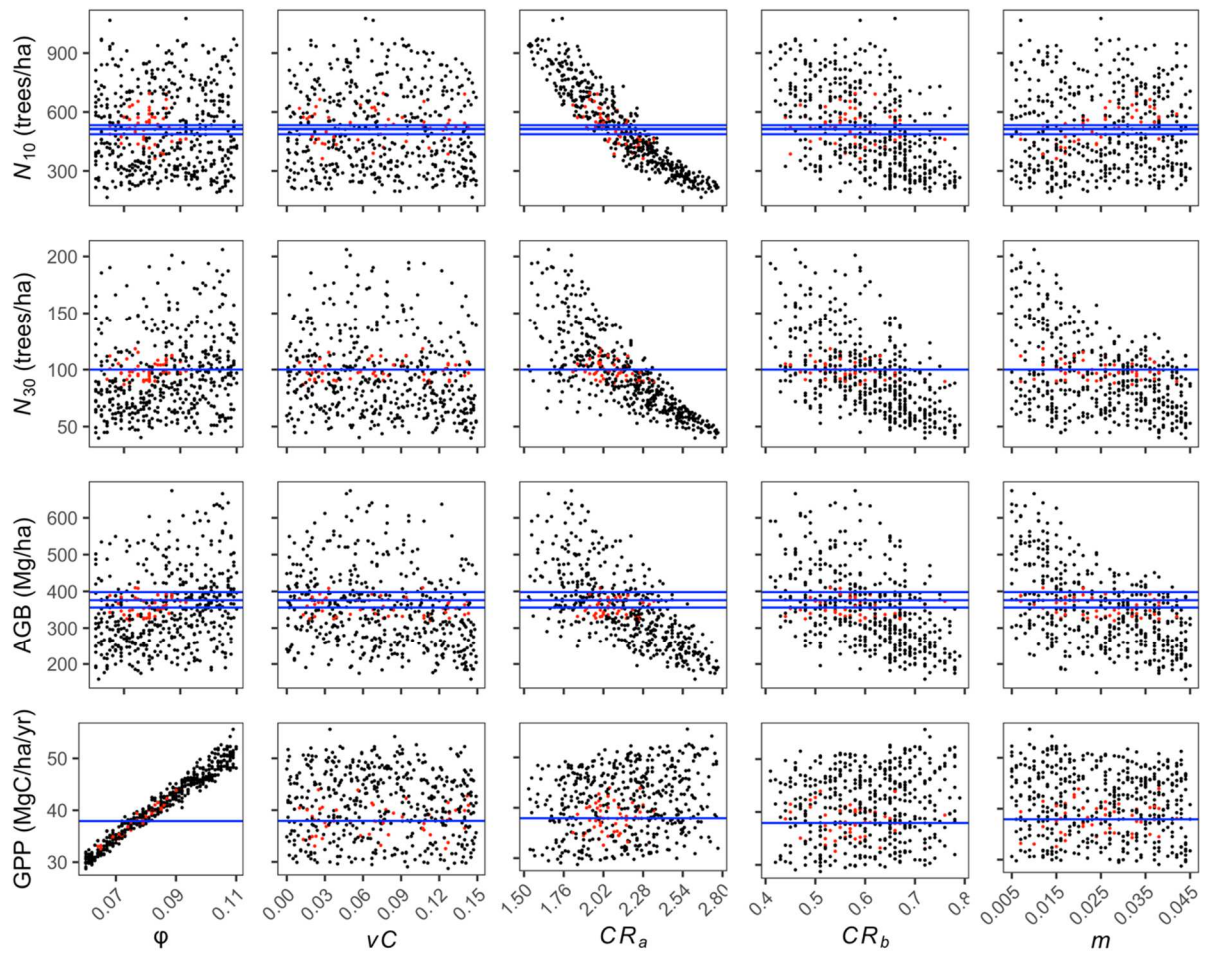


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1375 Figure E1. Calibration of TROLL general parameters ( $\phi$ : quantum yield;  $\nu C$ : treefall  
 1376 parameter;  $CR_a$  and  $CR_b$ : intercept and slope terms of the crown radius allometry;  $m$ :  
 1377 background mortality) for Fushan. Horizontal blue lines are observed values from  
 1378 field censuses. Each point represents one simulation, and red points are the best-fit  
 1379 simulations (10% best simulations).

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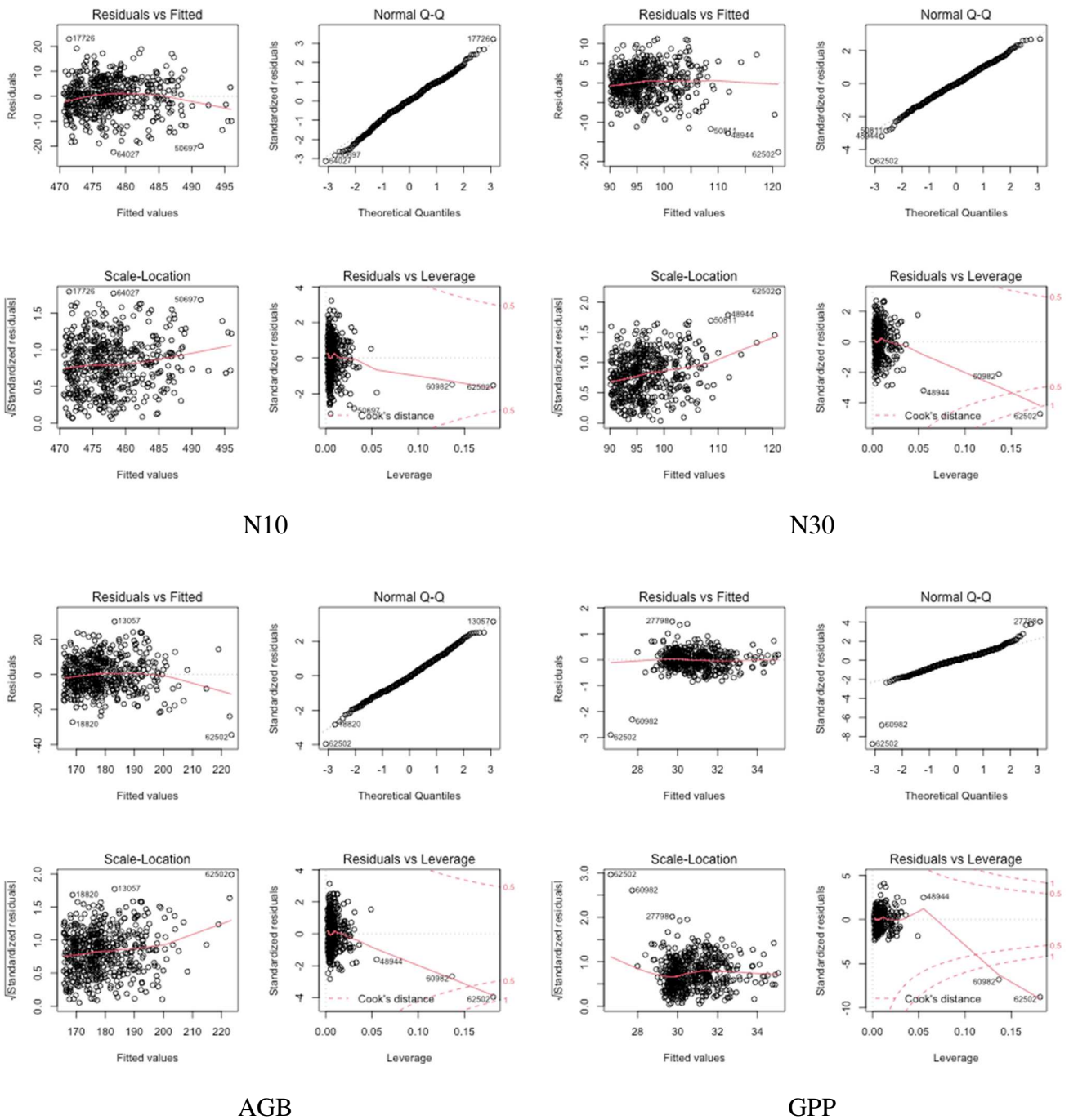
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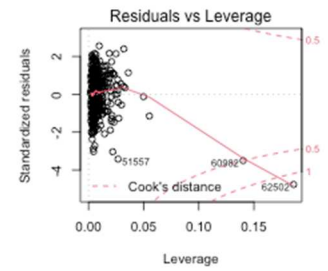
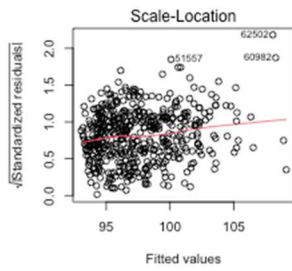
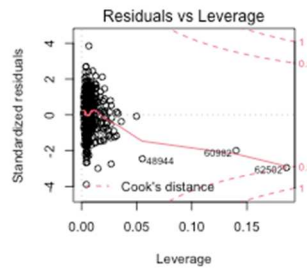
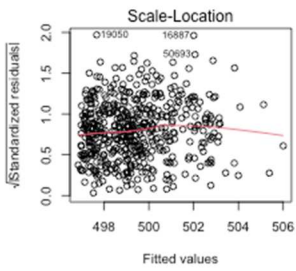
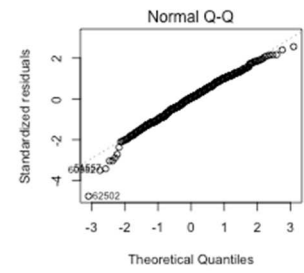
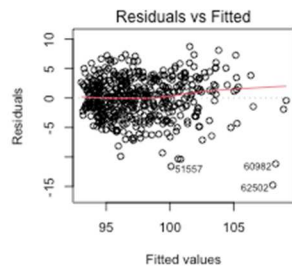
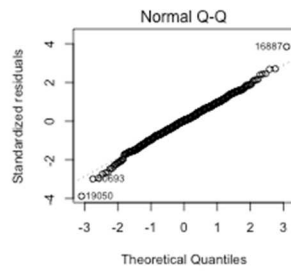
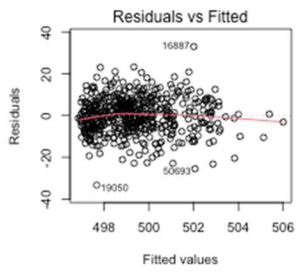
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Figure E2. Calibration of TROLL general parameters ( $\phi$ : quantum yield;  $\nu C$ : treefall parameter;  $CR_a$  and  $CR_b$ : intercept and slope terms of the crown radius allometry;  $m$ : background mortality) for Nouragues. Horizontal blue lines are observed values from field censuses. Each point represents one simulation, and red points are the best-fit simulations (10% best simulations).

1388 **Appendix F: verification of assumptions for linear model for the**  
 1389 **sampled climate experiment**

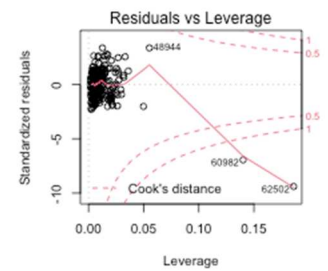
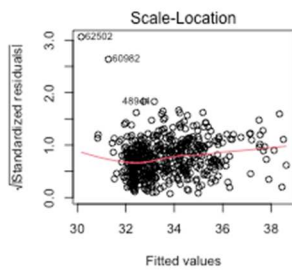
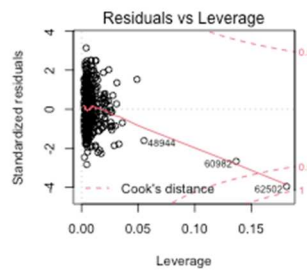
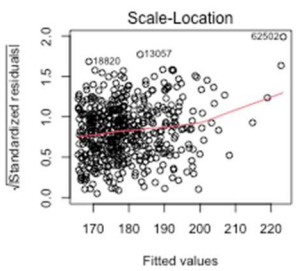
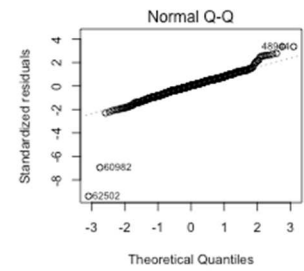
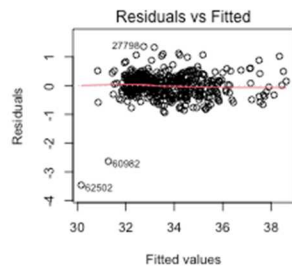
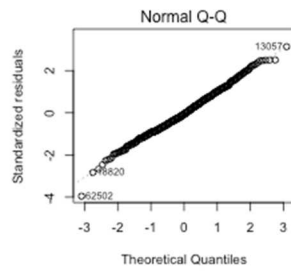
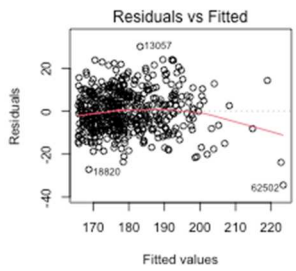


1390 Figure F1. Diagnostic plots of linear model for the sampled climate experiment  
 1391 at Fushan, with each summary statistics as dependent variables and the three climatic  
 1392 variables (temperature, irradiance and VPD) as independent variables. The four  
 1393 graphs represent respectively residual linearity, residual normality, residual  
 1394 homoscedasticity, and presence or absence of leverage points (influential points).



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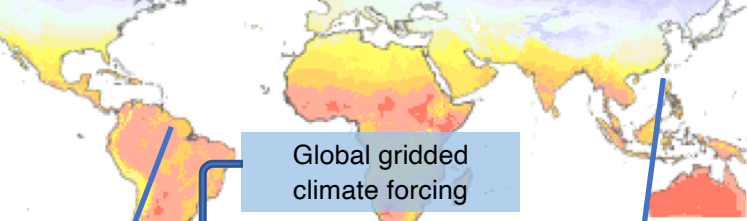


AGB

GPP

1395 Figure F2. Diagnostic plots of linear model for the sampled climate experiment  
 1396 at Nouragues, with each summary statistics as dependent variables and the three  
 1397 climatic variables (temperature, irradiance and VPD) as independent variables. The  
 1398 four graphs represent, respectively, residual linearity, residual normality, residual  
 1399 homoscedasticity, and presence or absence of leverage points (influential points).

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Global gridded climate forcing

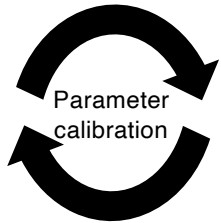
Local data sets  
Climate  
Plant functional traits



French Guiana



Taiwan



Parameter calibration

Individual-based forest growth model



Climate experiment

