



## Comparing simple respiration models for eddy flux and dynamic chamber data

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### Abstract

Selection of an appropriate model for respiration ( $R$ ) is important for accurate gap-filling of  $\text{CO}_2$  flux data, and for partitioning measurements of net ecosystem exchange (NEE) to respiration and gross ecosystem exchange (GEE). Using cross-validation methods and a version of Akaike's Information Criterion (AIC), we evaluate a wide range of simple respiration models with the objective of quantifying the implications of selecting a particular model. We fit the models to eddy covariance measurements of whole-ecosystem respiration ( $R_{\text{eco}}$ ) from three different ecosystem types (a coniferous forest, a deciduous forest, and a grassland), as well as soil respiration data from one of these sites. The well-known  $Q_{10}$  model, whether driven by air or soil temperature, performed poorly compared to other models, as did the Lloyd and Taylor model when used with two of the parameters constrained to previously published values and only the scale parameter being fit. The continued use of these models is discouraged. However, a variant of the  $Q_{10}$  model, in which the temperature sensitivity of respiration varied seasonally, performed reasonably well, as did the unconstrained three-parameter Lloyd and Taylor model. Highly parameterized neural network models, using additional covariates, generally provided the best fits to the data, but appeared not to perform well when making predictions outside the domain used for parameterization, and should thus be avoided when large gaps must be filled. For each data set, the annual sum of modeled respiration (annual  $\Sigma R$ ) was positively correlated with model goodness-of-fit, implying that poor model selection may inject a systematic bias into gap-filled estimates of annual  $\Sigma R$ .

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### 1. Introduction

Models are used in conjunction with measurements of surface-atmosphere  $\text{CO}_2$  fluxes ( $F_{\text{CO}_2}$ ) for a variety of reasons. These include: (1) filling gaps in the eddy

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covariance flux record (Falge et al., 2001); (2) estimating annual sums of the components of the net flux, such as total ecosystem respiration ( $R_{\text{eco}}$ ) or gross ecosystem exchange (GEE) (Reichstein et al., 2005; Richardson and Hollinger, 2005; Hagen et al., 2006); (3) extracting physiological parameters from the flux data (Van Wijk and Bouten, 2002; Braswell et al., 2005; Hollinger and Richardson, 2005). Typically, these models are relatively simple functions of only a few independent variables and several parameters. Here we evaluate a range of simple respiration models using objective model selection criteria, and we investigate the implications of selecting a particular model.

The nocturnal flux measured above the canopy by eddy covariance is generally assumed to represent  $R_{\text{eco}}$ , and thus includes soil respiration (both heterotrophic respiration and root respiration) as well as various sources of above ground respiration (e.g., leaf, branch and stem respiration) (Davidson et al., 2006b).  $R_{\text{eco}}$  and its components have been modeled using a variety of approaches (e.g., Lloyd and Taylor, 1994; see also Morgenstern et al., 2004). In simple respiration models, the respiratory flux generally scales as a function of temperature (although the functional form of this relationship varies among models), representing the dominant role of reaction kinetics, possibly modulated by secondary environmental factors, such as soil water content. Most of these models lack a strict theoretical basis (cf. the Farquhar et al., 1980, photosynthesis model). This can be attributed to the fact that we still have a very poor mechanistic understanding of the relationships between environmental factors and  $R_{\text{eco}}$ , and between carbon allocation and substrate availability for respiration (Davidson et al., 2006a). A complicating factor is that soil and ecosystem respiration represent the aggregate respiratory flux from a diverse (and changing) array of organisms, each of which may be subject to somewhat different environmental conditions or limiting factors.

Previous studies have compared a number of respiration models using data from individual sites (Janssens et al., 2003; Del Grosso et al., 2005; Richardson and Hollinger, 2005) or even multiple sites (Falge et al., 2001), but to date no single synthesis has compared a wide range of simple models across different ecosystem types and measurement techniques, as we do here. Our objective is to determine which models give the best fit, and to assess the effects (in terms of model predictions) of choosing a particular model. Our emphasis is on model selection rather than hypothesis testing. Cross-validation and an information theoretic criterion are used for objective model

selection, and models are ranked accordingly. We use the modeled annual sum of respiration (“annual  $\Sigma R$ ”) as a quantitative, but subjective, means by which to evaluate differences in model predictions (e.g., Hagen et al., 2006), since annual sums of fluxes are of particular interest to the community. We investigate whether rankings for models that simulate  $R_{\text{eco}}$  are consistent across three different ecosystems: coniferous forest, deciduous forest, and grassland, using nocturnal data from the Howland, Harvard Forest, and Lethbridge AmeriFlux sites. In addition to data from the main eddy covariance tower at Howland (“Howland-Main”), we also use data from a below-canopy eddy covariance system (“Howland-Subcanopy”) and an array of automated soil respiration chambers (“Howland-Auto-chamber”) at this site to investigate whether model rankings for  $R_{\text{soil}}$  are similar to those for  $R_{\text{eco}}$ .

## 2. Models, data and methods

### 2.1. Respiration models

The models we evaluate were selected from the literature and are listed in Table 1 (note that although the parameters are denoted  $\theta_1, \theta_2, \dots, \theta_n$  for each model, the optimal parameter values differ among models). These models are all simple, in that they contain (at most) a single static carbon pool, have no feedbacks, and are driven by bulk measurements of the overall ecosystem state. For example, soil temperature is typically used as a driving variable, although it may not accurately reflect the thermal state of various respiring components within the system (e.g., canopy temperature versus litter temperature versus O- and A-horizon temperature; Hollinger et al., 1994; Van Dijk and Dolman, 2004; Reichstein et al., 2005).

Respiration is controlled by both biological and physical factors. Work by Arrhenius and van't Hoff in the late-19th century on the temperature dependence of chemical reactions gave rise to notions of a relationship between temperature and respiration (see review by Lloyd and Taylor, 1994). Either a linear (model A in Table 1) or higher-order polynomial (model B) model would suffice as a simple, if naïve, representation of this relationship (at least over a limited range), but the Arrhenius equation (model C) more accurately describes many chemical systems. van't Hoff's  $Q_{10}$  model (model D), which gives an exponential relationship between respiration and temperature, has been widely used in many branches of biology. However, it assumes fixed temperature sensitivity, and predicts that respiration increases at a steady relative rate, and

Table 1  
Respiration models used in the present analysis

Model	Formula	Reference
[A] Linear	$\theta_1 + \theta_2 T$	Wofsy et al. (1993)
[B] Polynomial	$\theta_1 + \theta_2 T + \theta_3 T^2 + \theta_4 T^3 + \theta_5 T^4 + \theta_6 T^5$	
[C] Arrhenius	$\theta_1 \times \exp\left[\left(\frac{\theta_2}{283.15\theta_3}\right)\left(1 - \frac{283.15}{T}\right)\right]$	Lloyd and Taylor (1994)
[D] Q <sub>10</sub>	$\theta_1 \times \theta_2^{(T-T_{\text{ref}})/10}$	Black et al. (1996)
[DS] Q <sub>10</sub> -S: Q <sub>10</sub> with $T = T_{\text{soil}}$		
[DA] Q <sub>10</sub> -A: Q <sub>10</sub> with $T = T_{\text{air}}$		
[D1] Q <sub>10</sub> -vTemp: temperature-varying Q <sub>10</sub>	$\theta_1 \times (\theta_2 + \theta_3 T)^{(T-T_{\text{ref}})/10}$	
[D2] Q <sub>10</sub> -vTime: time-varying Q <sub>10</sub>	$\theta_1 [\theta_2 + \theta_3 \sin(\text{JD}_\pi) + \theta_4 \cos(\text{JD}_\pi)]^{(T-T_{\text{ref}})/10}$	
[D3] Q <sub>10</sub> -Gresp: SWC modulated	$\theta_1 \times \theta_2^{(T-T_{\text{ref}})/10} \times \frac{\text{SWC}}{\text{SWC}+\theta_3} \times \frac{\theta_4}{\text{SWC}+\theta_4}$	Carlyle and Ba Than (1988)
[E] Lloyd and Taylor	$\theta_1 \times \exp\left(\frac{-\theta_2}{T+273.15-\theta_3}\right)$	Lloyd and Taylor (1994)
[Er] L&T-Rest: restricted form of L&T	$\theta_1 \times \exp\left(\frac{-308.56}{T+46.02}\right)$	
[F] Logistic	$\frac{\theta_1}{1+\exp(\theta_2-\theta_3 T)}$	Barr et al. (2002)
[G] Fourier	$\theta_1 + \theta_2 \sin(\text{JD}_\pi) + \theta_3 \cos(\text{JD}_\pi) + (\text{higher order terms})$	Hollinger et al. (2004)
[G1] Fourier-1: first-order Fourier regression		
[G2] Fourier-2: second-order Fourier regression		
[G4] Fourier-4: fourth-order Fourier regression		
[H] Neural networks		Hagen et al. (2006)
[H1] NN-S	$f(T_{\text{soil}})$	
[H2] NN-A	$f(T_{\text{air}})$	
[H3] NN-SA	$f(T_{\text{soil}}, T_{\text{air}})$	
[H4] NN-SAJ	$f(T_{\text{soil}}, T_{\text{air}}, \text{JD}_\pi)$	
[H5] NN-SAJW	$f(T_{\text{soil}}, T_{\text{air}}, \text{JD}_\pi, \text{SWC})$	

Note: Model parameters,  $\theta_1, \dots, \theta_n$ , differ among models. “ $T$ ” refers to a measured temperature variable, either  $T_{\text{air}}$  or  $T_{\text{soil}}$ .  $T_{\text{ref}}$  is a fixed reference temperature, usually 10 °C.  $\text{JD}_\pi$  is the Julian day expressed in radians ( $=2\pi \times \text{JD}/366$ ). SWC is soil water content, in % by volume. Codes in square brackets are those used to identify plotted points in Figs. 1 and 2.

without limit, as temperature increases. This characteristic is a common criticism of the Q<sub>10</sub> model (e.g., Tjoelker et al., 2001). By comparison, both the Lloyd and Taylor model (model E) and the logistic model (model F) have a sigmoid shape, which may be more appropriate at higher temperatures, when respiration may be suppressed. Simulations (Richardson and Hollinger, 2005) suggest that the Lloyd and Taylor model is over-parameterized because different combinations of parameters can produce versions of the model that fit the data equally well given inherent carbon flux measurement uncertainties. To avoid this equifinality (e.g., Schulz et al., 2001), we also use a one-parameter restricted version of the model (model Er), with the other two parameters constrained to the values reported by Lloyd and Taylor (1994) for their soil respiration data set.

Similar to Kirschbaum (1995), we constructed two variants of the traditional Q<sub>10</sub> model. In our temperature-varying Q<sub>10</sub> model (Model D1, “Q<sub>10</sub>v-temp”), the single parameter controlling the temperature sensitivity of respiration is instead specified as a linear function of temperature itself. This allows the temperature sensitivity to decrease with increasing temperature (Janssens and

Pilegaard, 2003), as in the Lloyd and Taylor model. In the time-varying Q<sub>10</sub> model (Model D2, “Q<sub>10</sub>v-time”), the temperature sensitivity of respiration is specified as a first-order Fourier function of the Julian day, and is thus constrained to follow a seasonal course. We are not aware of models like these being applied previously to eddy covariance data (Kirschbaum’s analysis was based on a literature survey of laboratory incubations), but our own preliminary results indicated potentially significant improvements over the original Q<sub>10</sub> model.

A third variant of the Q<sub>10</sub> model is the Gresp model (model D3), in which the temperature–respiration relationship is modulated by soil water content. Soil water content may more tightly control respiration in some ecosystems than others. For example, soil respiration at the coniferous Howland Forest has been found to be less sensitive to soil moisture than that at the deciduous Harvard Forest (Savage and Davidson, 2001).

We use soil temperature to drive the above temperature–respiration relationships. This decision is based on the fact that  $R_{\text{soil}}$  accounts for a large proportion of  $R_{\text{eco}}$  in forested ecosystems (Davidson et al., 2006b). For the Q<sub>10</sub> model, however, we include

both a version driven by soil temperature (model DS, “Q<sub>10</sub>-S”) and by air temperature (model DA, “Q<sub>10</sub>-A”).

The Fourier model (model G) is not based on a presumed temperature–respiration relationship. Rather, it is simply a representation of the inherent seasonality of temperature and respiration. The Fourier model is thus appealing because it does not require data for environmental drivers (but for this same reason it may not be very useful for making predictions into the future). We evaluate first-, second-, and fourth-order Fourier models (“Fourier-1”, etc.); higher-order models can capture more complex seasonal patterns than lower-order models, but may be subject to over-fitting and poor performance outside of the domain used for parameterization.

Note that for some models, a number of different, but equivalent, formulations are possible. For example, the standard Q<sub>10</sub> model formulation (model D) is functionally identical to both the Type I exponential,  $\theta_1 \exp(\theta_2 T)$ , and the Type II exponential,  $\exp(\theta_3 - \theta_4 T)$ . The Lloyd and Taylor model listed in Table 1 (model E) has an alternate formulation expressed in terms of the respiration rate at 10 °C (see Eq. (11) in Lloyd and Taylor, 1994). The basic  $\theta_1 \sin(x) + \theta_2 \cos(x)$  structure of the Fourier model (model G) can, of course, also be written as  $\theta_3 \sin(x + \theta_4)$ . Results obtained using these alternative expressions will not differ, except to the extent that iterative numerical algorithms for non-linear optimization may proceed towards convergence more or less slowly for one formulation than another, depending on initial parameter guesses and optimization algorithm.

In a different class of models from those just described are the neural networks (models H) (Bishop, 1996). Neural network regression models have been applied previously to eddy covariance data and are described elsewhere (e.g., Van Wijk and Bouten, 1999; Papale and Valentini, 2003; Hagen et al., 2006); they are very flexible and are thus well-suited to non-linear problems, especially when there is no need to impose a particular functional form on the respiration response to a particular independent variable. We used five different neural network models: “NN-S” (soil temperature), “NN-A” (air temperature), “NN-SA” (soil temperature and air temperature), “NN-SAJ” (NN-SA plus sine and cosine of Julian day), and “NN-SAJW” (NN-SAJ plus soil water content).

## 2.2. Data sources

### 2.2.1. Tower-based eddy covariance measurements

As our primary data source, we used nocturnal above-canopy CO<sub>2</sub> flux data from eddy covariance towers in

three contrasting ecosystems. The Howland tower (1997–2004 data; 45.25°N, 68.73°W, elev. 60 m ASL) is located in a boreal-northern hardwood transition forest about 50 km north of Bangor, ME, USA. The Harvard tower (1992–2003 data; 42.53°N, 72.17°W, elev. 340 m ASL) is located in a mixed temperate forest, about 110 km west of Boston, MA, USA. The Lethbridge tower (1999–2004 data; 49.43°N, 112.56°W, elev. 951 m ASL) is located in a mixed grassland, just west of the city limits of Lethbridge, Alberta, Canada.

Quality control, flux corrections, and data editing were performed by the individual site investigators. For consistency across all three tower sites, a standard  $u_* = 0.25$  threshold was applied during nocturnal ( $PPFD < 5 \mu\text{mol m}^{-2} \text{s}^{-1}$ ) periods; this threshold value is consistent with cutoff values that have previously been applied at these sites. Site-specific procedures are described elsewhere (Howland: Hollinger et al., 1999, 2004; Harvard: Barford et al., 2001; Lethbridge: Flanagan et al., 2002; Flanagan and Johnson, 2005). For all data sets, the sign convention used is that carbon flux into the ecosystem is defined as negative, *i.e.*, respiration is a positive flux.

### 2.2.2. Below-canopy eddy covariance measurements

A below-canopy eddy covariance system, mounted on a 3 m tripod in close proximity to the Howland main tower, was operated from 1996 to 2001. The understory in the vicinity of the tripod is very sparse, and the canopy light transmittance very low, and thus the measured fluxes are dominated by soil respiration (Hollinger et al., 1999). We used both daytime and nighttime data in the present analysis. We implemented a more relaxed  $u_*$  threshold for this system to ensure an adequate sample size for each year. With  $u_* = 0.10$ , there were 4–5 times as many observations (mean  $\pm$  1 S.D. =  $2400 \pm 1000$  observations/year) as with  $u_* = 0.20$ . However, model rankings were almost identical regardless of whether  $u_*$  was set to 0.10, 0.15, or 0.20. Modeled annual  $\Sigma R$  differed somewhat depending on the  $u_*$  threshold used, but the effect was not consistent across years. We note that in this analysis below-canopy data have not been corrected for high and low frequency losses due to measurement system inadequacies.

### 2.2.3. Automated soil respiration chamber measurements

Six automated soil respiration chambers (see Savage and Davidson, 2003, for details on design and instrumentation) were installed at Howland Forest, in close proximity to the below-canopy flux system, in

mid-May 2004 (JD 135). The chambers were sampled sequentially for 5 min each, so that each chamber was sampled every 30 min. Data from chamber 5 are not included in the present analysis, due to a broken piston that occurred half way through the growing season (JD 236). Measurements of the remaining five chambers continued until early November (JD 310).

Because the autochamber data cover only half the year, and we have no wintertime data to constrain the models, we do not present annual  $\Sigma R$  estimates for this data set.

### 2.3. Maximum likelihood model fitting

For evaluating models and estimating parameters based on data, a maximum likelihood approach should be used. In the maximum likelihood paradigm, the estimated model parameters are those that would be *most likely to generate the observed data*, given the model and what is known about the measurement uncertainty (Press et al., 1993). The correct use of this approach thus requires information about measurement error in the data.

Ordinary least squares optimization yields maximum likelihood parameter estimates when the assumptions of normality and constant variance (homoscedasticity) of the error are met. However, recent work indicates that the eddy covariance flux measurement error,  $\delta$ , follows a distribution that is better approximated by a double-exponential (Laplace) distribution than a normal (Gaussian) distribution; the variance of the measurement error ( $\sigma^2(\delta)$ ) also generally scales as a function of the magnitude of the flux (Hollinger and Richardson, 2005; Richardson and Hollinger, 2005; Richardson et al., 2006). According to Press et al. (1993), when errors are distributed as a double-exponential with non-constant variance, maximum likelihood parameter estimates are obtained by minimizing the figure of merit,  $\Omega$ , equal to the weighted sum of the absolute deviations between measured ( $y_i$ ) and modeled ( $y_{\text{pred}}$ ) values, *i.e.*, the cost function in Eq. (1),

$$\Omega = \sum_{i=1}^n \frac{|y_i - y_{\text{pred}}|}{\sigma(\delta_i)} \quad (1)$$

The weighting factor,  $1/\sigma(\delta_i)$ , is the reciprocal of the estimated standard deviation of the measurement error for each observation  $i$ . As noted by Raupach et al. (2005), this weighting reflects our confidence in the data: observations with low  $\sigma(\delta_i)$  receive more weight in the optimization than observations with high  $\sigma(\delta_i)$ , because we have more confidence in observations with

smaller measurement uncertainty. Previous research (Richardson et al., 2006) indicates that  $\sigma(\delta_i)$  scales with the magnitude of the flux for  $F_{\text{CO}_2} \geq 0$  (*i.e.*, respiratory efflux from the system), as given in Eqs. (2a and 2b):

$$\text{forested sites : } \sigma(\delta_i) = 0.62 + 0.63 \times F_{\text{CO}_2} \quad (2a)$$

$$\text{grassland sites : } \sigma(\delta_i) = 0.38 + 0.30 \times F_{\text{CO}_2} \quad (2b)$$

Similar analyses for both the subcanopy EC data and the autochamber data indicate that the measurement error for these time series is also better approximated by a double-exponential, rather than a normal, distribution. Likewise,  $\sigma(\delta_i)$  again scales with the magnitude of the flux (Eqs. (2c and 2d)):

$$\text{understory EC : } \sigma(\delta_i) = 0.06 + 1.51 \times F_{\text{CO}_2} \quad (2c)$$

$$\text{autochambers : } \sigma(\delta_i) = 0.15 + 0.28 \times F_{\text{CO}_2} \quad (2d)$$

Note that the scaling of measurement uncertainty with flux magnitude depends upon both site characteristics and methodology. For the purposes of Eqs. (2a–2d), we use an estimated flux,  $\hat{F}_{\text{CO}_2}$ , rather than the measured flux  $F_{\text{CO}_2}$ , to estimate the measurement uncertainty. This yields an uncertainty estimate that is statistically independent of the actual error in the measured flux: if the measured flux was used for Eqs. (2a–2d), then observations with negative measurement errors would receive more weight (because estimated  $\sigma(\delta_i)$  is lower), and observations with positive measurement errors would receive less weight, in the optimization scheme. The estimated flux was determined by fitting a second-order Fourier regression to the data using unweighted absolute deviations optimization: preliminary analyses indicated that this model captured the inherent seasonality of respiration in these temperate systems relatively well.

Most statistical analyses were conducted in SAS 9.1 (SAS Institute, Cary, NC, USA) using weighted non-linear regression. Parameters were optimized through minimization of  $\Omega$  (Eq. (1)) using either the Gauss-Newton or the Marquardt method with automatic computation of analytical first- and second-order derivatives. Results obtained using these algorithms were found to be essentially the same as those determined using a simulated annealing algorithm (Metropolis et al., 1953). The neural network model was fit using the Bayesian-regularized neural network algorithm of MacKay (1994) coded in MatLab (The MathWorks, Natick, MA). Separate model parameters were fit for each year of data, except for Howland-Autochamber data, where we fit a separate set of model parameters for each chamber.

## 2.4. Model evaluation

### 2.4.1. *k*-Fold cross-validation

Ideally, models should be validated against a wholly independent data set. Often, this is impossible; in the case of statistical modeling, it is rarely done. More typically, models are inadequately “evaluated” by comparing *fitted* model values,  $y_{\text{pred}}$ , directly against the original  $y_i$ . An example of this type of within-sample validation would be evaluating models on the basis of the mean squared error of the model residual. An alternative out-of-sample approach, cross-validation, is preferable, because model predictions are not validated against the same data that were used to establish model parameters. We used a standard *k*-fold cross-validation approach (Hastie et al., 2001), in which the data are divided into *k* subsets, the model is fit using (*k*-1) subsets as the training set, and then validation is conducted using the one (*k*th) omitted subset. The procedure is then repeated *k* times, with a new set of model parameters fit at each step. In this way, every data point is included in the validation set exactly once. Models are then evaluated using the maximum likelihood figure of merit,  $\Omega$  (Eq. (1)), calculated across the *k* validation sets.

As noted above, the sorts of models evaluated here are often used to fill nighttime gaps in the flux data record. In validating the model predictions, we wanted to test the ability of each model to fill both small and large data gaps. We performed two different cross-validations, each with  $k = 12$  (a value of  $10 \leq k \leq 20$  is typically used). In the first, each data point was randomly assigned to one of the subsets; we refer to this as the “Random-12” (Rand-12) cross-validation. Consequently, this approach tests the stability of a model with small gaps distributed randomly throughout the year. In the second, the year was divided into 12 “months” of equal length, and each month was specified as one of the subsets (Month-12). This approach assesses a model’s performance with large gaps in the flux record, which may involve making extensive predictions beyond the domain of the data used for fitting.

Note that an assumption underlying *k*-fold cross-validation is that the training and validation data sets are independent and identically distributed. We acknowledge that because of the time-series nature of flux data, this assumption may not be entirely met. However, in the case of the Month-12 validation, the number of observations in each subset is probably much larger than the effective “memory” of any autocorrelation, meaning that for practical purposes the non-independence can be ignored.

### 2.4.2. Information theoretic approach

Akaike (1973) developed a method to choose among alternative models evaluated via the maximum likelihood approach. Akaike’s Information Criterion (AIC, Eq. (3)) was designed for model selection when data are normally distributed with constant variance (Burman and Nolan, 1995; Anderson et al., 2000),

$$\text{AIC} = n \log(\hat{\sigma}^2) + 2(p + 1) \quad (3)$$

where  $n$  is the number of observations,  $\hat{\sigma}^2$  equals the estimated within-sample residual sum of squares divided by  $n$ , and  $p$  is the number of parameters in the model. The model with the lowest AIC is considered the best model, given the data at hand, but it is important to note that AIC is not in any sense a formal or statistical hypothesis test (Anderson et al., 2000). Since  $n$  is fixed for any given data set, AIC essentially balances better model explanatory power (smaller  $\hat{\sigma}^2$ ) against increasing complexity (larger  $p$ ); in this way, AIC selects against models with an excessive number of parameters.

A number of alternative criteria have been developed (e.g., Hurvich and Tsai, 1990; Burman and Nolan, 1995) for cases when OLS assumptions are violated, and models are fit by some form of robust regression. In the present analysis, we use the following form (Eq. (4)), which is appropriate when models are fit using weighted absolute deviations optimization (after Hurvich and Tsai, 1990):

$$\text{AIC}_{\text{WAD}} = 2n \log(\Omega) + 2(p + 1) \quad (4)$$

where  $\Omega$  is the within-sample figure of merit from Eq. (1), and  $n$ ,  $p$  are as in Eq. (3).

For a neural network model,  $p$  equals the number of nonzero fitted weight parameters ( $N_{\text{weights}}$ ), which depends on the number of hidden nodes ( $N_{\text{hidden}}$ ), the number of input variables ( $N_{\text{inputs}}$ ), and the number of output variables ( $N_{\text{outputs}}$ ), as in is Eq. (5):

$$\begin{aligned} N_{\text{weights}} &= N_{\text{hidden}} \times (N_{\text{inputs}} + 1) + (N_{\text{outputs}}) \\ &\times (N_{\text{hidden}} + 1) \end{aligned} \quad (5)$$

## 2.5. Secondary statistical analyses

Optimization was based on minimizing the figure of merit,  $\Omega$ , given in Eq. (1), for each model. Then, for each data set and each year of data, we calculated a within-sample null model ( $R = \bar{R}$ , where  $\bar{R}$  is a constant for all  $y_i$ ) value for the figure of merit,  $\Omega^0$ . This was used to scale  $\Omega$  and generate, for the purpose of comparing across data sets, a relative figure of merit statistic,  $\rho'$ ,

that takes on a value between 0 and 1 (Eq. (6)):

$$\rho' = \frac{1 - \Omega}{\Omega^0} \quad (6)$$

Because it is a measure of how much of the scatter in the original data is explained by the model, this statistic could be considered the absolute deviations analogue to the multiple correlation coefficient,  $r^2$ , commonly employed in least-squares regression analyses of Gaussian data.

Model fit statistics (the  $\rho'$  statistic for Rand-12 and Month-12 cross-validation, as well as  $AIC_{WAD}$ ) and the modeled annual sum of respiration (“annual  $\Sigma R$ ”) were analyzed separately for each site, using two-way analysis of variance with “model” and “year” as categorical variables. Visual inspection of ANOVA residuals suggested that the assumptions of normally distributed residuals and homogeneity of residual variance were relatively well met, except for annual  $\Sigma R$ . We therefore conducted a non-parametric ANOVA on rank-transformed annual  $\Sigma R$  data; for comparative purposes, both analyses are reported in Table 4. Differences among models were assessed using a Bonferroni multiple comparison test to control the overall Type I error rate ( $\alpha = 0.05$ ). This approach is often considered excessively conservative, as it increases the probability of a Type II error (failure to reject the null hypothesis). However, it should be kept in mind that our objective is to identify broad groups of models that perform more or less similarly for a given data set (*i.e.*, “models ‘A’, ‘B’, and ‘C’ are roughly comparable”), rather than explicit hypothesis testing (*i.e.*, “at 95% confidence, model ‘A’ is significantly better than model ‘B’”).

Overall model rankings for each fit criterion were compared, both for individual sites (“how similar are the model rankings by  $AIC_{WAD}$  and Rand-12  $\rho'$  at Tower A?”) and across multiple sites (“how similar are rankings by  $AIC_{WAD}$  at Towers A, B, and C?”), using Kendall’s  $W$  coefficient of concordance (Sokal and Rohlf, 1995).

### 3. Results

#### 3.1. Overall patterns across sites

Regardless of the model used, it is possible to explain more of the variation in measured nocturnal  $F_{CO_2}$  for some data sets than others (Table 2). Across models, Rand-12  $\rho'$  values range from 0.17 to 0.23 at Harvard, compared to 0.25–0.38 at Howland-Main, and 0.15–0.51 at Lethbridge. Thus, the model with the lowest  $\rho'$  at Howland-Main explains more variation than the model

with the highest  $\rho'$  at Harvard. At Lethbridge, the difference between the best-fitting models and the worst-fitting models is larger than at either of the other two tower sites. Similarly, the models explain far more of the variation in the Howland-Autochamber data ( $\rho'$  range 0.23–0.54) than the Howland-Subcanopy data (0.15–0.21). The unexplained variation in measured nocturnal  $F_{CO_2}$  can be attributed to both the measurement system (e.g., random measurement uncertainty plus, in the case of the eddy covariance data, temporal variation in the flux footprint, and systematic but unknown biases associated with nocturnal measurements, possibly related to advection and storage; see Aubinet et al., 2001; Richardson et al., 2006; Oren et al., 2006) as well as the shortcomings of the models themselves (e.g., oversimplification/incorrect representation of processes, including omission of important covariates), which may not be adequate to describe the complex ensemble of processes that together combine to yield  $R_{eco}$ . We discuss variation in the explanatory power of the models later.

#### 3.2. Model evaluation

The relative figure of merit,  $\rho'$ , is always lower for Rand-12 cross-validation than the within-sample fits (*i.e.*, not cross-validated) (results not shown), as would be expected. On average, this difference is on the order of 1%, but for the neural network models the difference is commonly on the order of 3–5%. This loss of generality may be indicative of some degree of over-fitting. Similarly, the relative figure of merit,  $\rho'$ , is always higher for the Rand-12 than Month-12 cross-validations (Table 2). For Lethbridge, the difference between Rand-12  $\rho'$  and Month-12  $\rho'$  is especially pronounced, whereas for Harvard, this difference is negligible for most models. Although the fourth-order Fourier model ranks well by Rand-12  $\rho'$  for most data sets, it consistently ranks poorly by Month-12  $\rho'$ , and thus this model appears particularly unsuitable for large gaps.

Based on analysis of concordance statistics (Table 3), there is strong (and statistically significant) agreement between the three methods of ranking models for each tower site. However, for each of the tower data sets, the Rand-12 and  $AIC_{WAD}$  rankings are in much better agreement than either of these with the Month-12 rankings. Across sites there is reasonable (and statistically significant) agreement in whole-ecosystem respiration model rankings based on either the Rand-12 or  $AIC_{WAD}$  criteria but not the Month-12 criteria. The overall similarity of model rankings observed across the flux sites is also observed within a forest—*i.e.*,

Table 2  
Respiration model rankings based on three different criteria

Ranking by:	Lethbridge	Harvard	Howland-Main	Howland-Subcanopy	Howland-Autochamber
<b>Rand-12 <math>\rho'</math></b>	0.51 NN-SAJW	0.23 NN-SAJ	0.38 NN-SAJW	0.21 NN-SAJW	0.54 NN-SAJW
	0.49 NN-SAJ	0.21 NN-SA	0.38 NN-SAJ	0.21 NN-SAJ	0.53 NN-SAJ
	0.45 Fourier-4	0.20 NN-A	0.36 NN-SA	0.20 NN-SA	0.50 NN-SA
	0.42 Fourier-2	0.19 Q10-vTime	0.35 Fourier-4	0.20 Fourier-4	0.47 Q10-vTime
	0.36 NN-SA	0.19 Polynomial	0.34 Fourier-2	0.19 Polynomial	0.46 Q10-Gresp
	0.35 Q10-Gresp	0.19 Q10-A	0.34 Q10-vTime	0.19 Q10-vTime	0.46 Polynomial
	0.33 NN-S	0.19 Lloyd&Taylor	0.34 Polynomial	0.19 NN-S	0.46 NN-S
	0.32 Polynomial	0.19 NN-S	0.34 NN-S	0.19 Fourier-2	0.46 Q10-vTemp
	0.32 Q10-vTime	0.19 Linear	0.32 Lloyd&Taylor	0.19 Q10-vTemp	0.46 Logistic
	0.31 Q10-vTemp	0.19 Logistic	0.32 Q10-vTemp	0.19 Logistic	0.46 Arrhenius
	0.31 Fourier-1	0.19 Q10-vTemp	0.32 Logistic	0.19 Lloyd&Taylor	0.46 Q10-S
	0.31 Logistic	0.18 Arrhenius	0.30 NN-A	0.18 Q10-Gresp	0.46 Lloyd&Taylor
	0.30 Lloyd&Taylor	0.18 Q10-S	0.30 Linear	0.18 Arrhenius	0.43 Linear
	0.29 Arrhenius	0.18 Fourier-4	0.30 Q10-Gresp	0.18 Linear	0.42 Fourier-4
	0.28 Q10-S	0.18 L&T-Rest	0.30 Arrhenius	0.18 Q10-S	0.41 Fourier-2
	0.26 L&T-Rest	0.18 Fourier-2	0.30 Q10-S	0.17 L&T-Rest	0.38 L&T-Rest
	0.26 Linear	0.17 Fourier-1	0.29 Q10-A	0.17 Fourier-1	0.36 Fourier-1
	0.18 NN-A	NA NN-SAJW	0.26 Fourier-1	0.16 NN-A	0.26 NN-A
	0.15 Q10-A	NA Q10-Gresp	0.25 L&T-Rest	0.15 Q10-A	0.23 Q10-A
	<b>Month-12 <math>\rho'</math></b>	0.35 NN-SAJW	0.19 NN-SA	0.34 NN-SA	0.18 Q10-vTemp
0.35 Fourier-2		0.19 NN-A	0.33 NN-SAJ	0.18 Lloyd&Taylor	0.44 Q10-S
0.34 Fourier-4		0.19 Q10-A	0.32 NN-SAJW	0.18 Logistic	0.44 Arrhenius
0.33 NN-SAJ		0.18 Linear	0.31 Fourier-2	0.18 NN-S	0.44 Q10-Gresp
0.30 Q10-Gresp		0.18 Lloyd&Taylor	0.31 Q10-vTime	0.18 Polynomial	0.44 Lloyd&Taylor
0.23 Arrhenius		0.18 Q10-vTime	0.31 NN-S	0.18 Linear	0.43 Q10-vTemp
0.22 Q10-S		0.18 Q10-vTemp	0.30 Polynomial	0.18 Arrhenius	0.43 Logistic
0.21 L&T-Rest		0.18 Logistic	0.30 Lloyd&Taylor	0.17 Q10-Gresp	0.43 NN-SAJ
0.21 Fourier-1		0.18 NN-S	0.30 Logistic	0.17 NN-SA	0.43 NN-SAJW
0.21 Lloyd&Taylor		0.18 NN-SAJ	0.30 Q10-vTemp	0.17 Q10-S	0.42 NN-S
0.19 Logistic		0.17 Arrhenius	0.29 Fourier-4	0.17 Q10-vTime	0.42 Polynomial
0.19 Linear		0.17 L&T-Rest	0.28 NN-A	0.17 Fourier-2	0.42 Q10-vTime
0.19 Q10-vTemp		0.17 Q10-S	0.27 Arrhenius	0.16 NN-SAJ	0.40 Linear
0.17 NN-SA		0.17 Polynomial	0.27 Q10-A	0.16 NN-SAJW	0.36 Fourier-2
0.15 Q10-vTime		0.16 Fourier-2	0.27 Q10-Gresp	0.16 L&T-Rest	0.33 L&T-Rest
0.15 NN-S		0.16 Fourier-1	0.27 Q10-S	0.13 NN-A	0.28 Fourier-4
0.15 Polynomial		0.14 Fourier-4	0.27 Linear	0.13 Fourier-4	0.24 Fourier-1
0.11 Q10-A		NA NN-SAJW	0.22 L&T-Rest	0.13 Fourier-1	0.14 NN-A
0.08 NN-A		NA Q10-Gresp	0.18 Fourier-1	0.13 Q10-A	0.13 Q10-A
<b>AIC<sub>WAD</sub></b>		-2485 NN-SAJW	-2144 NN-SAJ	-1692 NN-SAJ	-728 Q10-vTime
	-2375 NN-SAJ	-2088 NN-SA	-1666 NN-SAJW	-727 Polynomial	-704 NN-SAJ
	-2209 Fourier-4	-2053 Q10-vTime	-1636 NN-SA	-726 Fourier-4	-271 NN-SA
	-2057 Fourier-2	-2051 NN-A	-1585 Fourier-4	-723 Q10-vTemp	-15 Q10-vTime
	-1813 Q10-Gresp	-2050 Q10-A	-1558 Fourier-2	-722 Lloyd&Taylor	73 Q10-Gresp
	-1811 NN-SA	-2047 Polynomial	-1557 Q10-vTime	-721 Logistic	92 Polynomial
	-1720 NN-S	-2041 Logistic	-1554 Polynomial	-719 Fourier-2	101 NN-S
	-1693 Polynomial	-2041 Lloyd&Taylor	-1540 NN-S	-713 NN-S	118 Q10-vTemp
	-1678 Q10-vTime	-2041 Linear	-1520 Lloyd&Taylor	-710 NN-SA	121 Logistic
	-1649 Q10-vTemp	-2038 Q10-vTemp	-1514 Logistic	-709 NN-SAJ	123 Arrhenius
	-1626 Logistic	-2028 NN-S	-1513 Q10-vTemp	-706 Arrhenius	124 Q10-S
	-1605 Lloyd&Taylor	-2015 Arrhenius	-1453 Linear	-706 Q10-Gresp	131 Lloyd&Taylor
	-1594 Fourier-1	-2011 Q10-S	-1440 NN-A	-705 Linear	421 Linear
	-1561 Arrhenius	-2004 Fourier-4	-1419 Q10-Gresp	-703 Q10-S	567 Fourier-4
	-1549 Q10-S	-2004 L&T-Rest	-1417 Arrhenius	-683 NN-SAJW	642 Fourier-2
	-1473 L&T-Rest	-1992 Fourier-2	-1403 Q10-S	-670 L&T-Rest	899 L&T-Rest
	-1440 Linear	-1973 Fourier-1	-1379 Q10-A	-664 Fourier-1	1126 Fourier-1
	-1151 NN-A	NA NN-SAJW	-1268 Fourier-1	-647 NN-A	1890 NN-A
	-1086 Q10-A	NA Q10-Gresp	-1234 L&T-Rest	-625 Q10-A	2128 Q10-A

Rand-12 and Month-12 denote two cross-validation schemes; AIC<sub>WAD</sub> is a version of Akaike’s Information Criterion appropriate for weighted absolute deviations optimization. Models are described in Table 1. Continuous soil moisture data not available for Harvard, and so Q10-Gresp and NN-SAJW models not used. Data were analyzed by analysis of variance (ANOVA), with “Model” and “Year” as main effects. Vertical lines denote models that are not significantly different (95% confidence), based on multiple comparison test. Lethbridge, Harvard, and Howland-Main data reflect whole-ecosystem respiration, whereas Howland-Subcanopy and Howland-Autochamber reflect soil respiration.

among Howland-Main, Howland-Subcanopy, and Howland-Autochamber—when models are ranked by AIC<sub>WAD</sub> (Fig. 1).

Several important and consistent patterns emerge from Table 2. Perhaps most notable (given the

widespread use of these particular models) is that the basic Q10 model (whether driven by air or soil temperature), and the restricted form of the Lloyd and Taylor model, tends to appear near the bottom of the rankings for all data sets. The three-parameter Lloyd and

Table 3  
Concordance of model rankings across sites and methods, based on Kendall's  $W$  coefficient

Comparison	$W$
Within individual sites	
Howland, all three rankings	0.95**
Harvard, all three rankings	0.89**
Lethbridge, all three rankings	0.79**
Howland, AIC <sub>WAD</sub> vs. Rand-12	0.99**
Howland, AIC <sub>WAD</sub> vs. Month-12	0.95**
Howland, Rand-12 vs. Month-12	0.95**
Harvard, AIC <sub>WAD</sub> vs. Rand-12	0.98**
Harvard, AIC <sub>WAD</sub> vs. Month-12	0.88**
Harvard, Rand-12 vs. Month-12	0.88**
Lethbridge, AIC <sub>WAD</sub> vs. Rand-12	0.99**
Lethbridge, AIC <sub>WAD</sub> vs. Month-12	0.77*
Lethbridge, Rand-12 vs. Month-12	0.76*
Across all sites	
Ranking by AIC <sub>WAD</sub>	0.67**
Ranking by Rand-12	0.68**
Ranking by Month-12	0.32 NS

Significance level of coefficient: \*\* $P \leq 0.001$ ; \* $P \leq 0.01$ ; NS: not significant.

Taylor, logistic, and  $Q_{10}$ -vTemp models all have a sigmoid temperature response, and are ranked in the middle of the pack for all data sets and evaluation metrics.

The modified  $Q_{10}$  models show varying degrees of improvement over the basic  $Q_{10}$  model. For example, inclusion of a soil moisture term (the  $Q_{10}$ -Gresp model) results in greatly improved performance for Lethbridge, but little or no improvement for Howland-Main. Results from the  $Q_{10}$ -vTemp and  $Q_{10}$ -vTime models support the idea that the temperature sensitivity of respiration is not fixed, but rather decreases with increasing temperature and is lower in summer than winter. By accounting for variable temperature sensitivity, these models tend not to exhibit the seasonal biases in model predictions that frequently characterize the basic  $Q_{10}$  model.

There are also clear benefits to using models that go beyond the basic temperature–respiration relationship:

incorporating additional data, such as soil water content or Julian date, results in a superior model. For example, the more highly parameterized neural network models (NN-SAJ and NN-SAJW) consistently rank at the top of the Rand-12 rankings (and, with the exception of Howland-Subcanopy, the AIC<sub>WAD</sub> rankings), although somewhat lower in the Month-12 rankings. The neural network models are particularly useful for multiple environmental drivers because no functional form need be specified.

### 3.3. Model predictions

#### 3.3.1. Annual sums of respiration

The modeled annual sum of respiration (“annual  $\Sigma R$ ”) depends on the particular model used, but differences among models are not very consistent across sites (Table 4; note that annual sums are not calculated for the Howland-Autochamber measurements because this system was only operated during the growing season). For example, the  $Q_{10}$ -A model (which we have already seen is a poor choice, e.g., Table 2), predicts the highest mean annual  $\Sigma R$  for Harvard and Howland-Main, but very low mean annual respiration sums for Lethbridge and the Howland-Subcanopy. The fourth-order Fourier model predicts the highest mean annual  $\Sigma R$  for all data sets with the exception of Harvard, for which it gives among the lowest mean annual  $\Sigma R$ . However, for all data sets, the sigmoidal models (Lloyd and Taylor, logistic, and  $Q_{10}$ -vTemp) are ranked near the median while the more highly parameterized neural networks (e.g., NN-SAJ and NN-SAJW models) give consistently higher predictions for mean annual  $\Sigma R$ .

There is relatively little difference among models for Harvard (range [maximum–minimum] of mean predicted annual  $\Sigma R = 75 \text{ g C m}^{-2} \text{ y}^{-1}$ ), whereas for Howland-Main (range =  $355 \text{ g C m}^{-2} \text{ y}^{-1}$ ) the effect of choosing among different models is more pronounced (Table 4). At Lethbridge, the absolute range

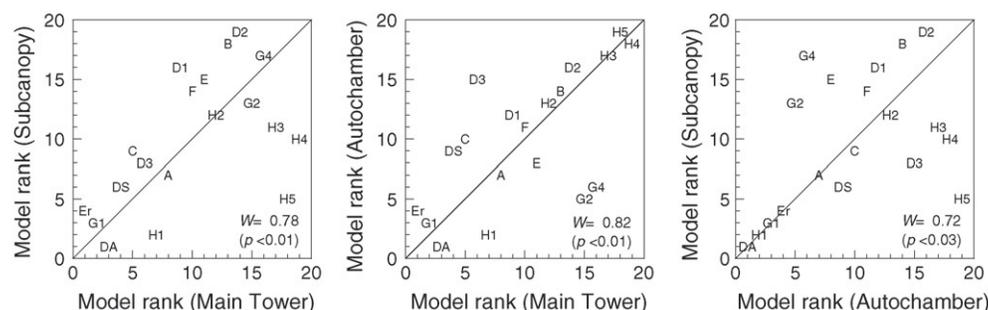


Fig. 1. Concordance of model rankings (based on AIC<sub>WAD</sub>) fit to three data sets from the Howland Forest: Howland-Main, Howland-Subcanopy, and Howland-Autochamber.  $W$  is Kendall's coefficient of concordance. Models are identified by codes given in Table 1.

Table 4

Modeled annual sum of respiration ( $\text{g C m}^{-2} \text{y}^{-1}$ , mean across all years for a given site) for four eddy covariance data sets and 19 different respiration models (model details are contained in Table 1)

Ranked by	Lethbridge	Harvard	Howland-Main	Howland-Subcanopy
<b>Annual sum</b>	360 Fourier-4 359 NN-SAJ 349 NN-SAJW 348 Fourier-2 313 Q10-Gresp 305 NN-SA 299 Q10-vtime 294 NN-S 294 Polynomial 292 Arrhenius 292 Logistic 291 Q10-S 289 Lloyd&Taylor 288 Q10-vtemp 279 Fourier-1 278 L&T-Rest 253 Linear 250 Q10-A 231 NN-A	879 Q10-A 878 NN-SAJ 871 NN-SA 864 NN-A 849 L&T-Rest 842 Q10-vtime 834 Arrhenius 832 Linear 832 Polynomial 831 NN-S 831 Q10-S 830 Logistic 830 Lloyd&Taylor 828 Q10-vtemp 825 Fourier-4 821 Fourier-2 804 Fourier-1 NA Q10-Gresp NA NN-SAJW	1130 Q10-A 1072 NN-SAJW 1069 NN-SAJ 1042 NN-SA 1031 Fourier-4 1030 NN-A 1029 Q10-Gresp 1029 Arrhenius 1026 Q10-S 1016 Fourier-2 1016 Q10-vtime 1014 Q10-vtemp 1011 NN-S 1011 Logistic 1004 Lloyd&Taylor 1001 Polynomial 913 Linear 782 L&T-Rest 775 Fourier-1	375 Fourier-4 373 Fourier-2 364 NN-SAJW 364 NN-SAJ 362 Q10-vtime 358 Q10-vtemp 358 Polynomial 356 Logistic 355 NN-S 354 Q10-Gresp 354 Arrhenius 353 Q10-S 353 Lloyd&Taylor 349 NN-SA 338 Linear 331 Fourier-1 326 L&T-Rest 283 NN-A 269 Q10-A
<b>Ranked sum</b>	17.8 NN-SAJ 17.0 Fourier-4 15.0 NN-SAJW 15.0 Fourier-2 12.9 Q10-Gresp 11.8 NN-SA 10.5 Logistic 10.2 Polynomial 9.7 Arrhenius 9.7 NN-S 9.5 Q10-vtime 9.0 Fourier-1 9.0 Q10-S 8.7 Q10-vtemp 8.5 Lloyd&Taylor 7.8 L&T-Rest 3.5 Q10-A 3.4 Linear 1.2 NN-A	16.4 Q10-A 16.3 NN-SAJ 15.8 NN-SA 14.5 NN-A 12.3 L&T-Rest 12.1 Q10-vtime 9.0 Polynomial 8.8 Arrhenius 8.3 Linear 7.8 NN-S 7.6 Lloyd&Taylor 7.4 Q10-S 7.2 Fourier-4 6.9 Logistic 6.2 Q10-vtemp 4.7 Fourier-2 2.2 Fourier-1 NA Q10-Gresp NA NN-SAJW	18.3 Q10-A 16.7 NN-SAJ 16.6 NN-SAJW 14.1 NN-SA 12.0 Fourier-4 11.9 NN-A 11.8 Q10-Gresp 11.7 Arrhenius 10.9 Q10-S 9.7 Logistic 9.3 Fourier-2 9.1 Q10-vtemp 8.8 NN-S 8.8 Q10-vtime 8.3 Polynomial 6.0 Lloyd&Taylor 3.0 Linear 1.7 L&T-Rest 1.3 Fourier-1	16.4 Fourier-4 14.4 Fourier-2 14.3 Q10-vtemp 13.3 Polynomial 12.9 Q10-vtime 12.4 Logistic 12.3 NN-SAJW 11.9 Arrhenius 11.7 NN-SAJ 11.2 NN-S 10.8 Q10-Gresp 10.3 Q10-S 9.8 Lloyd&Taylor 8.4 NN-SA 5.8 Fourier-1 5.6 Linear 5.4 L&T-Rest 1.9 NN-A 1.3 Q10-A

Continuous soil moisture data not available for Harvard, and so Q10-Gresp and NN-SAJW models not used. Data were analyzed by analysis of variance (ANOVA), with “Model” and “Year” as main effects. Vertical lines denote models that are not significantly different (95% confidence), based on multiple comparison test. “Annual sum” results differ from “Ranked sum” because for “Ranked sum” the ANOVA was conducted on rank-transformed data (untransformed data appeared not to meet assumptions of normally distributed residuals and homogeneity of variance). For comparative purposes, both analyses are presented here, but note that Kendall’s coefficient of concordance indicates very good agreement ( $W \geq 0.97$ ,  $P \leq 0.001$ ) between the two approaches for all four data sets.

( $129 \text{ g C m}^{-2} \text{y}^{-1}$ ) is moderate, but the relative magnitude of this range ( $\approx 40\%$  of the mean annual  $\Sigma R$ ) is very large (cf.  $\approx 10\%$  at Harvard).

### 3.3.2. Correlations between goodness-of-fit and annual sums

For each of the four eddy covariance data sets, there is a significant ( $p \leq 0.01$ ) positive correlation between mean (across all years) within-sample relative figure of merit,  $\rho'$ , and mean annual  $\Sigma R$  for each data set (Fig. 2). Thus, the models that fit better (based on within-sample  $\rho'$ ) at a given site tend to predict larger annual sums of

respiration, compared to models that fit less well. For the Lethbridge ( $r = 0.96$ ) and Howland-Subcanopy ( $r = 0.84$ ) data sets, this relationship is especially strong. For Howland-Main, the correlation is  $r = 0.65$ , but the Q10-A model (model DA in Fig. 1C) is an obvious exception to the general pattern: excepting Q10-A, the correlation rises to  $r = 0.80$ .

### 3.4. What is the appropriate temperature?

Most of the models tested here are based on a relationship between temperature and ecosystem

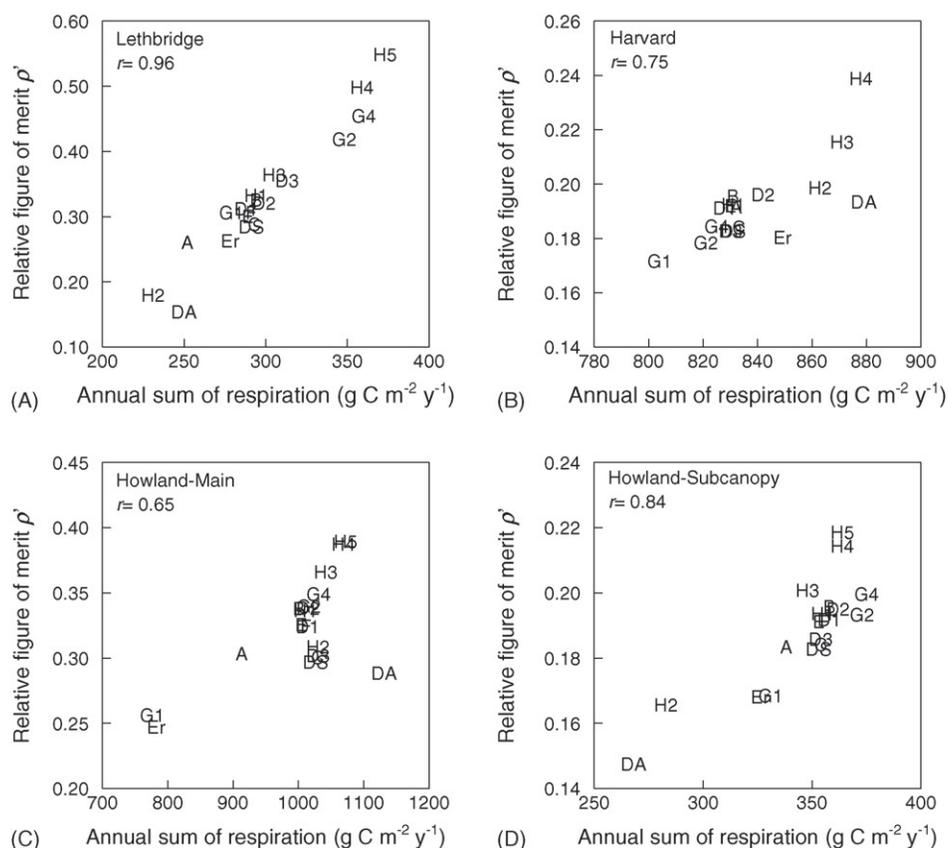


Fig. 2. For each eddy covariance data set, there is a positive correlation between model goodness-of-fit (mean relative figure of merit,  $\rho'$ ; see Eq. (6)) and the modeled annual sum of respiration (mean annual  $\Sigma R$ ,  $\text{g C m}^{-2} \text{y}^{-1}$ ). Models are identified by codes given in Table 1.

respiration (Table 1). It is not clear what the appropriate temperature metric is; respiration has both above and belowground components, and to date there is no consensus on the best measure to use as a “bulk” ecosystem temperature (Van Dijk and Dolman, 2004; Reichstein et al., 2005). For example, results presented in Table 2 demonstrate that a  $Q_{10}$  model based on soil temperature fits better than one based on air temperature for four of the five data sets used here (only at Harvard is this not true; see also Van Dijk and Dolman, 2004). Furthermore, the neural network analysis shows that more of the variation in ecosystem respiration at all sites can be accounted for when both air and soil temperature (NN-SA) are used together than when either is used alone (*i.e.*, NN-S or NN-A). We note, however, that because soil temperature varies with soil depth (deeper horizons exhibit more muted diurnal and seasonal patterns), model fit and model predictions may vary depending on the depth at which the temperature is measured. We used soil temperature profiles at Howland-Main (2003–2004 only), Howland-Autochamber, and Lethbridge to investigate these relationships.

At Howland-Main, for both 2003 and 2004, the within-sample  $\rho'$  steadily decreases (*i.e.*, model fit becomes worse) with increasing temperature depth; the difference between  $\rho'$  for  $T_{\text{soil}}$  at 2 cm and  $T_{\text{soil}}$  at 40 cm was  $\approx 15\%$  for the  $Q_{10}$ -S model. Similarly, for Howland-Autochamber, the average (across all chambers) within-sample  $\rho'$  decreases by over 40% between  $T_{\text{soil}}$  at 2 cm and  $T_{\text{soil}}$  at 40 cm for the  $Q_{10}$ -S model. However, in contrast to these results, for Lethbridge, there is a slight (4%), but consistent, increase in within-sample  $\rho'$  as  $T_{\text{soil}}$  measurement depth is increased from 2 cm to 16 cm.

Just as model fit varies depending on the depth at which soil temperature was measured, there are also associated effects on annual  $\Sigma R$ . For example, at both Howland-Main (where model fit becomes progressively worse as a deeper soil temperature is used) and Lethbridge (where model fit becomes progressively better as a deeper soil temperature is used) modeled annual  $\Sigma R$  decreases monotonically with  $T_{\text{soil}}$  measurement depth. At Howland-Main, the difference in modeled annual  $\Sigma R$  between  $T_{\text{soil}}$  at 2 cm and  $T_{\text{soil}}$  at

40 cm is  $\approx 14\%$ . At Lethbridge, the overall pattern is the same, but in some years (1999, 2000) the difference in modeled annual  $\Sigma R$  between  $T_{\text{soil}}$  at 2 cm and  $T_{\text{soil}}$  at 16 cm is larger ( $\approx 40\%$ ) than other years (2003, 2004; difference  $\approx 5\%$ ). Note that 1999 and 2000 were dry years with low absolute fluxes, whereas 2003 and 2004 had higher soil moisture and higher absolute fluxes.

#### 4. Discussion

Morgenstern et al. (2004) reported that 29 eddy covariance studies published between 1993 and 2001 all used different methods to model nocturnal  $\text{CO}_2$  efflux (*i.e.*, respiration), but they suggested that eddy covariance data were too noisy to permit definitive statements about the suitability of different modeling approaches (see also Falge et al., 2001). We have shown here that when objective model selection criteria are applied, and results compared across a range of ecosystem types and data sources, some consistent patterns emerge. Two of the most widely used models of ecosystem and soil respiration, the basic  $Q_{10}$  model and the “restricted” form of the Lloyd and Taylor model (Eq. (11) in Lloyd and Taylor, 1994) do a poor job of accounting for observed variation in ecosystem and soil respiration in comparison with other simple models (Table 2). The drawbacks of the basic  $Q_{10}$  model have been enumerated previously (Lloyd and Taylor, 1994; Janssens and Pilegaard, 2003; Davidson et al., 2006a). The “restricted” Lloyd and Taylor model has one free parameter, a scaling coefficient reflecting the base respiration rate ( $\theta_1$  in Table 1, model Er). The two parameters in the exponential were fit ( $\theta_2 = 308.56$ ,  $\theta_3 = 46.02$ ; these control the temperature response) by Lloyd and Taylor (1994) using a soil respiration data set. We found that freeing the parameters  $\theta_2$  and  $\theta_3$  substantially improve the fit to the respiration data, a result previously reported by Falge et al. (2001). However, with all parameters free to vary, the model is poorly constrained and parameter estimates are highly correlated with one another. In a previous study (Richardson and Hollinger, 2005), we found that any one of the three parameters may be fixed with little ill effect, yielding a well-constrained two-parameter equation (see also Reichstein et al., 2005).

The analysis here supports the contention that the temperature sensitivity of respiration declines at higher temperatures (Lloyd and Taylor, 1994; Kirschbaum, 1995; Tjoelker et al., 2001) and thus a sigmoidal, rather than purely exponential (*i.e.*, basic  $Q_{10}$  model) equation is recommended. The  $Q_{10}$ -vTemp, Lloyd and Taylor,

and logistic models are all essentially comparable three-parameter formulations of a sigmoidal function and provide better fits to (and predictions of) both whole-ecosystem and soil respiration, compared to the  $Q_{10}$  model.

Previous studies have noted that the short-term temperature sensitivity of respiration tends to be less than the long-term sensitivity (at least in summer-active ecosystems, Reichstein et al., 2005), because the long-term sensitivity is confounded with seasonal patterns of phenology and environmental conditions (Drewitt et al., 2002; Janssens and Pilegaard, 2003; Curiel Yuste et al., 2004). Some of these authors have suggested that a solution to this problem is to fit the basic  $Q_{10}$  model on a shorter time step (e.g., days or weeks to months; see also Falge et al., 2001). One advantage of the  $Q_{10}$ -vTime model (in which the temperature sensitivity was constrained to vary seasonally) compared to this approach is that relatively few parameters need to be fit: four in total, versus  $2\tau$ , where  $\tau$  is the number of separate model fits during the year (at a minimum,  $\tau = 4$  for a model fit separately to each season). Furthermore, the  $Q_{10}$ -vTime model is not subject to problems such as those reported by Janssens and Pilegaard (2003), who found that fitting the basic  $Q_{10}$  model to shorter (4–7 days) time periods could produce erroneous parameter estimates if the temperature range during a given period was too small. An additional problem with fitting  $Q_{10}$  at a short time step is that spurious (*i.e.*, offsetting) seasonal variation in the base rate and temperature sensitivity parameters may result as an artifact simply because of the multiplicative nature of the model structure and the resulting inherent correlation of parameter estimates. This is why we did not consider a model where both parameters could be simultaneously time varying. However, an alternative approach to the one we followed here would be to allow the base rate to be time varying but have the temperature sensitivity fixed over the course of the year.

Our  $Q_{10}$ -vTime model ranks near the top (in terms of  $\text{AIC}_{\text{WAD}}$ ) for all data sets. With this approach, seasonal biases (e.g., at Howland-Main: under-estimation of  $R_{\text{eco}}$  in spring and fall and over-estimation of  $R_{\text{eco}}$  during summer) associated with the standard  $Q_{10}$  model are more or less eliminated. The temperature sensitivity is highest in the winter, and lowest in the summer, as would be expected (Janssens and Pilegaard, 2003; but cf. Van Dijk and Dolman, 2004, who concluded that it was the base rate of respiration, rather than the temperature sensitivity, that varied seasonally). While this is in principle similar to results from the  $Q_{10}$ -vTemp model (*i.e.*, temperature sensitivity decreases with

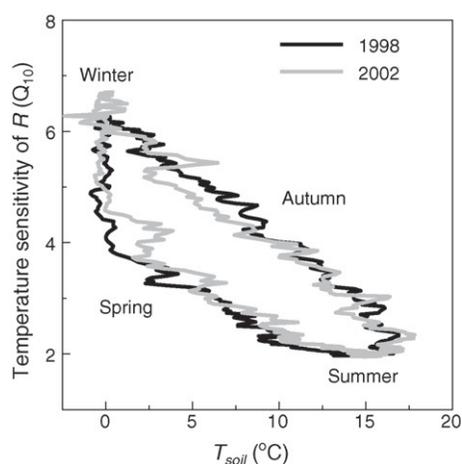


Fig. 3. Seasonal hysteresis in the relationship between soil temperature and the temperature sensitivity of respiration,  $Q_{10}$ , as estimated from a model where the temperature sensitivity is time-varying. The temperature sensitivity is larger in winter than in summer, and generally declines with increasing soil temperature. However, at a given soil temperature, the temperature sensitivity is greater in the autumn than the spring. Results are shown for two typical years from the Howland-Main data set.

increasing soil temperature), it is interesting to note that the temperature sensitivity in the  $Q_{10}$ -vTime model exhibits seasonal hysteresis in its relationship with soil temperature (Fig. 3), which suggests that the linear relationship between temperature sensitivity and soil temperature that is implicit in the  $Q_{10}$ -vTemp model may be an over-simplification (note that by  $AIC_{WAD}$ ,  $Q_{10}$ -vTime is always ranked ahead of  $Q_{10}$ -vTemp; see Table 2). The hysteresis may be a manifestation of differences between  $R_{soil}$  and  $R_{eco}$  in the seasonal patterns of temperature sensitivity (Davidson et al., 2006a). For example, based on results from Howland-Main and Howland-Subcanopy, it appears that the amplitude of seasonal variation in the temperature sensitivity is larger for  $R_{eco}$  than  $R_{soil}$ , and the point of minimum temperature sensitivity is reached about 1 month later for  $R_{eco}$  than  $R_{soil}$ .

Morgenstern et al. (2004) noted that the choice of a particular respiration model could be a source of bias in annual sums of NEE and its components, since different gap filling approaches would yield different results. Our results go one step beyond this: the correlation between model goodness-of-fit and annual  $\Sigma R$  (Fig. 2) suggests that selecting a poorly fitting model may result in a systematic under-estimation of the “true” annual respiratory flux (although we acknowledge that the “true” flux can never be known). We believe that this relationship arises from the fact that in temperate ecosystems that experience cold winters there is a

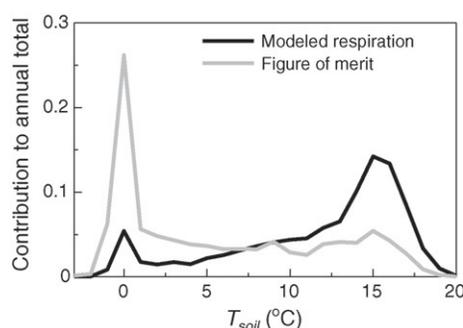


Fig. 4. Leverage of different temperature classes on the modeled annual sum of respiration (annual  $\Sigma R$ ), and the figure of merit (cost function) used for model fitting. Soil temperatures of 0 °C exert a large influence on model fit, but make only a small contribution to the annual  $\Sigma R$ . By comparison, warmer soil temperatures exert less of an influence on model fit, but make a far greater contribution to the annual respiratory flux, since respiration is an increasing function of temperature.

mismatch between the leveraging of different soil temperatures on the optimized figure of merit (*i.e.*,  $\Omega$ ) and on annual  $\Sigma R$ . For example, to use Howland-Main as an example (Fig. 4), for roughly half the year (51% of all observations),  $T_{soil}$  is below 5 °C. These cold-soil periods account for about 55% of the total  $\Omega$ . However, because of the strong temperature–respiration relationship, cold-soil periods account for just 15% of the modeled annual  $\Sigma R$ . On the other hand,  $T_{soil}$  is above 15 °C for only 18% of the year. These warm-soil periods account for only 14% of the total  $\Omega$ , but 40% of the modeled annual  $\Sigma R$ . All models tend to fit more or less equally well during cold-soil periods, when the flux is low, but poor models (which are not flexible enough to simultaneously fit well across the entire temperature range) tend to under-estimate the flux under warm-soil periods. The model fit is, therefore, highly leveraged by cold-soil periods (which have minimal influence on annual  $\Sigma R$ ), whereas annual  $\Sigma R$  is highly leveraged by warm-soil periods (which have minimal influence on model fit).

A consequence of the systematic bias in  $R_{eco}$  that may be imparted from selecting a poorly fitting model is that biased estimates of  $R_{eco}$  will affect the partitioning of NEE. Since gross ecosystem exchange (GEE) may be estimated from  $R_{eco}$  (*i.e.*,  $GEE = NEE - R_{eco}$ , where daytime  $R_{eco}$  is a modeled result), the choice of model for  $R_{eco}$  can have significant additional consequences (for an evaluation of NEE partitioning approaches, see Reichstein et al., 2005; Stoy et al., 2006). For example, lack of consistency in the  $R_{eco}$  model could lead to erroneous conclusions about site-to-site differences in GEE (Falge et al., 2001).

The differences between Rand-12 and Month-12  $\rho'$  rankings illustrates that long gaps are more difficult to fill than short gaps, a result which is well-known. This can be attributed to non-stationarity of the underlying physiology (factors controlling respiratory processes may be changing over time, e.g., acclimation, phenology of root growth, addition of new litter inputs, spring melting of snow cover; see Tjoelker et al., 2001; Janssens and Pilegaard, 2003; Davidson et al., 2006b), coupled with the fact that un-modeled (or poorly constrained) and longer-term processes probably also influence  $R$ . These problems are especially acute when long gaps are located in a portion of the multi-dimensional “environment space” that extends beyond the domain used for parameterization. High-order polynomial and Fourier models, as well as neural networks, may be more subject to over-fitting, and thus prone to poor behavior when extrapolated in this manner.

Seasonal patterns in ecosystem respiration result from temporal changes in both physical factors (e.g., the temperature of different respiring components) and biological factors (e.g., the base activity of different respiring components), as well as interactions between these two factors. Our analysis indicates that model fit, and also model predictions, vary somewhat depending on the temperature used as a driver for respiration. For example, the neural network model driven by both air and soil temperature consistently performs better than a model driven by just one of these temperatures. On the other hand, our results indicate that use of a deeper soil temperature improved model fit at a grassland site (Lethbridge), although the reverse was true at a forested site (Howland). These results contribute to the ongoing debate about the best measure of bulk ecosystem temperature.

## 5. Conclusion

Selecting from among a range of candidate models requires the application of objective model selection criteria. We used cross-validation methods and a version of Akaike’s Information Criterion to evaluate different models for both soil and whole-ecosystem respiratory fluxes of  $\text{CO}_2$ . We found that the basic  $Q_{10}$  model is a particularly poor choice, despite its widespread use in the literature, as it was consistently ranked poorly by all selection criteria and for the five different data sets we used. The restricted, one-parameter Lloyd and Taylor model should similarly be avoided. Neural network models are comparatively little-used, but consistently ranked the highest,

especially when additional covariates (besides soil temperature) were included (e.g., NN-SAJW). Neural networks may be the best tool for filling short gaps, but a potential problem is the possibility of over-parameterization, which may result in poor predictions for large gaps. A revised version of the  $Q_{10}$  model, in which the temperature sensitivity of respiration was allowed to vary over time, was a clear improvement over the standard  $Q_{10}$  model. This improved performance (consistently ranked well by  $\text{AIC}_{\text{WAD}}$ ) came at the expense of only a few extra fitted parameters. Compared to the neural networks, this approach has the advantage that the model parameters can still be interpreted to obtain insight into ecosystem processes; the “black box” nature of neural networks makes such interpretation impossible.

Selecting a good model is especially important because of the observed correlation between model goodness-of-fit and model predictions at the annual time step. Because the sorts of models we investigated here are widely used to fill flux data records, to partition NEE to  $R_{\text{eco}}$  and GEE, and as components of ecosystem models (such as PnET and Biome-BGC), we suggest that carbon-cycle scientists and other ecosystem ecologists need to pay more careful attention to issues of model selection.

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