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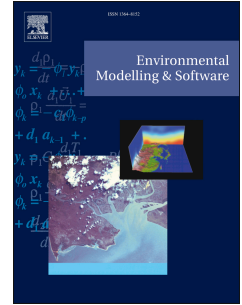


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# Journal Pre-proof

Residual correlation and ensemble modelling to improve crop and grassland models

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# 1 **Residual correlation and ensemble modelling to improve crop and** 2 **grassland models**

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45

## 46 **Abstract**

47 Multi-model ensembles are becoming increasingly accepted for the estimation of agricultural  
48 carbon-nitrogen fluxes, productivity and sustainability. There is mounting evidence that with  
49 some site-specific observations available for model calibration (with vegetation data as a  
50 minimum requirement), median outputs assimilated from biogeochemical models (multi-model  
51 medians) provide more accurate simulations than individual models. Here, we evaluate  
52 potential deficiencies in how model ensembles represent (in relation to climatic factors) the  
53 processes underlying biogeochemical outputs in complex agricultural systems such as grassland  
54 and crop rotations including fallow periods. We do that by exploring the correlation of model  
55 residuals. We restricted the distinction between partial and full calibration to the two most  
56 relevant calibration stages, i.e. with plant data only (partial) and with a combination of plant,  
57 soil physical and biogeochemical data (full). It introduces and evaluates the trade-off between  
58 (1) what is practical to apply for model users and beneficiaries, and (2) what constitutes best  
59 modelling practice. The lower correlations obtained overall with fully calibrated models  
60 highlight the centrality of the full calibration scenario for identifying areas of model structures  
61 that require further development.

62

63 **Keywords:** biogeochemical models; correlation matrices; ensemble modelling; model  
64 calibration; residual plot analysis

65

## 66 1. Introduction

67 The development of a robust modelling capacity is needed to carry out assessments of  
68 agricultural carbon (C) and nitrogen (N) fluxes (productivity, leaching and export) and to  
69 quantify the outcomes of agricultural management and policy decisions, as it supports  
70 participatory frameworks, as well as sensitivity and uncertainty analyses of model outputs (e.g.  
71 Martin et al., 2018; Harrison et al., 2019). Several biogeochemical models are available for  
72 estimating variables of agronomic, environmental and ecological interest in croplands and  
73 grasslands (see a summary in Brilli et al., 2017). Owing to insufficient knowledge,  
74 approximations, inaccurate parameterisations and/or lack of biological and physical  
75 representations, each crop or grassland model is an imperfect representation of the biophysical  
76 and biogeochemical processes in the vegetation, soil and atmosphere that are critical to  
77 ecosystem functioning (e.g. Challinor et al., 2013; Snow et al., 2014; Calanca et al., 2016; Jones  
78 et al., 2017a). Thus, each model represents a balance between parsimony and excessive  
79 complexity (Harrison et al., 2012). Models may give different answers to the same scientific  
80 question, not just in terms of the estimated magnitude of output, but also in the direction of  
81 change under climate or management scenarios (Brilli et al., 2017; Bilotto et al., 2021).  
82 Comparing and contrasting different models for their fit, precision, scope, validity and  
83 reliability may lead to choosing the one model that is optimal for the intended purposes (e.g.  
84 Bellocchi et al., 2010). However, relying on a single model deemed to be the best, ignores the  
85 uncertainty associated with alternative model structures and underestimates the possible effects  
86 of inaccurate estimates, especially when models are used in contexts outside the original  
87 development area (e.g. Riccio et al., 2007). Many authors have recognised the drawbacks of  
88 ignoring model uncertainties (e.g. papers cited by Dijkstra, 1988). Due to a lack of knowledge  
89 about whether any model is an appropriate representation of the target system/output in  
90 question, epistemic uncertainties, in particular, contribute to model spread. This is realised by  
91 a range of responses in a model ensemble (e.g. Knutti et al., 2019).

92 Ensemble modelling is an emerging method that involves running several related (but different)  
93 modelling solutions and then combining their results into a single result (or comparing them),  
94 which creates a consensus on the predictions obtained with multiple models (Spence et al.,  
95 2017; Calder et al., 2018). In addition, a smaller selection of models can approximate the  
96 median of a larger ensemble once all models are verified (e.g. Ehrhardt et al., 2018). Multi-  
97 model ensembles aim to reduce uncertainties in the prediction because ensemble estimates  
98 include multiple alternative representations of the same biophysical and biogeochemical  
99 processes in agricultural systems. They also provide more reliable information on the

100 uncertainties of the outputs predicted by the diversity amongst ensemble members, as  
101 highlighted in crop/grassland modelling exercises (e.g. Bassu et al., 2014; Rosenzweig et al.,  
102 2014; Kollas et al., 2015; Li et al., 2015; Ruane et al., 2016, 2017; Sándor et al., 2017). The  
103 assumption underlying the use of multiple models is that a measure of central tendency of the  
104 results of different models reduces uncertainties by balancing the errors of the individual  
105 models and thus results in a better fit (e.g. Riggers et al., 2019). In many cases, the median  
106 value of multi-model predictions was shown to be able to outperform any single deterministic  
107 model in reproducing observational data at different locations (as explained by Martre et al.,  
108 2015 and, on a theoretical basis, by Wallach et al., 2018). In particular, model simulations are  
109 less accurate in situations of limited inputs and below-potential yield situations, where soil  
110 processes need to be adequately simulated, and model ensembles offer higher accuracy than  
111 randomly taken models (Falconnier et al., 2020). For this reason, ensemble modelling is a  
112 proposed means of reducing some of the uncertainties in model estimates of productivity and  
113 other C and N fluxes in croplands and grasslands (Ehrhardt et al., 2018; Sándor et al., 2020).  
114 Intrinsic differences between models may also become a useful asset to be exploited for more  
115 informed decision-making support, e.g. towards alternative farming practices to reduce net  
116 greenhouse gas emissions (Alcock et al., 2015; Harrison et al., 2016; Sándor et al., 2018a). As  
117 a corollary to reducing ensemble uncertainties, running more models can highlight model  
118 shortcomings, as it is unlikely that all models represent each physical phenomenon in the same  
119 way (e.g. Sándor et al., 2016). Thus, the envelope of possible model outputs can be narrowed  
120 as our understanding of key processes improves, or with the inclusion of a particular process  
121 not previously considered, or to save time in scaling up.

122 With the aim of increasing reliability and confidence in the simulated results, this study explores  
123 patterns of simulated C-N and productivity responses with a multi-model ensemble approach.  
124 We included results from 23 crop and grassland models, used to simulate C-N and productivity  
125 outputs in five sites worldwide (three crop rotations with spring and winter cereals, soybean  
126 and rapeseed, and two temperate grasslands). This work builds on comprehensive foundations  
127 laid by Ehrhardt et al. (2018) for yield and nitrous oxide (N<sub>2</sub>O) emissions, and Sándor et al.  
128 (2020) for C fluxes. Here, we analyse factors that may explain differences in simulated model  
129 responses. Viewing and interpreting a variety of modelled outputs is intended to lay ground for  
130 future model developments. We thus further explored the extent to which multi-model  
131 ensembles can be used to help identify deficiencies in model structures, which limit model  
132 performance in different situations. Specifically, we present an approach that uses a correlation  
133 matrix (with graphical representation) to correlate both the residuals of outputs from the



134 ensemble against residuals of selected climate drivers. The estimation of uncertainty in  
 135 simulation models is based on the assumption that model residuals (differences between model  
 136 estimates and observations) are additive and independent. When the residuals of one model  
 137 output are correlated with the residuals of other outputs, the different outputs would probably  
 138 be the result of processes not included (or partially included) in the models. This suggests that  
 139 interacting processes are sources of model-data mismatch and, in this case, non-negligible  
 140 correlations between model residuals and external drivers might inspire a more detailed  
 141 description of these same drivers to improve the models.

142 Focusing on the correlation among model residuals, the central assumption of this study is that  
 143 an ensemble of partially or fully calibrated models can produce uncorrelated residuals which  
 144 would validate the assumptions of error independence. Using the median of the outputs of  
 145 several models as a metric of the multi-model ensemble, the aim was to compare the  
 146 standardised residuals of the different outputs of an ensemble of models run with limited  
 147 calibration datasets (partial calibration desirable for users and beneficiaries) and rich datasets  
 148 (full calibration more suitable for scientists).

149

## 150 2. Materials and methods

### 151 2.1. Experimental sites and measurements

152 We adopt multi-year model outputs, obtained from 23 crop and grassland simulation models at  
 153 five agricultural sites worldwide (Sándor et al., 2020). The approach was based on a multi-  
 154 model study, in which all participating teams received the same data and were asked to return  
 155 simulated outputs for the same conditions using their usual calibration techniques (for a  
 156 discussion on the validity of calibration practices for good modelling, see Wallach et al., 2021).  
 157 The models were run independently in five stages (S), as shown in Table 1, from blind  
 158 modelling (S1) to partial (S2 to S4) and full (S5) calibrations. In particular, site-specific model  
 159 parameterisation was performed at each modelling stage, with gradual access to site data from  
 160 S2 onwards, to inform and parameterise the models.

161

162 Table 1. Stages of model run (after Ehrhardt et al., 2018). The grey cells indicate the two stages  
 163 (S3: partial calibration; S5: full calibration) on which this study focuses.

	Modelling stage	Description
S1	blind with no calibration and initialisation data	Basic data covering the simulation period of experimental measurements (climate, initial soil properties and site management information, crop

			rotation/grazing configuration, fertilisation and irrigation)
S2	initialisation with management and climate	historical	Historical site-specific data for climate and management allowing for long-term initialisation periods, and regional statistics for crop yields and pasture productivity from expert estimates
S3	calibration against vegetation data		Site-specific phenology data, crop/pasture vegetation development (e.g. leaf area index), observed grain yields, monthly estimated grassland offtake (biomass removed by mowing or animal intake)
S4	calibration against vegetation and soil data together		Dynamic soil process data (temperature, moisture, mineral N dynamics)
S5	calibration with the addition of surface-to-atmosphere C and N fluxes		C-N emissions and soil organic C stock changes

164

165 For consistency, we have maintained the model and site identifiers specified by Ehrhardt et al.  
166 (2018). The variability of the multi-model simulation exercise across stages was documented  
167 by inspecting how the multi-model median (MMM) converged to the observations.  
168 Observational data were from two long-term (19 years in total), grazed experimental sites (G3,  
169 G4) and three cropland sites (C1, C2, C3), covering a variety of pedo-climatic conditions and  
170 agricultural practices from United Kingdom, France (two sites), Canada and India (Table 2).  
171 The selected cropping systems covered a range of climates, from continental (C1, Canada),  
172 oceanic (C2, France) and subtropical (C3, India). All cropland sites had rotations with at least  
173 one wheat crop (six growing seasons), while maize was present in C1 and C2 (three growing  
174 seasons), and rice was only grown in C3 (two growing seasons), for a total of 18 growing  
175 seasons (including fallow intercrops). The 23 models (Table A in the Supplementary material),  
176 and the model identifiers and outputs provided, encompass all but one of the 24 biogeochemical  
177 models described in Ehrhardt et al. (2018). Model M11 was not included in the analysis because  
178 it did not provide the C-flux related outputs. At cropland sites, we had: GPP from six models,  
179 NEE from seven models, RECO from 14 models, N<sub>2</sub>O from 15 models, Yield from 15 models.  
180 At grassland sites, we had: GPP from 10 models, NEE from 10 models, RECO from 11 models,  
181 N<sub>2</sub>O from nine models, Yield from nine models. The use of flux tower data allows the  
182 determination of NEE, which is partitioned into its (simulated) component fluxes - RECO and  
183 GPP – by flux partitioning methods. Separated from flux tower measurements of NEE, the  
184 estimated GPP provides information on the physiological processes that contribute to NEE,  
185 which is the balance between the C released by the RECO and the GPP (e.g. Raj et al., 2016).  
186 Climate data available at each site since 1980 were used to initialise the models (calibration  
187 stage S2).

188

189 Table 2. Cropland and grassland sites, and years of available data, for analysis on the following  
 190 output variables from different models: GPP ( $\text{g C m}^{-2} \text{ yr}^{-1}$ ): gross primary production; RECO  
 191 ( $\text{g C m}^{-2} \text{ yr}^{-1}$ ): ecosystem respiration; NEE ( $\text{g C m}^{-2} \text{ yr}^{-1}$ ): net ecosystem exchange of  $\text{CO}_2$ );  $\text{N}_2\text{O}$   
 192 ( $\mu\text{g N}_2\text{O-N m}^{-2} \text{ yr}^{-1}$ ): nitrous oxide emissions; Yield ( $\text{kg DM m}^{-2} \text{ yr}^{-1}$ ): annual grain yield for  
 193 arable crops or annual above-ground net primary productivity for grasslands. Cropland sites  
 194 used different crop rotations (Table B in the Supplementary material), including cereals (spring  
 195 and winter wheat [W], triticale [T], maize [M] and rice [R]), legumes (soybean [S]), rapeseeds  
 196 (canola and mustard [C]), borages (phacelia, F) and fallow intercrop periods [I].

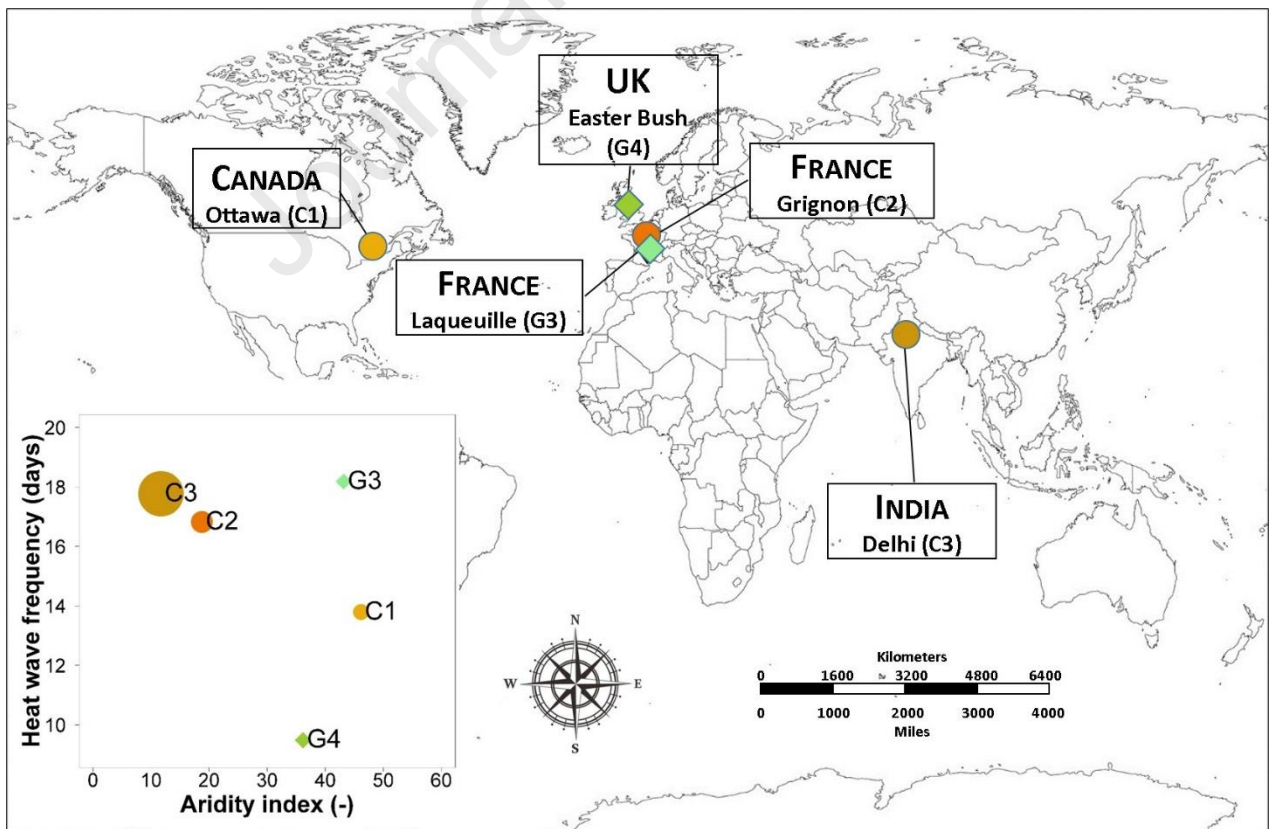
Sites, country (latitude, longitude, elevation)	Years of available data (simulation period)	Land use	References
C1: Ottawa, Canada (45.29, -75.77, 94 m a.s.l.)	2007-2012	W/S/C/M/W/C	Pattey et al. (2006); Jégo et al. (2012); Sansoulet et al. (2014)
C2: Grignon, France (48.85, 1.95, 125 m a.s.l.)	2008-2012	C/M/W/T/P/M/W/I	Laville et al. (2011); Loubet et al. (2011)
C3: Delhi, India (28.60, 78.22, 233 m a.s.l.)	2006-2009	W/R/W/R/W	Bhatia et al. (2012)
G3: Laqueuille, France (45.64, 2.74, 1040 m a.s.l.)	2003-2012	Permanent grassland	Allard et al. (2007); Klumpp et al. (2011)
G4: Easter Bush, United Kingdom (55.52, -3.33, 190 m a.s.l.)	2002-2010	Permanent grassland	Skiba et al. (2013); Jones et al. (2017b)

197

## 198 2.2. Agro-climatic metrics

199 Three metrics were selected to characterise the study-sites based on the extent to which they  
 200 fulfil the need to report the response of models to water-limited and heat stressed conditions  
 201 (Sándor et al., 2017, 2018; Farina et al., 2021). They are also important within a climate-change  
 202 focus (Rivington et al., 2007, 2013; Matthews et al., 2008; Graux et al., 2013; Lardy et al.,  
 203 2014, 2015; Eza et al., 2015). An increase in  $T_{max}$  and frequency of  $hw$  is desirable if the two  
 204 metrics are negatively correlated with model residuals. The aridity index ( $b$ ) is defined in such  
 205 a way (the higher it is, the lower the aridity) that, with a positive correlation, higher model  
 206 residuals are expected in wetter conditions and, with a negative correlation, higher model  
 207 residuals are expected in drier conditions. In fact, the De Martonne aridity index ( $b \leq 100$ ) was

208 derived following Gottmann (De Martonne, 1942), as  $b = \frac{1}{2} \cdot \left( \frac{P_Y}{T_Y+10} + 12 \cdot \frac{p_a}{t_a+10} \right)$ , where  $P_Y$  is  
 209 the total annual precipitation (mm),  $T_Y$  is the mean annual temperature ( $^{\circ}\text{C}$ ),  $p_a$  is the total  
 210 precipitation of the driest month (mm), and  $t_a$  is the mean temperature of the driest month ( $^{\circ}\text{C}$ ).  
 211 The possibility to discriminate between thermo-pluviometric conditions associated with aridity  
 212 gradients is given by the range limits published by Diodato and Ceccarelli (2004):  $b < 5$ : extreme  
 213 aridity;  $5 \leq b \leq 14$ : aridity;  $15 \leq b \leq 19$ : semi-aridity;  $20 \leq b \leq 29$ : sub-humidity;  $30 \leq b \leq 59$ : humidity;  
 214  $b > 59$ : strong humidity. Adopting the definition of Confalonieri et al. (2010), after Barnett et al.  
 215 (2006), for identifying the frequency of  $hw$  within a year in each site, we defined the heatwave  
 216 event as the number of  $\geq 7$  consecutive days when  $T_{max}$  was higher than the mean summer  
 217 (northern hemisphere: June, July and August in the temperate sites; April, May and June in the  
 218 monsoonal site)  $T_{max}$  of all the available years (baseline)  $+3^{\circ}\text{C}$ . The range limits in this study  
 219 were given by the minimum and the maximum numbers of the  $hw$  days of all sites:  $hw \leq 14$ :  
 220 extremely moderate frequency;  $14 < hw \leq 28$ : very moderate frequency;  $28 < hw \leq 42$ : moderate  
 221 frequency;  $42 < hw \leq 56$ : high frequency;  $56 < hw \leq 70$ : very high frequency;  $hw > 70$ : extremely  
 222 high frequency. Fig. 1 displays the gradient of thermo-pluviometric conditions that are  
 223 considered to analyse the response of the model residuals to climate drivers.  
 224



225 Fig. 1. Geographic location (diamonds: grassland sites; circles: cropland sites) and  
 226 classification of study sites with respect to De Martonne-Gottmann aridity index and frequency  
 227

228 of heatwave days (left-bottom graph). The area of the circles and diamonds in the left-bottom  
229 graph is proportional to the mean maximum air temperature of each site.

230

### 231 2.3. Residual scatterplot analyses

232 According to Ehrhardt et al. (2018) and Sándor et al. (2020), although detailed observations  
233 (i.e. C-N fluxes) to support full model calibration (S5) may be desirable, multiple model  
234 ensembles with plant observations as a minimum data requirement (S3) could be a promising  
235 way to guide modelling applications.

236 For both arable crops and grasslands, Ehrhardt et al. (2018) found that no model consistently  
237 outperformed the others in terms of both N<sub>2</sub>O emissions and yield production. In particular, in  
238 the case of cereal crop yields, the MMM error decreased considerably from S1 (34%, 31% and  
239 45% for wheat, maize and rice, respectively) to S3 (6.4%, 5.8% and 5.5% for wheat, maize and  
240 rice, respectively) and remained below 5% in S4 and S5. In the case of grassland yields, the  
241 MMM error decreased from 44% in S1 to 27% in S3 and finally increased to 46% in S5.

242 Sándor et al. (2020) reported that the MMM outperformed the individual models in 92.3% of  
243 the cases and, in general, they obtained the greatest improvements (MMM close to the mean of  
244 the observations) at calibration stages S3 or higher. For instance, the best cropland RECO  
245 estimates were obtained with S3, where the MMM and the observed mean were similar: 241  
246 and 242 g C m<sup>-2</sup> season<sup>-1</sup>, respectively (mean of sites C1, C2 and C3). For the GPP of grasslands,  
247 the best estimates were obtained with S5, where the MMM was equal to 1632 g C m<sup>-2</sup> yr<sup>-1</sup> and  
248 the observed mean was equal to 1763 g C m<sup>-2</sup> yr<sup>-1</sup> (mean of sites G3 and G4).

249 We thus quantified the correlations among standardised model residuals of GPP, RECO, NEE,  
250 N<sub>2</sub>O and Yield (differences between ensemble MMM and mean of observations), based on the  
251 results from partially and fully calibrated simulations (stages S3 and S5). For both calibration  
252 stages, we also quantified the correlations between model residuals and three agro-climatic  
253 metrics (annual values) related to the occurrence of high temperature (mean maximum air  
254 temperature, *T<sub>max</sub>* and heatwave days, *hw*) and arid conditions (Figures A-E in the  
255 Supplementary material).

256 Arrays of pairwise scatterplots (scatterplot matrices) were generated with the panel plot option  
257 'panel.smooth' ([https://stat.ethz.ch/R-manual/R-](https://stat.ethz.ch/R-manual/R-devel/library/graphics/html/panel.smooth.html)  
258 [devel/library/graphics/html/panel.smooth.html](https://stat.ethz.ch/R-manual/R-devel/library/graphics/html/panel.smooth.html)) in the R language and environment for  
259 statistical computing (R Core Team, 2020). The function produces *x*-*y* scatterplots of each pair  
260 of variables below the diagonal (output residuals and agro-climatic metrics) and overlays a local  
261 non-parametric smoother curve (locally estimated scatterplot smoothing) on each plot to give

262 some indication of trends without inferential characteristics (after Cleveland, 1979). For  
263 readability, the correlation between each variable and its significance (p value) is indicated in  
264 the lower triangular part of the matrices. The non-significant correlations ( $p \geq 0.10$ ) are not  
265 discussed (e.g. Bellocchi et al., 2002). According to Sándor et al. (2017), we have selected an  
266 arbitrary (high enough) absolute minimum threshold, i.e.  $r = |0.66|$ , and identified the number of  
267 cases when the correlation coefficient equals or exceeds this minimum value. Correlations  
268 between external climate factors (mean maximum air temperature, aridity index and frequency  
269 of heatwave days) are reported but are not informative in the present context.

270

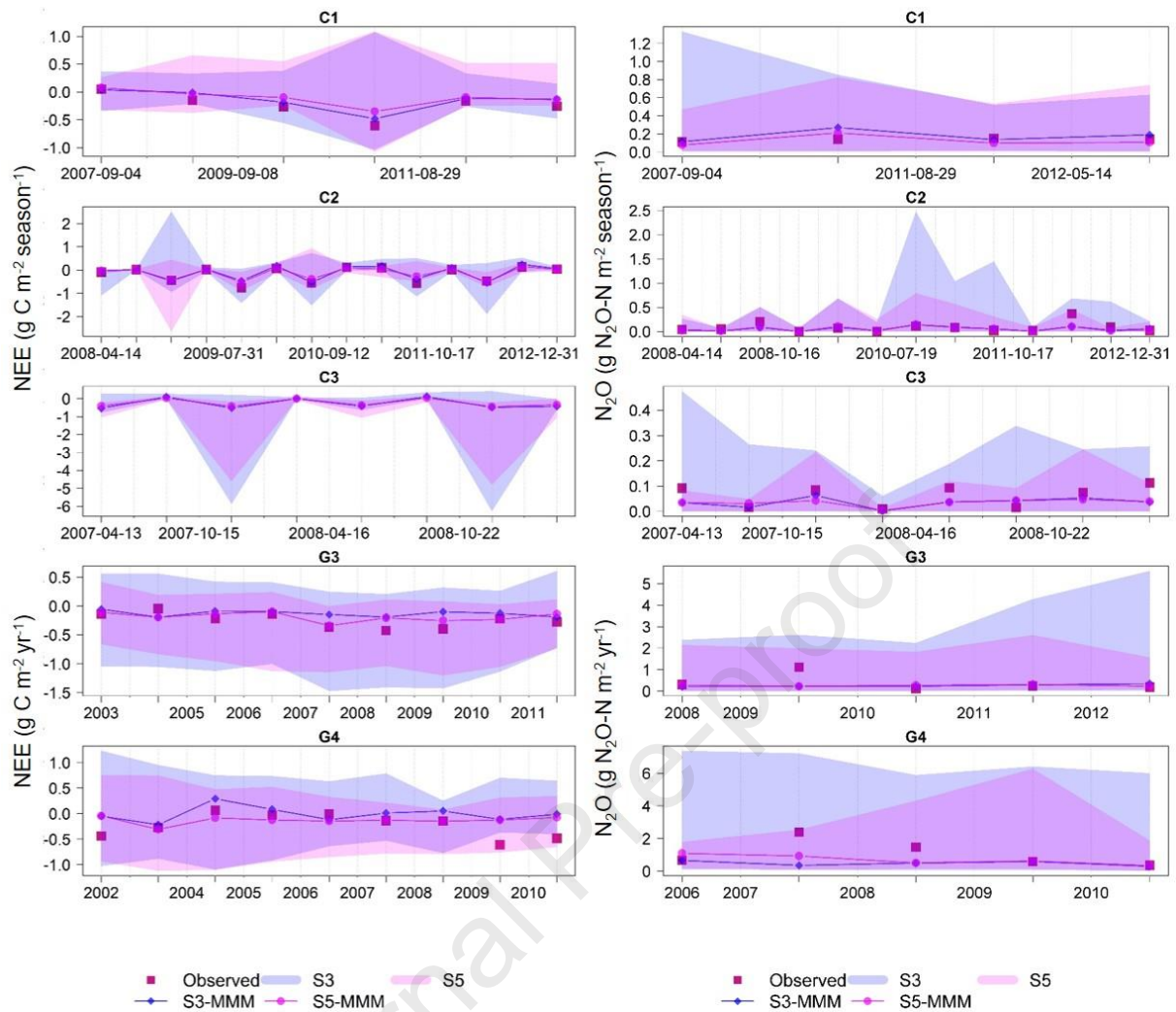
### 271 **3. Results**

#### 272 *3.1. Evaluation of output dynamics*

273 In general, model results showed the largest spread with the S3 scenario, considering the C  
274 outputs such as NEE (Fig. 2), GPP and RECO (Appendix A), N<sub>2</sub>O-N emissions (Fig. 2) and  
275 yield (Appendix A). In some years, the MMM of S3 and in some cases the S5 scenario also  
276 overestimated the amount of C respiration, e.g. at G4 site in 2002 (S3: -0.05; S5: -0.04;  
277 observed: -0.44 g C m<sup>-2</sup> yr<sup>-1</sup>) and 2010 (S3: -0.01; S5: -0.07; observed: -0.48 g C m<sup>-2</sup> yr<sup>-1</sup>),  
278 while the N<sub>2</sub>O-N emission was underestimated at this site. The MMM lines for all outputs were  
279 remarkably close to the observations at all sites, despite the wider range of S3 individual  
280 simulations (blue shaded area in Fig. 2 and Appendix A). The largest difference between the  
281 spread of S3 and S5 was found for the N<sub>2</sub>O-N emissions.

282

283



284  
 285 Fig. 2. Temporal changes of NEE ( $\text{g C m}^{-2} \text{ season}^{-1}$  for crops and  $\text{g C m}^{-2} \text{ yr}^{-1}$  for grasslands,  
 286 left) and  $\text{N}_2\text{O}$  ( $\text{g N}_2\text{O-N m}^{-2} \text{ season}^{-1}$  for crops and  $\text{g N}_2\text{O-N m}^{-2} \text{ yr}^{-1}$  for grasslands, right)  
 287 observations (Obs, red square) and simulations: S3 (stage 3, blue) and S5 (stage 5, pink) at all  
 288 sites (site codes as in Fig. 1). Lines represent the multi-model median (MMM) of the S3 and S5  
 289 simulations, and shaded areas represent the simulation envelopes given by the edges of the most  
 290 extreme model predictions (with the same colours as the lines). At cropland site C3, only  
 291 modelled RECO data are reported.

292

### 293 3.2. Residual analysis in grassland sites

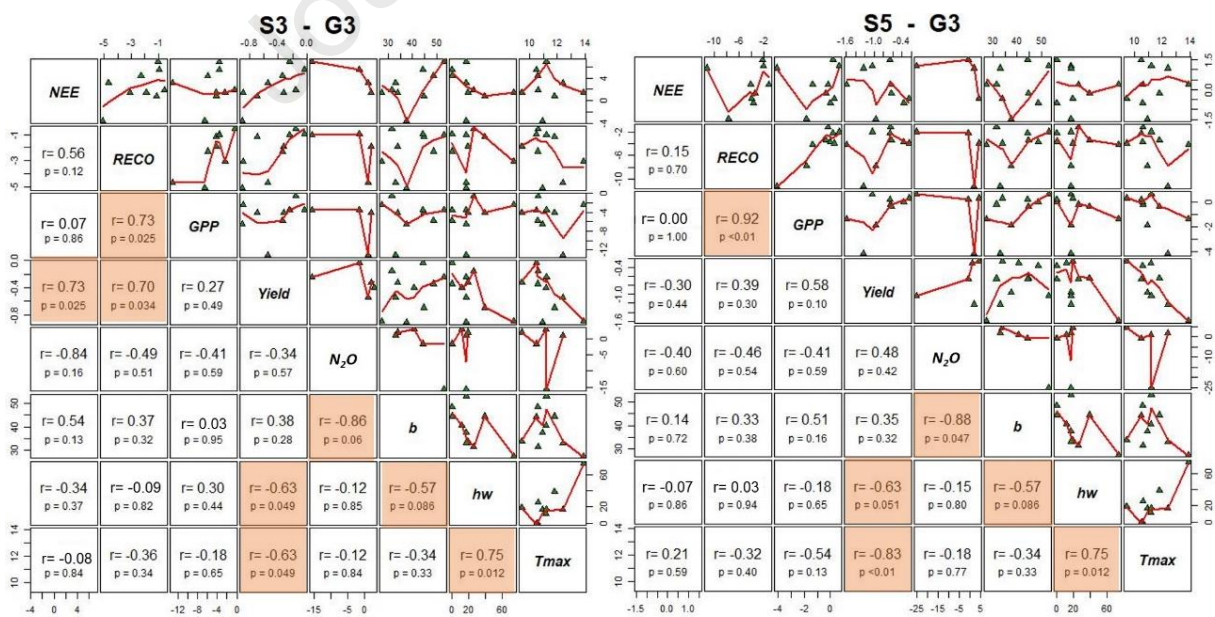
294 The MMM analysis of residual scatterplot clouds at G3 (Laqueuille, France) shows some  
 295 similarities between the S3 (Fig. 3, left) and S5 (Fig. 3, right) calibration stages. The values of  
 296 RECO and GPP residuals are positively correlated ( $r=0.73$ ,  $p=0.03$  and  $r=0.92$ ,  $p<0.01$  for S3  
 297 and S5, respectively), so any overestimation in RECO could also lead to an overestimation of  
 298 GPP. However, since there is no effective correlation between NEE and GPP ( $r\sim 0$  at both

299 calibration stages), over- or underestimation of GPP would not be responsible for over- or  
 300 underestimation of NEE. In S3 stage (i.e. when only plant data like yield biomass and leaf area  
 301 index were used for calibration), Yield residuals positively correlated with NEE and RECO  
 302 residuals ( $r=0.73$ ,  $p=0.03$  and  $r=0.70$ ,  $p<0.01$ , respectively), so overestimation of yield biomass  
 303 tended to be associated with overestimated C-flux simulations (e.g. overestimated yield would  
 304 lead to underestimation of NEE values). At S5, Yield residuals do not show a significant  
 305 correlation ( $p>0.10$ ) with C residuals.

306 Considering the climatic factors at the G3 site, aridity values (higher aridity index indicates  
 307 wetter conditions) show a negative correlation with  $N_2O$  residuals ( $r=-0.86$ ,  $p=0.06$  and  $r=-0.88$ ,  
 308  $p=0.05$  at stages S3 and S5, respectively), with higher model residuals expected in drier  
 309 conditions in the estimation of  $N_2O$  emissions. When  $Tmax$  is considered for both S3 and S5,  
 310 the correlation with Yield residuals is significantly negative ( $r=-0.63$ ,  $p=0.05$  and  $r=-0.83$ ,  
 311  $p<0.01$ , respectively). With S5, the days of heatwave are negatively correlated with Yield  
 312 residuals ( $r=-0.63$ ,  $p=0.05$ ), with model outputs becoming less reliable at lower temperatures.  
 313 This indicates that state-of-the-art models take into account the influence of climate factors, as  
 314 periods of extreme heat and drought, or extremely wet conditions, tend to decrease or increase  
 315 model errors. For instance, simulated  $N_2O$  emissions may show higher magnitude residuals  
 316 under drier conditions, while yield and C-flux simulations may have lower magnitude residuals  
 317 (e.g. models are more sensitive to wet G3 upland conditions).

318

319



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321

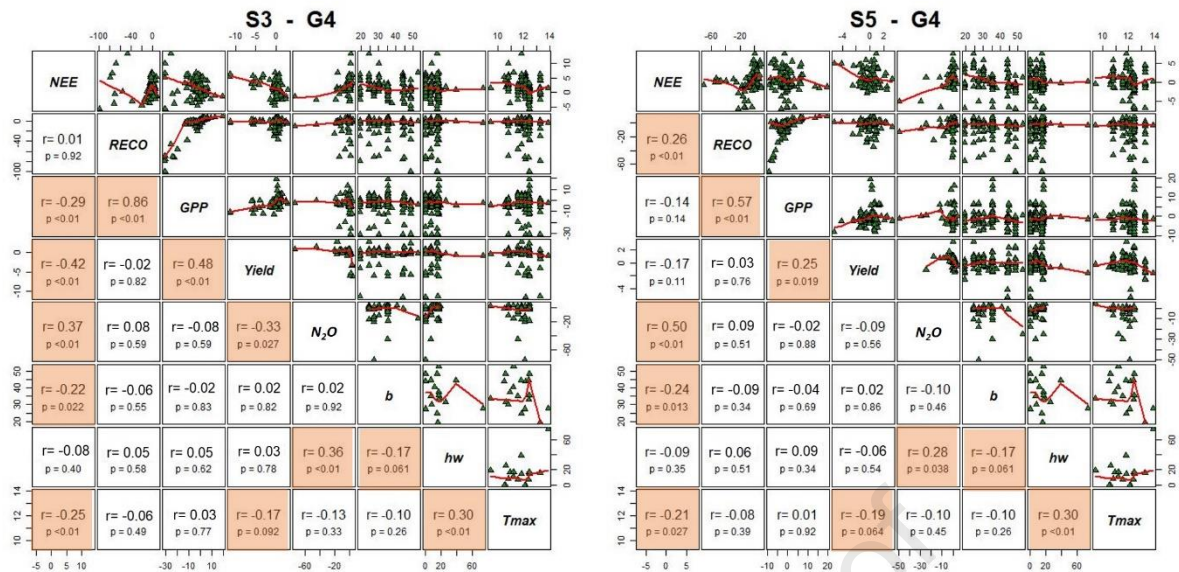


322 Fig. 3. Scatterplot correlation matrix of NEE, RECO, GPP and yield model residuals of multi-  
323 model medians (MMM) for stages 3 (left) and 5 (right) at G3 grassland site, and the annual  
324 agro-climatic metrics aridity index (*b*), heatwave frequency (*hw*) and maximum temperature  
325 (*Tmax*). Overlaid (red line) is a local non-parametric smoother curve. Coloured areas indicate  
326 significant correlations ( $p < 0.10$ ).

327  
328 Analysis of residual scatterplots at G4 (Easter Bush, United Kingdom) shows some similarities  
329 at both calibration stages (Fig. 4). The negative correlation between NEE and GPP residuals at  
330 S3 ( $r = -0.29$ ,  $p < 0.01$ ) indicates that overestimation of NEE may be the result of underestimation  
331 of GPP. This is reflected in the negative correlation between NEE and Yield ( $r = -0.42$  at S3,  
332  $p < 0.01$ ). RECO and GPP residuals are significantly ( $p < 0.01$ ) positively correlated ( $r = 0.86$  at  
333 S3 and  $r = 0.57$  at S5). In addition, GPP and Yield residuals are positively correlated ( $r = 0.48$ ,  
334  $p < 0.01$  and  $r = 0.25$ ,  $p = 0.02$  at S3 and S5, respectively). Overall, these correlations between C-  
335 fluxes and yield residuals are less important or less significant for the fully calibrated models  
336 (S5). However, N<sub>2</sub>O residuals show significant correlations ( $p < 0.01$ ) with NEE residuals at  
337 both calibration stages ( $r = 0.37$  and  $r = 0.50$  at S3 and S5, respectively), while no significant  
338 correlations ( $p > 0.10$ ) were found with other C-flux residuals. Considering climatic factors,  
339 heatwaves do not have a significant impact on C-flux and Yield residuals in G4 (which is not  
340 exposed to severe heatwaves; Fig. 1). Interestingly, N<sub>2</sub>O-emission residuals are significantly  
341 ( $p < 0.01$ ) positively correlated with heatwaves at both S3 ( $r = 0.36$ ) and S5 ( $r = 0.28$ ). Thus,  
342 increasingly long heatwaves may lead to greater model inaccuracy in simulating N<sub>2</sub>O  
343 emissions, likely due to poor estimates of soil water content at higher temperatures or model  
344 limitations in appropriately reducing emission estimates at low soil water contents (Wang et al.,  
345 2021). The aridity index was negatively correlated ( $p < 0.05$ ) with NEE residuals for both S3  
346 ( $r = -0.22$ ) and S5 ( $r = -0.24$ ), and was not correlated with N<sub>2</sub>O, GPP, RECO and Yield residuals.  
347 These negative correlations indicate that simulations are generally more reliable under G4  
348 humid conditions. Since *Tmax* is significantly negatively correlated with NEE at S3 ( $r = -0.25$ ,  
349  $p < 0.01$ ) and S5 ( $r = -0.21$ ,  $p < 0.05$ ), the models are expected to give poorer C-flux simulations  
350 under colder conditions and better results at higher temperatures.

351

352



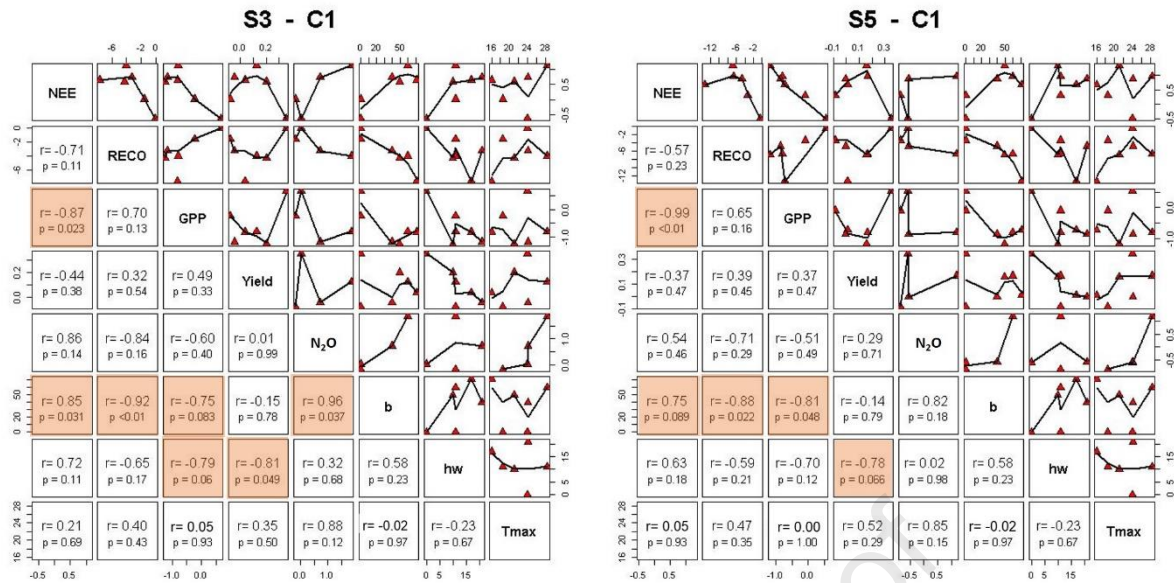
353  
 354 Fig. 4. Scatterplot correlation matrix of NEE, RECO, GPP and yield model residuals of multi-  
 355 model medians (MMM) for stages 3 (left) and 5 (right) at G4 grassland site, and the annual  
 356 agro-climatic metrics aridity index (*b*), frequency of heatwaves (*hw*) and maximum temperature  
 357 (*Tmax*). Overlaid (red line) is a local non-parametric smoother curve. Coloured areas indicate  
 358 significant correlations ( $p < 0.10$ ).

359

### 360 3.3. Residual analysis in cropland sites

361 The results of the residual analysis differ among cropland sites, with the strongest differences  
 362 occurring at the most humid study-site (Fig. 1), i.e. C1 (Ottawa, Canada), with seven significant  
 363 correlations at S3 (Fig. 5, left), which reduce to four at S5 (Fig. 5, right). As with G4, the  
 364 negative correlation between NEE and GPP residuals at S3 ( $r = -0.87$ ,  $p < 0.02$ ) may indicate that  
 365 an overestimation of NEE is likely to be the result of an underestimation of GPP, but this is not  
 366 reflected in any other correlation between the model residuals ( $p > 0.10$ ). However, at C1, all  
 367 model residuals in S3 are significantly correlated with either the aridity index (NEE,  $r = 0.85$ ,  
 368  $p = 0.03$ ; RECO,  $r = -0.92$ ,  $p < 0.01$ ; N<sub>2</sub>O,  $r = 0.96$ ,  $p = 0.04$ ), heatwaves (Yield,  $r = -0.82$ ,  
 369  $p = 0.05$ ) or both (GPP: aridity,  $r = -0.75$ ,  $p = 0.08$ ; heatwaves,  $r = -0.79$ ,  $p = 0.06$ ). These correlations are less  
 370 important with fully calibrated models. While the residuals of NEE and GPP at C1 are still  
 371 negatively correlated in S5 ( $r = -0.99$ ,  $p < 0.01$ ), among the environmental factors, it is essentially  
 372 the aridity index that is positively (NEE,  $r = 0.75$ ,  $p = 0.09$ ) or negatively (GPP,  $r = -0.81$ ,  
 373  $p = 0.05$ ; RECO,  $r = -0.88$ ,  $p = 0.02$ ) correlated with C fluxes also after the full model calibration. The  
 374 residuals of C and N fluxes are significantly correlated with aridity. GPP and Yield residuals  
 375 are also negatively correlated with heatwaves.





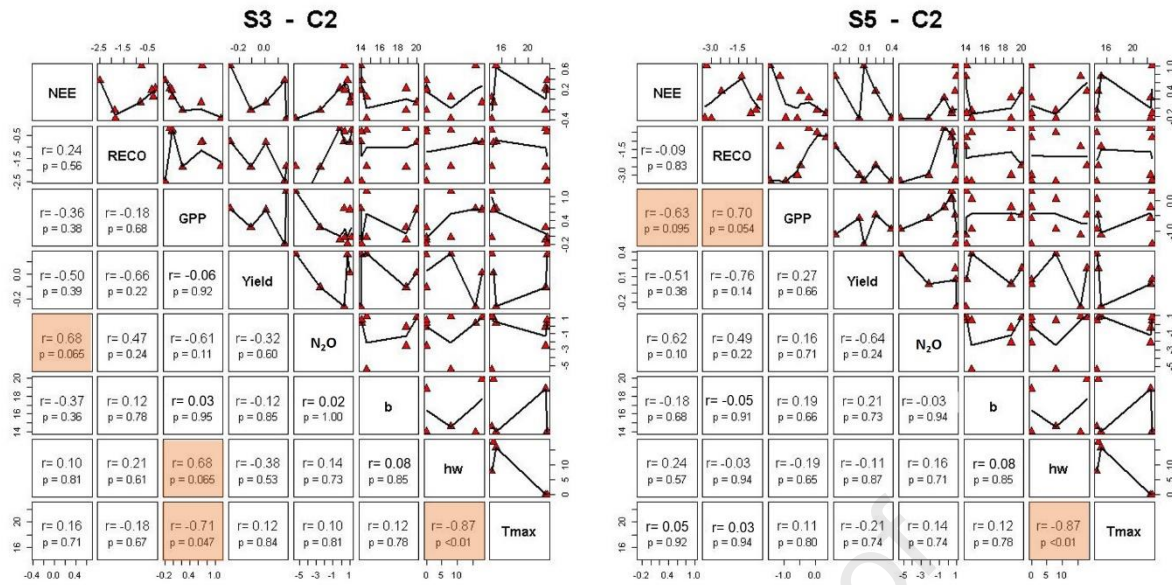
386

400

401 Fig. 5. Scatterplot correlation matrix of NEE, RECO, GPP and yield model residuals of multi-  
 402 model medians (MMM) for stages 3 (left) and 5 (right) at C1 cropland site, and the annual agro-  
 403 climatic metrics aridity index (*b*), frequency of heatwaves (*hw*) and maximum temperature  
 404 (*Tmax*). Overlaid (red line) is a local non-parametric smoother curve. Coloured areas indicate  
 405 significant correlations ( $p < 0.10$ ).

406

407 At C2 (Grignon, France), there was some significant positive correlations, e.g. between NEE  
 408 and N<sub>2</sub>O residuals at S3 (Fig. 6;  $r = 0.68$ ,  $p = 0.07$ ) and between RECO and GPP at S5 ( $r = 0.70$ ,  
 409  $p = 0.05$ ). However, some significant correlations between GPP residuals and climatic factors  
 410 (heatwaves:  $r = 0.68$ ,  $p = 0.07$ ; *Tmax*:  $r = -0.71$ ,  $p = 0.05$ ) observed at S3 were no longer significant  
 411 at S5 ( $p > 0.10$ ).



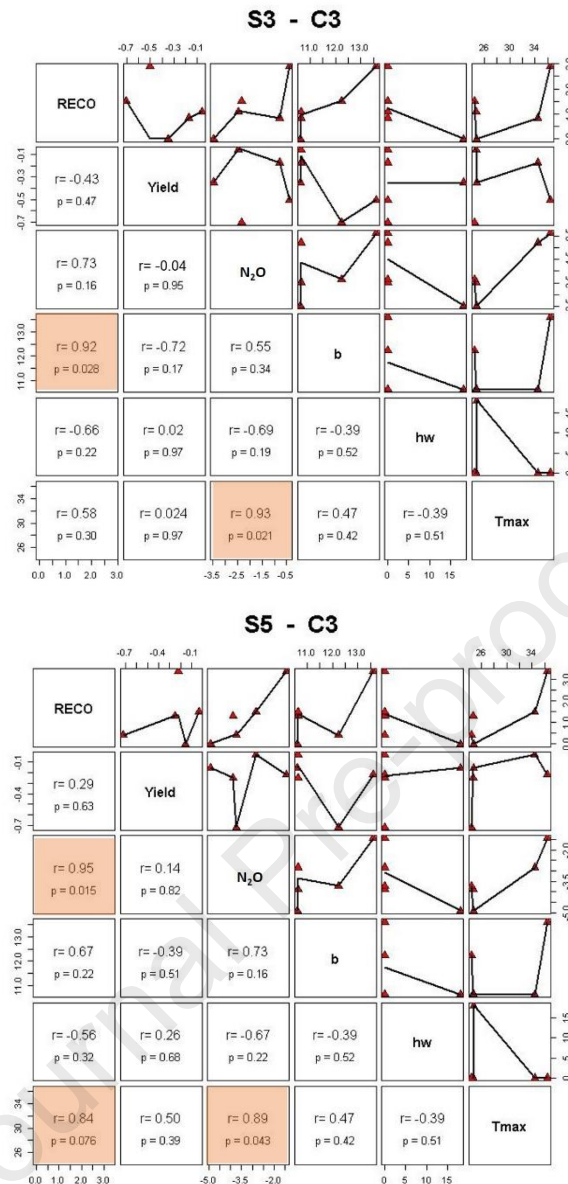
412

436 Fig. 6. Scatterplot correlation matrix of NEE, RECO, GPP and yield model residuals of multi-  
 437 model medians (MMM) for stages 3 (left) and 5 (right) at C2 cropland site, and the annual agro-  
 438 climatic metrics aridity index (*b*), frequency of heatwaves (*hw*) and maximum temperature  
 439 (*Tmax*). Overlaid (red line) is a local non-parametric smoother curve. Coloured areas indicate  
 440 significant correlations ( $p < 0.10$ ).

441

442 At the Indian site of Delhi (C3), where NEE and GPP data are not available, it is relevant to  
 443 note the significant positive correlation observed between RECO and N<sub>2</sub>O residuals at S5  
 444 ( $r = 0.95$ ,  $p = 0.02$ ), not observed at S3 (Fig. 7). Then, there is a dependence of the simulation  
 445 quality for these two fluxes on aridity (RECO:  $r = 0.92$ ,  $p = 0.03$ ) or *Tmax* (N<sub>2</sub>O:  $r = 0.93$ ,  $p = 0.02$ )  
 446 at S3, or on *Tmax* only at S5 (RECO:  $r = 0.84$ ,  $p = 0.08$ ; N<sub>2</sub>O:  $r = 0.89$ ,  $p = 0.04$ ).

446



481

484

485 Fig. 7. Scatterplot correlation matrix of NEE, RECO, GPP and yield model residuals of multi-  
 486 model medians (MMM) for stages 3 (left) and 5 (right) at C3 cropland site, and the annual agro-  
 487 climatic metrics aridity index (*b*), frequency of heatwaves (*hw*) and maximum temperature  
 488 (*Tmax*). Overlaid (red line) is a local non-parametric smoother curve. Coloured areas indicate  
 489 significant correlations ( $p < 0.10$ ).

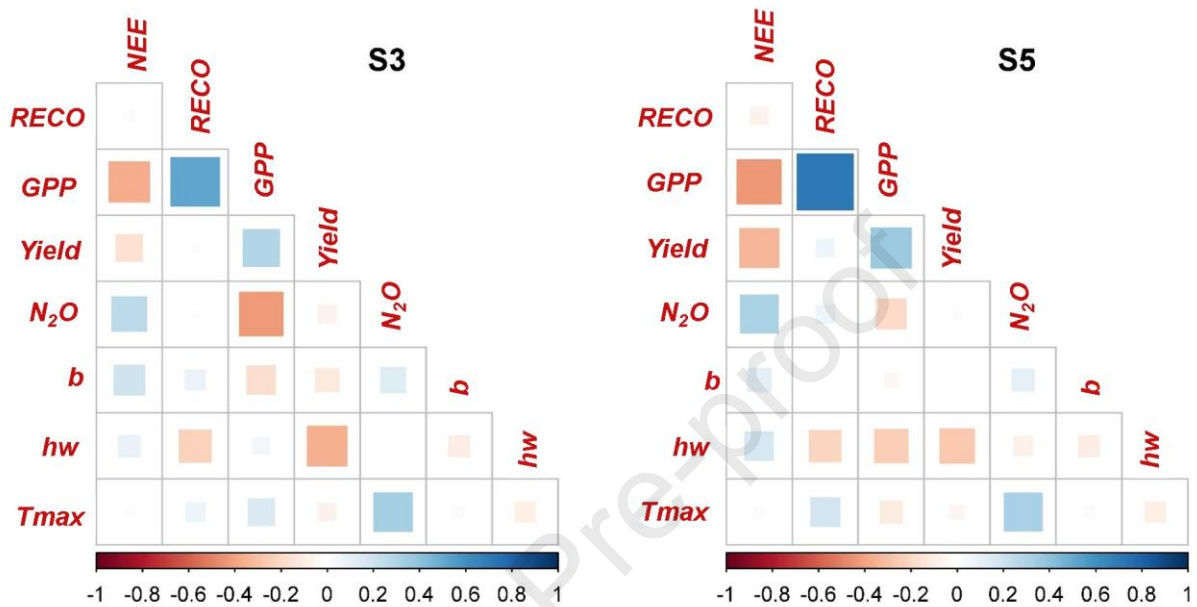
490

#### 491 3.4. Geographical location, land use characteristics and calibration stages

492 Fig. 8 is a summary plot (correlogram) that averages the changes between partial (S3) and full  
 493 (S5) calibration for each of the model residuals and weather metrics investigated. The heatmap  
 494 values show mean correlation coefficients between model output residuals and weather drivers  
 495 across all study-sites and land uses with partial and full calibration. Overall, there are quite  
 496 strong positive correlations (on a gradient of  $r \sim 0.5$  and  $r \sim 0.7$ ) between GPP and RECO

497 residuals, and GPP residuals are negatively correlated with NEE residuals ( $r \sim -0.4$ ). Although  
 498 these correlations do not decrease with full calibration, we note that S5 markedly reduces the  
 499 negative correlation between GPP and  $N_2O$  residuals ( $r \sim -0.2$  from  $r \sim -0.4$  at S3). At S5, we also  
 500 observe near-zero correlations between yield and C-flux residuals and aridity conditions.

501



502

503 Fig. 8. Heatmap of mean correlation coefficients ( $r$ ) between NEE, RECO, GPP and yield model  
 504 residuals of multi-model medians (MMM) for stages 3 (left) and 5 (right) across sites/land uses,  
 505 and the annual agro-climatic metrics aridity index ( $b$ ), frequency of heatwaves ( $hw$ ) and  
 506 maximum temperature ( $T_{max}$ ).

507

508 However, the multi-model simulations show complex patterns, illustrated by the analysis of  
 509 land uses (grasslands, arable crops), study-sites (C1, C2, C3, G3 and G4) and calibration stages  
 510 (S3 and S5) investigated, which show considerable differences in terms of correlation between  
 511 model residuals, and between these residuals and weather metrics. Positive correlations were  
 512 established between the RECO and GPP residuals at G3 (Fig. 3) and G4 (Fig. 4) in both  
 513 calibration stages, and at C2 (Fig. 6) with fully calibrated models (along with a positive  
 514 correlation between NEE and GPP residuals). At G4, positive correlations also characterise the  
 515 relationships between GPP and Yield residuals (both calibration stages) and between RECO  
 516 and NEE residuals (at S5). In addition, negative correlations were found at this site between  
 517 NEE and GPP residuals (at S3), NEE and Yield residuals (at S3) and GPP and Yield residuals  
 518 (at both calibration stages). At cropland site C1 (Fig. 5), NEE and GPP residuals are also  
 519 negatively correlated (at both calibration stages). Overall, these results indicate that errors are

520 likely to be propagated through C-flux (and yield) predictions, and full calibration with plant,  
521 soil and surface-to-atmosphere C-N fluxes does not always limit them. On the contrary, full  
522 calibration can also increase the propagation of errors through C fluxes, as obtained in G4 with  
523 RECO and NEE residuals (from  $r \sim 0$  at S3 to highly significant  $r = 0.26$  at S5). However, while  
524 many correlations between residuals are significant in G4, only the correlation between RECO  
525 and GPP residuals at S3 ( $r = 0.86$ ) is high in this site.

526 The occurrence of intense weather factors such as high temperatures and arid conditions also  
527 had significant effects on the model residuals. At cropland site C1, high negative correlations  
528 between NEE and GPP residuals ( $r = -0.87$  at S3 and  $r = -0.99$  at S5) are accompanied by positive  
529 high correlations between NEE residuals and the aridity index ( $r = 0.85$  at S3 and  $r = 0.75$  at S5),  
530 while other negative correlations occurring between residuals and aridity (RECO and GPP) or  
531 heatwaves (Yield) indicate higher residuals under more arid and hotter conditions.

532 In the Indian site (cropland site C3; Fig. 7), which is the most arid site investigated here (Fig.  
533 1), we cannot explore the full correlation pattern of C-flux residuals because GPP and NEE  
534 outputs are missing. However, we see that RECO residuals are positively correlated with the  
535 aridity index at S3 ( $r = 0.92$ ,  $p = 0.03$ ), likely associated with the irrigation regime adopted in this  
536 site ( $\sim 250 \text{ mm yr}^{-1}$  for spring wheat and  $> 1000 \text{ mm yr}^{-1}$  for rice), which may limit model  
537 capacity in the presence of soil water saturation. Under these conditions, it appears that the  
538 introduction of biogeochemical data in the calibration procedure (stage S5) becomes essential  
539 to improve C-flux estimates (RECO residuals-aridity index  $r = 0.67$ ,  $p = 0.22$ ).

540

#### 541 **4. Discussion**

542 This study provides a tentative answer to the question of whether, and to what extent, the results  
543 of an ensemble of models can give insights into the limitations of the ensemble and offers  
544 suggestions for model improvement. In particular, residual correlation matrices were used to  
545 illustrate some of the main (and not unique) challenges of the emerging multi-model ensemble  
546 approach in agricultural modelling to evaluate whether the overall pattern of model outputs can  
547 help make progress in crop and grassland modelling by assessing model responses and  
548 uncertainties against climatic factors. Focusing on the results of the ensemble, no attempt was  
549 made to identify the best model(s) for crop and grassland C and N fluxes, and no probability of  
550 success was assigned for the relevance of including or excluding one biogeochemical model  
551 over another in the ensemble exercise.

552

#### 553 *4.1. Residual analysis and model quality*

554 Residual analysis can help to find relationships between certain output variables, and between  
555 output variables and external factors (and thus help to find additional variables that may need  
556 to be included in the models as predictors, e.g. Medlyn et al., 2005). This analysis can indicate  
557 the dependence of errors in case of error propagation in a model, although the mode of error  
558 propagation cannot be attributed to a particular process using a correlation matrix. For instance,  
559 overestimation of crop yields can lead to overestimation of shading of the soil surface by  
560 (overestimated) plant biomass, which interferes with the simulation of soil heat and water  
561 balances. Parallel to that, plant residues, senescent roots and the application of organic manure  
562 feed the fresh organic matter pool of soil and are slowly decomposed after incorporation in soil.  
563 Thus, biases in heat and water balances can interact with soil respiration, affecting the RECO  
564 estimates and hence the C-budget estimates (i.e. NEE estimates). In this regard, it is notable  
565 that significant correlations between NEE and Yield residuals were only observed in grassland  
566 sites (at S3), where aboveground biomass and vegetation cover are continuously reduced by  
567 grazing and recover after grazing cessation. In contrast, croplands are generally characterised  
568 by alternating episodes of high C uptake or loss during the crop-growing season, directly related  
569 to farmers' management practices like mineral fertilisation, grain and straw removal rates,  
570 fallowing and tillage (Lehuger et al., 2010).

571 The net fixation of C being directly related to global solar radiation levels up to the saturation  
572 point can lead to irregular patterns of net photosynthesis. Thus, while inaccurate simulations of  
573 the soil water balance may affect plant biomass, e.g. due to an incorrect representation of the  
574 effect of drought, it is also possible that inaccurate estimates of plant biomass (e.g. GPP) lead  
575 to incorrect simulations of the water cycle due to an altered representation of evapotranspiration  
576 or other water-related processes. Ensemble techniques are certainly a feasible method to  
577 simulate biogeochemical processes in crops and grasslands, but model development is a must  
578 to improve the multi-model approach (e.g. Hidy et al., 2016 for processes related to soil moisture  
579 and N balance; Sándor et al., 2018b for the acclimation of grassland vegetation to temperature;  
580 Liebermann et al., 2020 for feedbacks between different landscape compartments; Doro et al.,  
581 2021 for soil heat transfer). In general, C fluxes (and interlinked N fluxes) remain difficult to  
582 estimate in croplands and grasslands, likely due to incomplete representation of key functions  
583 in models. For instance, rhizosphere-soil organic matter interactions, which include enzyme  
584 production, maintenance and overflow metabolism, are mostly not represented (Cavalli et al.,  
585 2019). Specifically, for grassland models, the simulation of biogeochemical cycles is generally  
586 not coupled with simulation of plant species dynamics, which leads to considerable uncertainty  
587 in the quality of estimates (van Oijen et al., 2020).



588

589 *4.2. Effects of agro-climatic factors*

590 While models estimating crop or pasture yields may not explicitly account for the impact of  
591 heatwaves on grain or biomass formation (e.g. Harrison et al., 2017; Mangani et al., 2019), the  
592 opposite impact of arid conditions on NEE (negative correlation) or RECO and GPP (positive  
593 correlations) residuals is somewhat unexpected, considering that one variable (NEE) is the  
594 difference of the two others. Considering that drought may be more effective in reducing CO<sub>2</sub>  
595 uptake by the plant than reducing ecosystem respiration (Gibelin et al., 2008; Nakano and  
596 Shinoda, 2015), better results are provided when simulating NEE with a multi-model ensemble  
597 (at C1 as at other sites, Fig. 2). This implies that there may be error compensation in the  
598 ensemble. Greater coverage of plant and soil processes is also likely when more models are  
599 used to simulate NEE than its basic components.

600 As far as N fluxes are concerned, N uptake by plants is computed by the models through a  
601 supply/demand scheme, with soil supply depending mainly on soil nitrate and ammonium  
602 concentrations and root length density (Lehuger et al., 2010). However, N<sub>2</sub>O emissions are  
603 mostly controlled by soil properties and local climate conditions, and current soil N levels, and  
604 only to a lesser extent by the doses and types of N fertiliser applied (Butterbach-Bahl et al.,  
605 2013). For instance, increasing bulk density decreases soil porosity and thereby increases the  
606 likelihood of moisture conditions favourable to denitrification and N<sub>2</sub>O emissions (Gabrielle et  
607 al., 2006). As well, the correlation between N<sub>2</sub>O and NEE residuals may be due to soil processes  
608 because if heterotrophic respiration is too high there may be too many substrates (C and N)  
609 available for nitrate respiration and denitrification (e.g. Rajta et al., 2020). The high negative  
610 correlations ( $r=-0.86$ ,  $p=0.06$  and  $r=-0.88$ ,  $p=0.05$  at S3 and S5, respectively) between N<sub>2</sub>O  
611 residuals and aridity index at grassland site G3 reflect the deficit of moisture occurring mostly  
612 in summer in central France (e.g. Klumpp et al., 2011), while in the wet climate of the United  
613 Kingdom (grassland site G4) most nitrate available for leaching may result in reduced N<sub>2</sub>O  
614 emissions (e.g. Cardenas et al., 2013). In fact, grazed G4 grassland tends to have high N  
615 leaching rates (and corresponding limited N<sub>2</sub>O emissions) due to added urinary N to the system  
616 and the non-uniform distribution of excreted organic N, which further enhances leaching due  
617 to N hotspot formation (Jones et al., 2017b). N<sub>2</sub>O emissions are reported to increase with  
618 increasing temperature, which is attributed to an increase in the anaerobic volume fraction,  
619 caused by an increased respiratory oxygen sink (Smith et al., 2018). With a mean annual  
620 maximum annual temperature equal to 31.5 °C, N<sub>2</sub>O residuals at the hot Indian cropland site

621 C3 are still positively correlated with  $T_{max}$  with fully calibrated models ( $r=0.93$ ,  $p=0.02$  at S3;  
622  $r=0.89$ ,  $p=0.04$  at S5).

623

## 624 5. Conclusions

625 Residuals from model-ensemble outputs tend to be less correlated when crop and grassland  
626 models are calibrated using soil and C-N fluxes together with vegetation data (compared to  
627 partial calibration with vegetation data alone). If full calibration can reduce the correlation  
628 between C- and N-flux residuals (e.g. between GPP and  $N_2O$  residuals), intense weather factors  
629 can also have significant effects on model residuals (e.g.  $N_2O$  residuals positively correlated  
630 with maximum air temperature at the hot Indian cropland site). However, complex multi-model  
631 simulation patterns indicate that full calibration does not always constrain the correlation  
632 between model residuals, and between these residuals and agro-climatic metrics. Our  
633 assessment, which remains limited to climate-related drivers calculated annually (and could  
634 then a future improvement be a seasonal climate analysis), holds potential for a wider analysis  
635 that surveys contextual soil and management factors, for which the current database was not  
636 designed. In that, we have proposed a somewhat *ad hoc* multi-output analysis that considers  
637 inter-dependencies in the model outputs, but there are challenges that require further work.  
638 These include how to quantitatively account for consistency with mechanistic viewpoints  
639 supported by alternative models of varying complexity as a further important requirement for  
640 model ensembles, as well as definitions of core concepts and metrics to provide a quantitative  
641 determination of the stability of simulation results under a variety of conditions. These  
642 challenges are interesting from a practical point of view because improving our understanding  
643 of these issues and finding better ways to deal with the plurality of models has the potential to  
644 increase the value of biogeochemical models in agriculture, where determining the robustness  
645 of results is a strategy to assess confidence in results. In the end, this may provide modellers  
646 with a clearer explanation of what they are doing in ensemble modelling (as well as how they  
647 are doing it), and stronger arguments as to when ensemble modelling can, or cannot, become a  
648 practical epistemic resource.

649 One of the features of C-N modelling today is the huge quantity and variety of models available.  
650 Our analysis, which did not consider all sources of uncertainty (e.g. the influence of the unique  
651 choices made by modellers), relied on the integration of several modelling teams into an  
652 ensemble protocol. Comparing different approaches have revealed great model diversity and  
653 the need to accommodate challenges experienced by modellers (including initialization and  
654 calibration procedures), as reflected in the co-creation (with modellers and data providers) of

655 alternative calibration scenarios. The distinction between partial and full calibration, limited  
656 here to the two most relevant calibration stages, i.e. with plant data only (S3) and with plant,  
657 soil physical and biogeochemical data (S5), introduced and formalised a dialectical perspective  
658 (or compromise approach) between what is practical to implement for the users and  
659 beneficiaries of models (S3) and what constitutes (scientifically) the best modelling practice  
660 (S5). In fact, with overall lower or less significant correlations obtained with the fully calibrated  
661 models, the centrality of the S5 calibration scenario emerges overall if not for the practical  
662 implementation of model ensembles (which requires simplified datasets), for the identification  
663 of areas of model structures requiring further development. All this considered, this study on  
664 ensemble results presents important elements that can lead individual modelling teams to  
665 identify a spectrum of actions for model (and modelling practice) improvement.

666

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691

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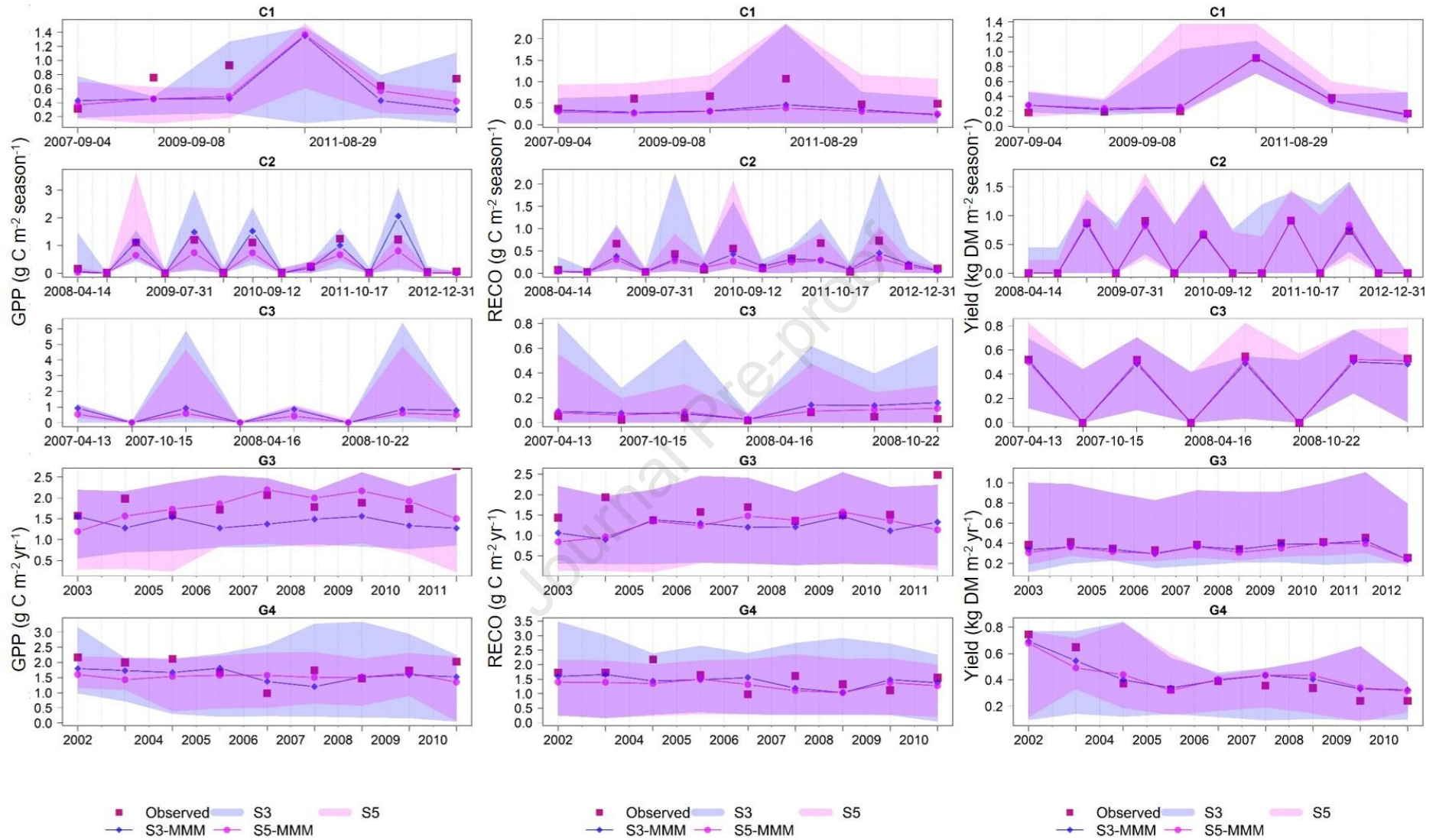
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**Appendix A.** Temporal changes of GPP ( $\text{g C m}^{-2} \text{ season}^{-1}$  for crops and  $\text{g C m}^{-2} \text{ yr}^{-1}$  for grasslands, (left), RECO ( $\text{g C m}^{-2} \text{ season}^{-1}$  for crops and  $\text{g C m}^{-2} \text{ yr}^{-1}$  for grasslands, middle) and Yield ( $\text{kg DM m}^{-2} \text{ season}^{-1}$  for crops and  $\text{kg DM m}^{-2} \text{ yr}^{-1}$  for grasslands, right) observations (Obs, red square) and simulations: S3 (stage 3, blue) and S5 (stage 5, pink) at all sites (site codes as in Fig. 1). Lines represent the multi-model median (MMM) of the S3 and S5 simulations, and shaded areas represent the simulation envelope (with the same colours as the lines). At cropland site C3, only modelled GPP and RECO data are reported.

- We investigate multi-model performance in simulating C and N fluxes in agriculture.
- Correlated model residuals hinder reliable C-N flux estimates.
- Residual correlation analysis is applied to ensemble crop and grassland models.
- Partially calibrated models can be practical for implementing model ensembles.
- Fully calibrated models are key to model development.

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