Leaf surface water, not plant water stress, drives diurnal variation in tropical forest canopy water content

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Summary

- Variation in canopy water content (CWC) that can be detected from microwave remote sensing of vegetation optical depth (VOD) has been proposed as an important measure of vegetation water stress. However, the contribution of leaf surface water (LWs), arising from dew formation and rainfall interception, to CWC is largely unknown, particularly in tropical forests and other high-humidity ecosystems.
- We compared VOD data from the Advanced Microwave Scanning Radiometer for the Earth Observing System (AMSR-E) and CWC predicted by a plant hydrodynamics model at four tropical sites in Brazil spanning a rainfall gradient. We assessed how LWs influenced the relationship between VOD and CWC.
- The analysis indicates that while CWC is strongly correlated with VOD ($R^2 = 0.62$ across all sites), LWs accounts for 61–76% of the diurnal variation in CWC despite being < 10% of CWC. Ignoring LWs weakens the near-linear relationship between CWC and VOD and reduces the consistency in diurnal variation. The contribution of LWs to CWC variation, however, decreases at longer, seasonal to inter-annual, time scales.
- Our results demonstrate that diurnal patterns of dew formation and rainfall interception can be an important driver of diurnal variation in CWC and VOD over tropical ecosystems and therefore should be accounted for when inferring plant diurnal water stress from VOD measurements.

Introduction

Climate change and the accompanying intensification of hydrological cycles are imposing strong and chronic stress on terrestrial ecosystems (Novick et al., 2016; McDowell et al., 2018). Enhancing our understanding of vegetation water dynamics is therefore critical to predictions of ecosystem sensitivity to global change (Fatichi et al., 2016; Schimel & Schneider, 2019). Recent work has shown that vegetation optical depth (VOD) estimated from microwave remote sensing observations is a reliable proxy for the canopy water content (CWC) and a promising source of data for monitoring and understanding vegetation water dynamics (Konings et al., 2019; Feldman et al., 2020). Changes in VOD can reflect vegetation diurnal water stress patterns (Konings & Gentine, 2017; Li et al., 2017; Anderegg et al., 2018; Zhang et al., 2019), seasonality in plant water potential and leaf area (Guan et al., 2014; Momen et al., 2017), and vegetation biomass changes at longer time scales (Liu et al., 2015; Fan et al., 2019). However, accurate and robust interpretation of VOD variability remains challenging because of the complex physiological and biophysical processes impacting vegetation water dynamics at a wide range of time scales (Grossiord et al., 2017). Variation in VOD can be driven by canopy water interception due to rainfall and dew formation, plant hydraulics, phenology, and structural changes from growth and mortality (Konings et al., 2019). These challenges have hindered direct use of VOD in understanding vegetation water dynamics.

Spatio-temporal variation in VOD has mostly been linked to changes in leaf and wood internal water (WWi) content (Jackson & Schmugge, 1991; Cosh et al., 2010; Tian et al., 2016), but theoretically they are also sensitive to surface water arising from dew formation and intercepted rainfall. While a previous study at a temperate agricultural site found relatively little effect of dew on airborne X-band (10.7 GHz) measurements (Du et al., 2012), diurnal changes in leaf surface water (LWs) were found to modulate tower-based VOD measurements collected at a similar microwave frequency (11.4 GHz) in a tropical canopy in Panama (Schneebeli et al., 2011). The latter study was performed at the
scale of a few meters, however, which may show sensitivities not detectable at the ecosystem scale (Wigneron et al., 2017).

At the ecosystem scale, the contribution of LW to VOD signals remains largely unknown despite LW being an important component of the moisture budget, particularly in rainforest ecosystems where significant diurnal and seasonal variation in CWC occurs because of frequent rainfall interception and dew formation (Junqueira Junior et al., 2019; Binks et al., 2021) and where measurements of LW beyond quantitative leaf wetness data (Binks et al. 2019) do not exist. Therefore, ignoring the contribution of LW to VOD can lead to overestimation of changes in leaf internal water (LW), which potentially biases the interpretation of VOD data as a measure of vegetation water stress. On the other hand, the ability to separate LW from CWC in VOD data may provide additional information about plant water dynamics. Through its effects on stomatal conductance, LW influences key aspects of plant metabolism, including carbon assimilation (Aparecido et al., 2017; Gerlein-Safdi et al., 2018a,b), and supports several important, yet relatively unknown, eco-physiological processes, such as leaf foliar water uptake (Eller et al., 2013; Binks et al., 2019) and epiphyte water use and survival (Lakatos et al., 2012).

Recent advances in mechanistic representation of plant hydrodynamics in terrestrial biosphere models (Mencuccini et al., 2019) provide a new avenue for the interpretation of VOD data: these models are now capable of explicit simulation of CWC dynamics from a set of biophysical descriptions and field-based plant functional traits. In turn, VOD data can provide valuable ecosystem scale evaluation data to hydrodynamic models, which are usually benchmarked by individual-level plant hydraulic measurements within forest plots (Christoffersen et al., 2016; Xu et al., 2016; Kennedy et al., 2019; De Kauwe et al., 2020). However, no studies to date have compared simulated CWC from terrestrial biosphere models with satellite VOD data.

In this study, we compare terrestrial biosphere model predictions of CWC with satellite VOD data, and quantify the contribution of LW to VOD variation across diurnal to seasonal and inter-annual time scales. Specifically, we make the following hypotheses: (H1) CWC, summed over the representative penetration depth of VOD observations, scales linearly with VOD; (H2) the contribution of LW to VOD is higher than leaf and wood internal water content (LW and WW) at the diurnal time scale because LW usually accumulates at night and evaporates during the day, while VOD at longer time scales is more likely controlled by changes in plant water stress and canopy biomass; (H3) the contribution of LW to VOD is higher at moist sites than at dry sites because there is more rainfall interception and dew formation under humid conditions.

To evaluate these hypotheses, we compare VOD data derived from X-band (10.7 GHz) measurements by the Advanced Microwave Scanning Radiometer for the Earth Observing System (AMSR-E) (Du et al., 2017) to predictions of CWC from a terrestrial biosphere model incorporating plant hydrodynamics, at four tropical forest and savanna sites in Brazil across a large rainfall gradient. The AMSR-E VOD data covers full annual cycles from 2003 to 2010 and the satellite has local pass times of 01:30 h and 13:30 h that can reasonably capture diurnal changes

(Konings & Gentine, 2017; Li et al., 2017) in addition to seasonal and inter-annual variation in CWC. The terrestrial biosphere model used in this study is the Ecosystem Demography v.2 (ED2). It is an ideal model platform for the evaluation of the relationship between CWC and LW, with VOD because the model explicitly incorporates plant hydraulics and leaf energy budget (Xu et al., 2016; Longo et al., 2019), enabling it to simulate the dynamics of LW, LW, and WW, as well as their horizontal and within-canopy vertical heterogeneity.

Materials and Methods

Model description

Ecosystem Demography v.2 (Medvigy et al., 2009) is an individual-based terrestrial biosphere model that represents the dynamics of structurally and functionally diverse plant canopies. The most recent version of the model (ED-2.2, Longo et al., 2019) has explicit representation of the leaf water and energy budget at sub-hourly resolution for each plant cohort. The model calculates changes in LW for each plant cohort as the balance of dew formation, evaporation, rainfall interception, and water shedding. A detailed description of the water fluxes that contribute to the dynamics of LW in the model can be found in Supporting Information Notes S1.

Ecosystem Demography v.2 is also one of the first models to couple trait-based plant hydraulics with vegetation demographic dynamics (Xu et al., 2016). The hydraulics-enabled version (ED2-hydro) separates plant internal water pools into leaf and stem water pools at the cohort level, and estimates sub-hourly water exchanges between these two pools using water potential gradient and cohort-specific stem water conductance following Darcy’s law. The integration of plant hydraulics with stomatal conductance and rhizosphere water uptake enables cohort-level simulation of the dynamics of plant internal water content (see Notes S1 for details). ED2-hydro has been calibrated and evaluated in several neotropical forests across a large precipitation gradient (Xu et al., 2016; Powell et al., 2017, 2018).

In this study, we used the functionality of ED-2.2-hydro to conduct mechanistic simulations of all major components of vegetation CWC. We updated key plant hydraulic parameters for tropical plant functional types (PFTs) based on a meta-analysis over tropical species (Christoffersen et al., 2016) to incorporate the effects of plant functional diversity. Since the vertical structure of vegetation biomass can influence the interpretation of VOD data due to the limited penetration depth of microwave signals (Chaparro et al., 2019), we also made updates to allometry, trait phenology, and mortality within the model, to improve simulated vegetation structure in tropical forests (Notes S1). The model parameterization (Table S1) used in this study is archived at https://github.com/xiangtaoxu/ED2/tree/VOD.

Model configuration and simulation setup

We conducted simulations for two tropical moist forests (Manaus K34 and Reserva Jaru) that both receive > 2000 mm yr−1 mean
annual rainfall, and two tropical savannas (Brasília and Pê-de-Gigante) that both receive < 1500 mm yr\(^{-1}\) mean annual rainfall (Table 1). These sites were selected based on the quality of AMSR-E VOD data available for these locations (in particular, minimal contamination from nearby rivers or other large bodies of water) and the availability of in-situ meteorological data (Brasília: SONDA-INPE (2020); other sites: de Gonçalves et al. (2013)).

Since the temporal coverage of in-situ meteorological data ranges from 1999 to 2012 depending on the site (Table 1) but does not encompass the full length of the AMSR-E VOD time series (2003–2010), we integrated the ground measurements with climate reanalysis data from Modern-Era Retrospective analysis for Research and Applications v.2 (MERRA2) (Gelaro et al., 2017). To avoid the known biases in MERRA2 precipitation data for tropical regions (Beck et al., 2019), we used the Climate Hazards Group InfraRed Precipitation with Station (CHIRPS) precipitation data (Funk et al., 2015). To minimize the systematic biases in the reanalysis meteorology relative to local climate, and to preserve monthly values, we calculated the difference between the monthly average of the reanalysis data and in-situ data for each variable over the years for which in-situ data is available. We then applied the difference to modify the whole reanalysis time series to obtain the meteorological forcing (Fig. S1). The difference for precipitation is in logarithm space, so that no rainfall was added to dry days when we applied the difference.

Simulations at each site consisted of a 400-yr model spin-up to attain steady state vegetation structure and composition followed by a 30-yr contemporary simulation (1981–2010) encompassing the AMSR-E measurements. For the spin-up simulation, we initialized the model with a small number of seedlings (0.1 individuals m\(^{-2}\)) of all four PFTs and ran the model with a cycling meteorological forcing from 1981 to 2000. Following up the spin-up simulations, we ran the model forced by meteorology from 1981 to 2010. For both sets of simulations, we used a constant rate of 1% of forest area experiencing windthrow disturbance (i.e. 0.01 ha ha\(^{-1}\) yr\(^{-1}\)) and a constant atmospheric CO\(_2\) of 380 ppm.

Vegetation optical depth retrievals

We used X-band (10.7 GHz) VOD retrieved from observations of the Japanese Aerospace Exploration Agency (JAXA) AMSR-E instrument. Specifically, the VOD data were those retrieved by the Land Parameter Data Record (LPDR) v.2 (Jones & Kimball, 2012; Du et al., 2017). The LPDR uses a multi-step procedure to disentangle the contributions of VOD, vegetation scattering, soil moisture, temperature, atmospheric humidity, and open water bodies to the observed radiometric brightness temperatures (Jones et al., 2010).

Although the Amazon rainforest remains among the most challenging ecosystems for accurate VOD retrieval due to the large heterogeneity in canopy structure and the associated biophysical properties, interpretation of microwave radiometry has proven feasible even in highly complex canopies: for example, Calvet et al. (1994) used a site-specific model to determine the relationship between Ka-band radiometry and stomatal resistance at Manaus. Nevertheless, the VOD retrievals are expected to be more accurate at the savanna sites than at the densely forested sites.

Model evaluation and comparison with VOD

We first evaluated the terrestrial biosphere model’s predictions of vegetation structure and plant hydraulics because both of these characteristics directly affect CWC. We compared vertical profiles of leaf area index (LAI) derived from the Geoscience Laser Altimeter System (GLAS) aboard the Ice, Cloud, and land Elevation Satellite (ICESat), which has previously been shown to capture variation in tropical forest structure (Tang & Dubayah, 2017; Yang et al., 2018), with model-simulated LAI profiles. Site-specific LAI profiles were derived from GLAS waveforms using a light-extinction model based on the MacArthur & Horn (1969) approach (Ni-Meister et al., 2001; Tang et al., 2014) using measurements collected between 2003 to 2008 (Zwally et al., 2014) within a 50-km grid box centered around each study site. We extracted simulated average LAI profiles using model outputs from the same period of time for comparison. Both the GLAS and simulated LAI profiles were aggregated to a vertical resolution of 5 m. Leaf area index can show large seasonal changes, especially at the two savanna sites. Therefore, we also compared the average seasonality of total LAI with the Moderate Resolution Imaging Spectroradiometer (MODIS) LAI data (Didan, 2015).

In contrast to the availability of measurement data for vegetation structure, there are no high-resolution long-term

<table>
<thead>
<tr>
<th>Site name</th>
<th>Location (lat. long.)</th>
<th>MAT(^{1}) (°C)</th>
<th>MAP (mm)</th>
<th>Soil texture (% of sand and clay)(^{2})</th>
<th>Temporal coverage of in-situ meteorology(^{3})</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manaus K34 (M34)</td>
<td>(-2°37', -60°13')</td>
<td>25.7</td>
<td>2673</td>
<td>20, 68</td>
<td>1999–2006</td>
</tr>
<tr>
<td>Reserva Jaru (RJA)</td>
<td>(-10°5', -61°56')</td>
<td>25.0</td>
<td>2069</td>
<td>80, 10</td>
<td>1999–2002</td>
</tr>
<tr>
<td>Pê-de-Gigante (PDG)</td>
<td>(-21°37', -47°39')</td>
<td>22.8</td>
<td>1453</td>
<td>85, 3</td>
<td>2001–2003</td>
</tr>
</tbody>
</table>

\(^{1}\)MAT, mean annual temperature; MAP, mean annual precipitation.

\(^{2}\)We used the best estimates of soil texture following previous ED2 simulations (Longo, 2014; Restrepo-Coupe et al., 2017), and the same soil depth of 10 m.

\(^{3}\)Meteorological variables necessary to drive the model include incoming shortwave and longwave radiation, temperature, humidity, pressure, precipitation, and wind speed.
measurement data for plant hydraulic properties (e.g. leaf water potential) over tropical forests. Limited field measurements suggest leaf water potential for tropical canopy trees normally varies between 0 and −1 MPa within a day at moist sites (Fontes et al., 2018) and can drop below −2 MPa at seasonally dry forest (Wu et al., 2020) and Cerrado sites (Bucci et al., 2005). We therefore tested whether the simulated diurnal variation showed a similar range of variation.

For LW, there are no direct measurement data for its diurnal and seasonal cycles in the tropics to the best of our knowledge. Limited measurements report predawn values for top canopy leaves ranging from 0.02 to 0.11 kg H2O m−2 leaf in a tropical moist forest at Caxiuanã (O. Binks, pers. comm) and from 0.02 to 0.08 kg H2O m−2 leaf for five species in a tropical moist forest in Costa Rica (Aparecido et al., 2017). Our simulated LW, at predawn (06:00 h) in top canopy leaves showed a consistent range at a similarly wet forest site and predicted that top canopy leaves are frequently wet at predawn (Fig. S2), which is consistent with a recent report at Caxiuanã using leaf wetness sensors (Binks et al., 2021). Altogether, these consistencies suggest the model predictions on LW, dynamics are realistic.

Following the model evaluation, we used daily AMSR-E VOD data for both 01:30 h and 13:30 h, and extracted the hourly average values of simulated LW, LW, and WW, the three components of CWC in ED-2.2-hydro, for the same times as the VOD observations. We averaged both VOD and simulated CWC data into biweekly values to reduce high-frequency variation and noise in VOD (Konings et al., 2016). In forests, X-band VOD is mostly sensitive to top canopy layers due to its high electromagnetic frequency (Macelloni et al., 2001; Guglielmetti et al., 2007). The depth at which significant canopy attenuation occurs, commonly referred to as the penetration depth, depends on both canopy structure and water status, and thus is variable in both space and in time. Spatial and temporal variation in penetration depth are generally not accounted for in retrieval algorithms (Konings et al., 2016; Du et al., 2017). Recently, Chaparro et al. (2019) showed that X-band VOD values saturate when above-ground biomass (AGB) is higher than 1 kgC m−2. Therefore, we chose a conservative average penetration depth by only including LW, LW, and WW, for the top 1 kgC m−2 of biomass (leaf and wood, which corresponds to 2–10 m depending on forest biomass vertical profiles) for each forest patch within site-level simulation results (Fig. S3) when comparing simulated CWC and AMSR-E VOD. Additionally, we also evaluated how VOD and CWC relationships vary with different assumptions of penetration depth.

We conducted analyses using the corresponding VOD data and CWC simulations across diurnal and biweekly time scales. First, we extracted the predicted diurnal cycle of LW, LW, and WW, to investigate the roles of each water pool in determining CWC dynamics that emerge from ED-2.2-hydro. Specifically, we derived the contributions of LW, LW, and WW, to the variations in total CWC from the model at both diurnal and biweekly time scales by calculating the fractional contributions of each sub-component variance to the total CWC variance. For the diurnal-scale analysis, we quantified the variance as the value difference between 01:30 h and 13:30 h, since there are only two VOD observations within each diurnal cycle. For the biweekly-scale analysis, we calculated the variance of the mean of the 01:30 h and 13:30 h data for each biweekly (14 d) period.

Second, we compared the VOD measurements and CWC data and assessed the role of LW, in their relationships. To test our first hypothesis, on the scaling between VOD and CWC (H1), we quantified the linear relationship between VOD and CWC using ordinary least squares (OLS) regression for each site and all sites combined. To test our second and third hypothesis on the contribution of LW, to CWC and VOD dynamics and its variation across sites (H2 and H3), we compared VOD and two metrics of CWC: (1) CWC that only includes the internal water content of leaf and wood; and (2) CWC that includes both leaf and wood water content.

Specifically, we assessed the cross-site variation in isohydricity index, a widely-used metric to describe the diurnal behavior of plant water use (Martinez-Vilalta et al., 2014; Konings & Gentine, 2017). This metric (σ) is calculated using the following regression equation:

$$X_{13:30 h} = \sigma \times X_{01:30 h} + \Lambda$$

where σ is the isohydricity index, Λ is the regression intercept, and X is a state variable describing canopy water status.

Low σ implies vegetation is more isohydric because daytime water status is relatively insensitive to nighttime water status due to stomatal control, while higher σ implies vegetation is more anisohydric. We calculated σ values for observed VOD, simulated CWC, and leaf water potential to investigate whether and how VOD-based isohydricity (generally assumed to reflect LW, stress) is affected by LW, dynamics.

We then contrasted the average seasonality and deseasonalized multi-year variation of VOD and simulated CWC for each study site in terms of both absolute values at 01:30 h and relative diurnal range (100% − X13:30 h/X01:30 h × 100%). Together with variance decomposition of the simulated CWC, the evaluation of these two metrics enables quantification of the impacts of leaf and wood water content and LW, on VOD.

Results

Predictions of vegetation structure and plant water potentials

The long-term model equilibrium yielded LAI profiles that were generally consistent with GLAS estimates at the four evaluation sites (Fig. 1a–d). Individual-level competition in the model led to a general demographic size structure of a few big trees and many small trees, yielding decreasing leaf area density (LAD) from forest understory to canopy top that largely falls into the uncertainty of LiDAR-based estimates. At the two forest sites (M34 and RJA), top canopy height reached 35–40 m, while LAD became very small (< 0.01 m2 m−2) above 20 m at the two savanna sites (PDG and BSB). However, the model tended to overestimate the total LAI at the sites by 0.3–0.5 m2 m−2.
Seasonal changes in predawn leaf water potential govern the seasonal dynamics of canopy leaf phenology the model. As a result, seasonality of total leaf area was minimal at M34, where total rainfall is high and rainfall seasonality is mild. There were slight decreases in LAI at RJA (c. 0.2 m² m⁻²), and larger (0.5–1 m² m⁻²) decreases at PDG and BSB toward the end of the dry season (Fig. 1e–f). MODIS LAI exhibited qualitatively similar patterns of LAI seasonality between the wet and dry sites. However, at M34, the MODIS LAI estimates exhibit increases in LAI during the wet season, and earlier onset of leaf shedding around the start of the dry season at PDG and BSB, compared to the model simulations. Overall, ED-2.2-hydro generated canopy vertical structure and increasing seasonal magnitude in canopy phenology from wet sites to dry sites, a result that is largely consistent with remote sensing observations.

The biosphere model simulations imply significant spatio-temporal variation in leaf water potential (Ψ_leaf) across all four sites (Fig. 2). For upper canopy leaves, the average maximum Ψ_leaf was close to zero for wet sites and for the wet season at dry sites (Fig. 2e–f), implying a full recharge of daytime water loss in the model. In the dry season at PDG and BSB, maximum Ψ_leaf dropped below −1 MPa, triggering leaf shedding in the model. The daily minimum Ψ_leaf values for canopy leaves were generally 1–1.5 MPa lower than the maximum values, depending on moisture supply. These average patterns in leaf hydrodynamics are consistent with observed variation in leaf water potentials over tropical forests (Bucci et al., 2005; Fontes et al., 2018; Wu et al., 2020). Wood water potential at the base of stems (Ψ_stem) had similar diurnal cycles and seasonality to Ψ_leaf (Fig. S4). However, the simulated Ψ_stem was always close to zero at M34, the wettest site in our study (Fig. S4a), whereas at the two drier sites Ψ_stem showed reduced diurnal variation during the wet season (Fig. S4c–d), but similar seasonal variation to Ψ_leaf.

While observations of diurnal and seasonal variation in plant water potential were not available, the model’s predictions of evapotranspiration (ET) matched observed patterns of ET seasonality that were available from flux tower measurements at M34, RJA, and PDG (Fig. S5), providing additional support for the model’s ability to capture key characteristics of vegetation hydrodynamics at our study sites.

Spatio-temporal variation in simulated CWC and VOD observations

The model simulations indicate that LWs dominates the diurnal cycles of CWC, despite constituting <10% of the total CWC of the upper canopy layers on average (Fig. 3). Generally, LWs accumulated from late afternoon, reached peak values in the early morning, then declined to near zero by midday. By contrast, LWi varied by only 10–15% within a day, and WWi showed even smaller diurnal variation (Fig. 3a–d). As a result, LWi was shown to make a substantial contribution to CWC diurnal variability (Fig. 3e–h), accounting for 76% of CWC differences between 01:30 h and 13:30 h at M34 (the wettest site) and 61% at BSB (the driest site). Internal leaf water (LWi) generally accounted for more of the remaining CWC diurnal variance than WWi. At the

![Fig. 1](image-url)
biweekly timescale, the contribution of LWs was considerably lower (18–36% for RJA, PDG, and BSB), except for at M34, where LWs still drove seasonal and inter-annual variations in the simulated CWC. In addition, at this time scale, WWi became the dominant driver of CWC variation, except at the wettest site (M34). Increasing the penetration depth to 10 kgC m$^{-2}$ of AGB did not qualitatively change these general cross-site and cross-time-scale patterns; it did however, increase the contribution of WWi pools to patterns of diurnal and seasonal patterns of CWC variability (Fig. S6).

We found a strong linear relationship between VOD and simulated CWCall (top 1 kgC m$^{-2}$ of AGB) with an $R^2$ value of 0.62 (Fig. 4a). The relationship remained significant at site-level, but the $R^2$ and slope values varied: simulated CWCall explained <20% of variance in VOD at the two moist forest sites, M34 and RJA, but accounted for about 50% of variance at the two savanna sites, PDG and BSB (Fig. 4c,d). At the same time, the sensitivity of VOD to CWCall (indicated by the slope of the VOD regressed against CWCall) increased by c. 300% from the wettest site (M34; slope = 0.55) to the driest site (BSB; slope = 2.15), whereas the regression slope of data from all sites combined fell in between these values (slope = 0.86). The relationship between CWCall (CWC excluding LWs) and VOD was weaker ($R^2$ = 0.60 for all data combined) and the site-specific $R^2$ values declined by 5–10% for M34, BSB, and PDG, while RJA showed little change (Fig. 4b,c). The site-specific regression slopes of the VOD-CWCall relationship all steepened due to the increasing nonlinearity of the relationship, while the cross-site variations did not change much (Fig. 4b). As a result, the VOD-CWCall regression slope value using data from all sites combined (0.96, black line in Fig. 4) became lower than site-specific values (1.2–2.8, colored lines in Fig. 4). Using a much greater penetration depth that included the top 10 kgC m$^{-2}$ of AGB yielded similarly high $R^2$ values (0.61 for both CWCall and CWCall), but the $R^2$ values were far lower than 0.1 for the two moist forest sites, and the cross-site regression slope value was much lower than all site-level regression slopes, regardless of whether or not LWs was included (Fig. S7). Overall, the model predictions of CWC that included all forms of canopy water showed robust linear relationships with VOD, but the relationships were stronger at drier sites and across sites along a rainfall gradient.

We calculated isohydricity ($\sigma$) values from the variability in biweekly VOD estimates and calculated a similar metric from model simulations of biweekly variability in CWCall, CWCall, and canopy $\Psi_{\text{leaf}}$. Our VOD-based isohydricity values were comparable to the values estimated by Konings & Gentine (2017) and Li et al. (2017) from daily VOD observations. As seen in Fig. 5(a–d), the VOD-based $\sigma$ was low at the two wet sites (0.44 for M34 and 0.59 for RJA, respectively) and higher at two dry sites (0.71 for PDG and 0.72 for BSB, respectively). The largest difference between VOD-based and CWCall-based isohydricity occurred at M34, where the simulated isohydricity was considerably lower than the VOD-derived estimate ($\sigma = 0.18$ and 0.44, respectively). However, the isohydricity values from the model predictions of CWCall and VOD observations were very close at the other three sites (Fig. 5a–h). By contrast, dynamics of CWCall and $\Psi_{\text{leaf}}$ implied almost perfect to extreme anisohydric behavior across all sites with $\sigma$ values very close to or larger than one (Fig. 5i–p), highlighting the significant contribution of LWs to the diurnal variation in simulated CWCall, and, by inference, to VOD measures of isohydricity.

We also compared the average seasonality of simulated CWC and observed VOD with respect to both their values at 01:30 h and their diurnal ranges (Fig. 6). At the two moist forest sites,
01:30 h VOD showed seasonal patterns that peaked in the middle of the dry season, with a seasonal amplitude of c. 10% at M34 and 20% at RJA (black lines in Fig. 6a,b, respectively).

Simulated CWC\textsubscript{all} did not reproduce these patterns, however, showing minimal seasonality at M34 and a small and short decline in late dry season at RJA (green lines in Fig. 6a,b, respectively). At the two savanna sites, 01:30 h VOD showed 20–25% seasonal variation, peaking in the late wet season and reaching its lowest values in the late dry season (black lines in Fig. 6c,d, respectively). The simulated 01:30 h CWC\textsubscript{all} showed similar seasonal patterns and amplitude (green lines in Fig. 6c,d, respectively). As a result, the correlation between VOD and simulated CWC\textsubscript{all} increased from around zero at wet sites to c. 0.8 at the dry sites. Interestingly, CWC\textsubscript{int}, which excludes the highly seasonal LW\textsubscript{s} (varying by 30–100%) that follows the seasonality of rainfall (Fig. S8a–d), exhibited stronger correlation with VOD seasonality, particularly at the two wet sites (Pearson’s \(r\) increased from approx. 0 to 0.4–0.5) but also a reduction in seasonal amplitude by 5–10% at all sites.

The comparison of the seasonality in the diurnal range showed similar patterns, with the model-data correlation increasing from wetter sites to drier sites (Fig. 6e–h). However, the influence of LW\textsubscript{s} was more prominent at the savanna sites. At these two drier sites, the simulated diurnal range of CWC\textsubscript{int} peaked in mid-to-late dry season when daytime atmospheric water demand was high and soil water supply was low. Inclusion of LW\textsubscript{s} whose diurnal range could reach 80–100% (Fig. S8e–h), resulted in shifts of the peak to late wet season for CWC\textsubscript{all}, which is consistent with VOD seasonality, and led to comparable average diurnal range values (5–10%) to the VOD data. At the two forest sites, the inclusion of LW\textsubscript{s} reduced the temporal correlation of the diurnal range between VOD and CWC\textsubscript{all} for M34 and reversed the correlation for RJA; however, it increased the average diurnal range so that it was closer to the VOD observations. The
model-predicted diurnal range may bias low because WW is calculated from water potential at the base of the stem, which may have smaller diurnal range than branch water potential in nature. A post-hoc correction made by assuming wood water potential is the same as leaf water potential increased the average diurnal range in CWC by 2–3% but did not change the seasonal patterns or the impact of LW (Fig. S9). Overall, these results suggest that ED-2.2-hydro did not capture the seasonality in canopy hydrodynamics and phenology at the forest sites; however, it performed well at the two savanna sites, where consideration of LW significantly improved the agreement between simulated CWC and VOD observations.
At the inter-annual timescale, VOD showed substantial variability relative to its average seasonality in both 01:30 h values and diurnal ranges (Fig. 7) due to changes in hydroclimatic conditions. Simulated anomalies in both CWCall and CWCint at 01:30 h were more strongly correlated with anomalies in 01:30 h VOD at the drier sites (significant positive correlation with Pearson’s $r$ values ranging from 0.36 to 0.53 for PDG and BSB) than at the wet sites (no significant correlations). While including LWs increased the correlation coefficients by 0.05 to 0.2, it did not change the general cross-site pattern. The simulated diurnal range anomalies in CWC were not correlated with the diurnal range anomalies in VOD at inter-annual time scales, regardless of whether or not LWs was included (Fig. 7e–h). The simulated diurnal range in CWC generally showed less inter-annual variability, with standard deviations of 1.0–1.7% for CWCall and 0.19–0.37% for CWCint, than the diurnal range in VOD, which had standard deviations ranging from 1.9% to 2.2%. Similar to the seasonal-scale analysis, correcting for WW, did not change the simulated patterns of inter-annual variations in CWC (Fig. S10).

**Discussion**

**Predicted CWC and its relationship with VOD**

The increasing use of VOD to infer large-scale patterns of vegetation water stress builds on the mechanistic proportionality between VOD and CWC (Konings et al., 2019). However, quantitative assessments of this relationship have been lacking at the ecosystem scale – the scale at which remote sensing VOD measurements are made (tens of km) – particularly in humid, high-biomass ecosystems such as tropical forests. This is mostly because ground-based measurements of CWC are generally made at the level of leaves or tree branches (Powers & Tiffin, 2010; Chavana-Bryant et al., 2016; Martin et al., 2018). Consequently, previous VOD field evaluation studies (Liu et al., 2015; Chapparo et al., 2019; Fan et al., 2019) only examined the statistical associations between spatial variation in VOD and above-ground biomass, a quantity that is easier to measure at larger spatial scales via forest inventory and LiDAR measurements.

Our study evaluates, for the first time, the VOD–CWC relationship in both the spatial and temporal domains through novel application of a terrestrial biosphere model. Our analyses support our first hypothesis (H1), that VOD scales approximately linearly with CWC across space and time; however, it also reveals important sources of complexity in this relationship: the slope of the VOD–CWC relationship varied across sites with different moisture conditions and vegetation structures (Fig. 4). While some variation in the slope with vegetation type is expected, a three-fold increase in the slope from savanna to forest sites (Fig. 4d) is far greater than previously estimated from radiometric experiments in nonforested ecosystems (Van De Griend & Wigneron, 2004) and leads to a relatively sigmoidal or saturating VOD–CWC relationship for cross-site variations.
Vegetation optical depth saturation at high aboveground biomass density (Chaparro et al., 2019) should not be the primary factor driving variation in the VOD–CWC slopes because cross-site variation in penetration depth is explicitly considered in our analysis (Fig. S3), although our approach might not fully capture small seasonal changes of penetration depth within each site. The larger-than-expected variation in the VOD–CWC slope may reflect deficiencies in the model formulation: most notably, the model’s drought-driven phenology scheme generated smaller-than-observed seasonal amplitudes in CWC at the two wet sites, compared to the seasonality in VOD (Fig. 6), which may explain the low $R^2$ and slope values for M34 and RJA. The cross-site variation in the slope values for the VOD–CWC relationship could also be due to uncertainty in the VOD retrievals, particularly the uncertainty associated with surface temperature and single-scattering albedo in the densely forested M34 and RJA sites (Schwank et al., 2018) or due to multiple scattering (Schwank et al., 2018). Both explanations call for additional calibration of VOD with in-situ measurements of CWC, especially in moist, high-humidity ecosystems such as tropical forests.

The role of LW in CWC and VOD variation across different timescales

Our simulations explicitly consider dew formation, rainfall interception, and the resulting dynamics of LW. While no direct measurements of canopy LW are available to evaluate the model’s predictions, the simulated range of LW is consistent with sparse sampling from an Amazonian moist forest (Fig. S2). In addition, a rare ground-based radiometer study in a Panamanian tropical moist forest (Schneebeli et al., 2011) estimated that whole-canopy LW could regularly reach 0.17 kgH$_2$O m$^{-2}$ (ground) at pre-dawn from dew formation, and intensive rainfall events occasionally increased LW to 0.4–1 kgH$_2$O m$^{-2}$. The model generated comparable average predawn LW values of 0.21–0.23 kgH$_2$O m$^{-2}$ for the two tropical forest sites (Fig. S6). The simulated average predawn LW is close to the observed dew-driven value but lower than the observed rainfall-driven values, likely because reanalysis rainfall underestimates the diurnal cycle (Fig. S11).

In our model simulations, LW accounts for > 50% of diurnal variation in CWC at all four of the study sites (Fig. 3). The large diurnal contribution from the relatively small LW pool (< 10% of total CWC) stems from its fast turnover rate: by midday almost all LW accumulated during the night evaporates away (Fig. 3). By contrast, simulated LW varied by only 10–15% within a day, and WW by even less. In nature and in the model, this occurs because plant stomatal control constrains daily minimum leaf water potential to be above, or not far below, the leaf turgor loss point (Brodribb & Holbrook, 2003; Fontes et al., 2018), which corresponds to a relative water content value of c. 90% for tropical wet forests (Bartlett et al., 2012).

Consequently, our results call into question the ability to correctly infer spatial and temporal patterns of plant water stress from diurnal measurements of VOD in humid forest ecosystems such as tropical rainforests, as illustrated in our isohydricity analysis (Fig. 5). First, LW dynamics might contribute most to the VOD-based isohydricity. Second, isohydricity index based on water content is influenced by both LW stress and the seasonal variation in vegetation structure, and thus can deviate from the isohydricity index based on leaf water potential and converge to 1 (Fig. 5i–p). In addition, if VOD diurnal range reflects diurnal

![Figure 7](image.png)

**Figure 7** Comparison of inter-annual variability between vegetation optical depth (VOD) and simulated canopy water content (CWC) after removing average seasonality across the four study sites. (a–d) variability of 01:30 h VOD (black), CWC (green), and CWC (purple). We normalized the time series by dividing by the maximum as in Fig. 6. (e–h) similar to (a–d) but for diurnal ranges calculated as $(1 - X_{33,30} / X_{X_{0,10}}) \times 100\%$, where $X$ denotes either VOD or CWC. We calculated Pearson’s r between the average seasonality in VOD and the simulated CWC (with and without leaf surface water) and showed the correlation coefficients using the same color as the different CWC lines. Significant correlations ($P < 0.05$) were marked with an asterisk (*). In all plots, we only included water from the top 1 kg m$^{-2}$ biomass. Due to high-frequency variation in the simulated CWC, we averaged the biweekly data into bimonthly values to facilitate comparison.
water stress, it should peak in the dry season in tropical forests—when plant diurnal water stress is generally the highest—as shown in the observations of Brodribb & Holbrook (2004) and Fisher et al. (2006) and the biosphere model simulations conducted in this study (Fig. 2). However, at the two savanna sites, VOD diurnal range peaked in late wet season, which can only be explained by including LWs (Fig. 6). The exclusion of rainy days (Konings & Gentine, 2017; Li et al., 2017) is likely not enough to eliminate the effects of LWs on CWC because dew formation can also significantly contribute to LWs and the simulated importance of LWs only drops to a low level in months with both low rainfall and humidity (Fig. S12). Hence, the influence of LWs on VOD retrievals may also be important in other humid ecosystems, such as those found along the North American Pacific coast (Burgess & Dawson, 2004) and montane forests (Berry et al., 2014).

The importance of LWs decreases, however, at the seasonal and inter-annual time scales (Figs 6, 7), implying that failing to consider LWs will have less of an effect on VOD-based inference of canopy phenology (Guan et al., 2014; Wang et al., 2020) and vegetation mortality (Rao et al., 2019; Wigneron et al., 2020). Therefore, our results support our second hypothesis (H2), that the contribution of LWs is highest at the diurnal time scale.

By contrast, there is only partial support for our third hypothesis (H3), that the contribution of LWs to diurnal VOD dynamics increases as precipitation increases: variance decomposition implies that an increasing contribution from LWs along the gradient from dry to wet sites (Fig. 3) and from wet to dry months (Fig. S12) is consistent with H3. However, it is difficult to draw strong conclusions regarding H3 given the large uncertainties in VOD retrievals and low level of seasonality in the model simulations compared to the observed seasonality of VOD values and diurnal ranges at the two moist forest sites (Fig. 6). In addition, the simulated cross-site variations in the LWs contribution might be biased because ED-2.2-hydro does not represent possible leaf trait adaptation across moisture gradients, such as changes in leaf texture and trichome abundance, that could regulate LWs retention (Aparecido et al., 2017) and thus influence LWs dynamics. Further in situ data collection and model improvement and benchmarking are necessary to accurately evaluate how the LWs contribution varies across moisture gradients.

Implications for tropical phenology in vegetation models

Our model-data analysis also provides a useful evaluation of the plant hydrodynamics and leaf phenology formulations in the ED-2.2-hydro terrestrial biosphere model. As anticipated, there was better agreement between the model predictions and the VOD measurements at the two drier sites, where abiotic moisture conditions exhibit large variability that significantly affects CWC. However, the predicted seasonal decline of LAI is later than in MODIS LAI estimates (Fig. 1), and the relative magnitude of the seasonal decline in CWC was smaller than in the VOD observations (Fig. 6), suggesting that the model's drought-deciduous leaf phenology scheme may not be sufficiently responsive to seasonal water stress. In the current model formulation, leaf-drop is triggered when pre-dawn water potential falls below the turgor loss point, whereas drought experiments on tropical seedlings suggest that the average of pre-dawn and midday water potential can best predict leaf shedding (Wolfe et al., 2016). Incorporating midday water potential into the drought-deciduous phenology scheme might therefore improve the seasonality at drier savanna sites.

Similarly, at the two wet sites, the predicted seasonality in CWC was lower than the seasonality in VOD (Fig. 6). This may be because the VOD seasonality is partially attributable to unknown retrieval errors caused by seasonally varying properties (e.g. changes in canopy structure) in densely vegetated areas (Konings et al., 2016; Du et al., 2017). Another possible explanation is that biotic factors such as leaf ontogeny can influence seasonal variation in CWC under moist conditions. For instance, leaf relative water content can change substantially with leaf age in tropical wet forests (Chavana-Bryant et al., 2016); seasonal changes in leaf demography at tropical moist forests (Wu et al., 2016) may therefore contribute to seasonal variation in CWC and resulting VOD measurements. A simple calculation of CWC changes based on published leaf demography and leaf ontogeny data at Manaus (Chavana-Bryant et al., 2016; Wu et al., 2016) suggests that seasonal variation in leaf age could explain the seasonal amplitude of VOD at M34, albeit with a 1–2 month lag in timing (Fig. S13).

Conclusions

Our analyses indicate that LWs makes a large contribution to diurnal variation in landscape-scale CWC and AMSR-E VOD signals over tropical forests. This is important because diurnal variation in VOD has been proposed as a measure of canopy isohydricity, a metric widely used to diagnose the water status of plant canopies. Our analysis shows that LWs also influences seasonal variation in VOD, but to a far lesser extent. In this analysis, we examined VOD measurements from X-band microwave instruments that have relatively low penetration into the dense canopies of tropical forests; however, our findings also apply to VOD measurements from lower (L-band) electromagnetic frequencies (e.g. the Soil Moisture Active Passive (SMAP) and Soil Moisture and Ocean Salinity (SMOS) satellites) because the simulated LWs contributions remained high even when we evaluated greater canopy penetration depth (Fig. S6). Future applications of microwave band measurements, as well as other imaging and spectroscopy-based estimates of CWC (Asner et al., 2016) should therefore carefully consider the effects of variation in LWs, particularly during rainy and humid periods. In turn, the sensitivity of VOD to LWs newly identified in this study provides new opportunities to understand LWs dynamics and their impact on plant water use.

Our analyses also highlight the value of explicitly representing plant hydrodynamics in terrestrial biosphere model formulations. The consistency between VOD and model predicted CWC across diurnal, seasonal, and inter-annual timescales at the two tropical savanna sites suggests that the current model structure is able to capture important processes governing plant hydrodynamics; however, capturing diurnal and seasonal patterns of
VOD in wet tropical forests is likely to require consideration of phenological processes affecting CWC, such as seasonal leaf demography and ontogeny.

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Author contributions
XX, PM, AK and SS designed the research. ML and XX processed the meteorology and flux tower data. AK and AF processed AMSR-E VOD data. LX and SS provided GLAS LiDAR LAI data. DW provided the MODIS data. JW provided the in-situ leaf trait and demography data. XX performed model simulation, conducted analyses, and drafted the manuscript. All authors contributed to the writing of the manuscript.

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Data availability
The remote sensing data that support the findings of this study are openly available at http://files.ntsg.umt.edu/data/LPDR_v2/ for VOD, https://nsidc.org/data/icesat/data.html for GLAS, and https://lpdas.ucr.edu/ for MODIS. The ED2 model codes are archived at https://doi.org/10.5281/zenodo.3978588. The meteorological forcing data used to drive ED2 are available from the corresponding author upon request.

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Research


S Supporting Information

Additional Supporting Information may be found online in the Supporting Information section at the end of the article.

Fig. S1 Average monthly seasonality of the meteorological forcing used to drive the model simulations.

Fig. S2 Distribution of predawn leaf surface water (LW) in the canopy top compared with observed ranges.

Fig. S3 Schematic diagram of penetration depth for canopy water content (CWC) in the hydrodynamics-enabled version of Ecosystem Demography v.2.2 (ED-2.2-hydro).

Fig. S4 Vertical profile and average seasonality of simulated wood water potential at the base of tree stems.

Fig. S5 Average seasonality of evapotranspiration from ED-2.2-hydro simulations (red line) and flux tower data.

Fig. S6 Contribution of LW to CWC in model simulations using 10 kgC m⁻² as penetration depth.

Fig. S7 Relationship between VOD and simulated CWC_all (including LW) and CWC_int (excluding LW) using 10 kgC m⁻² as penetration depth.

Fig. S8 Average seasonality of simulated LW.

Fig. S9 Average seasonality of VOD and CWC corrected by leaf water potential.

Fig. S10 Desasoned multi-year variability of VOD and CWC corrected by leaf water potential.

Fig. S11 Average diurnal cycles of precipitation rainfall from ground-observation (GRND) and reanalysis data (REAN) used in our simulations.

Fig. S12 Relative contribution of variance in LW to the diurnal variance in CWC_all as a function of precipitation and vapor pressure deficit.

Fig. S13 Average seasonality of midnight VOD at M34 compared with seasonality of leaf water concentration estimated from leaf demography data.

Notes S1 Additional model description for ED-2.2-hydro.
Table S1 Key plant photosynthetic, structural, and hydraulic traits for the three tree plant functional types (PFTs) used in our simulations.

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