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1 Test of model of equivalence of tree height growth and transpiration rates in

- 2 percolation-based phenomenology for root-soil interaction
- 3

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6

7 Introduction

8 We recently introduced a phenomenological model to represent root-soil interactions that accounts 9 for variability in tree growth on local scales and within species (Hunt et al., 2020). Here, using publicly available datasets, we examine the developed model to provide additional empirical 10 evidence, which also gives novel insight into two particular tree species, Eucalyptus regnans and 11 Eucalyptus sieberri. In particular, we discovered two novel aspects of the model: a power-law time 12 dependence with a different power-law exponent than usually heretofore applied, and apparently 13 a direct equivalence of results for transpiration and growth rates. Also, although our original 14 expectation was that growth and transpiration were merely proportional, comparison of the entire 15 BAAD data set (Falster et al. 2015) for tree height with our model (Hunt et al. 2020, Fig. 1) already 16 suggested approximate equality of these disparate measurements (volume/area, height). In the 17 present manuscript we find further evidence for equivalence of the two measurements and provide 18 additional theoretical basis for a model assumption regarding constancy of sap flow rates. 19

20 Conceptual Approach and Mathematical Model

21 The pore space of soils is well modeled by a network with at least some random characteristics using methods of percolation theory (Sahimi, 1991, 1994; Stauffer and Aharony; 1994). The pore 22 necks represent the greatest resistances, and water flow tends to be concentrated along paths with 23 the least cumulative resistance (Hunt et al. 2013). These paths, whenever they intersect with 24 nutrient sources, will also carry fluxes thereof (Hunt and Manzoni, 2015). It is thus conjectured 25 that roots will also follow such paths, both for reasons of minimizing energy expenditure, and on 26 27 account of an increased likelihood of locating nutrient sources (Hunt and Manzoni, 2015). This 28 argument is the product of the understanding that the growth of a directed network (tree root system) 29 into a random network (the soil) is best understood in a network theory (Hunt and Manzoni, 2015), 30 a perspective that is completely distinct from the more typical approach of embedding roots in a continuum (Koch et al. 2018) imbued with 40+ property parameters generated from capillary 31 bundle models. 32

- In the current paper, the developed model is applied specifically to the Eucalyptus ecosystems of southeastern Australia's Yarra Ranges, which are located in regions of high precipitation and relatively abundant water resources, but where fire plays vital role. After fire, seeds stored in woody capsules at the crowns of trees fall to the ground, where they germinate by the dozens per
- 37 square meter (Vertessey et al. 2001). Under intense competition for sunlight and water, seedlings

and mature trees grow as rapidly as possible. Under such conditions, because of competition for

- nutrients and water within the soil, the pore network likely provides the strongest limits on growth.By the time trees reach 80 meters in height, the number of survivors per hectare has been reduced
- 40 By the time trees reach 80 meters in height, the number of survivors per hectare has 41 from hundreds of thousands to near one
- 41 from hundreds of thousands to near one.

In our conceptual approach, the growth of trees is proposed to be restricted primarily by constraints imposed by root searches for resources (such as water and nutrients), and the soil root growth paths are generally characterized by a minimum cumulative impedance. Based on the concept of percolation theory, the soil flow path network is fractal, and, thus, tortuous. The tortuosity is defined through an exponent that is proposed to relate the actual root length *L* to the root radial extent (RRE). The exponent is known as the optimal path exponent (Porto et al., 1997) and is found from simulations on large networks.

The results of data analysis presented in this paper show that the model of paths of minimal resistance involves a single parameter characterizing tortuosity that takes on only two values, one is for root systems confined to a thin near-surface layer, and the other one is for a more isotropic and deeper soil-root layer. The RRE has been previously shown to be equivalent to tree height (*H*) over length scales from about 1 m to 40 m (Hunt and Manzoni, 2015, and data sources therein). The actual root length (*L*) can be defined in terms of the optimal paths' exponent, D_{opt} , given by (Hunt et al., 2020)

56 $L \sim RRE^{D_{opt}}$

57 To apply this relationship for predicting the tree height as a function of time, it is necessary to provide length and time scales and a value for D_{opt} . Taking into account the conventional 58 understanding that for most trees the root systems are shallow--usually <2 m depth (Hunt and 59 Manzoni, 2015; Hunt, 2017; Hunt et al., 2020), the relevant tortuosity of the paths was suggested 60 to be described by the two-dimensional (2D) optimal paths exponent of 1.21 (Sheppard et al., 61 1999). This value is justified by arguing that a resource search in the shallow subsurface is largely 62 confined to paths restricted to form in two dimensions. However, trees growing under water-63 limited conditions or trees with exceptionally high transpiration demand might have deeper root 64 systems and a nearly isotropic water sourcing. In such cases, one could expect that the root system 65 would follow optimal paths in three dimensions (3D) with an exponent of 1.43 (Sheppard et al. 66 1999). 67

68 The relationship for the RRE can then be given by

69
$$RRE = x_0 \left(\frac{t}{t_0}\right)^{1/D_{opt}}$$
(1)

where *t* is the time since germination, x_0 is a pore-scale distance, and $t_0 = x_0/v_0$, with v_0 being a pore-scale flow rate.

- An upscaled version of relationship (1) and the equivalence of H to RRE can be used to write the
- rage expression for long-term prediction of *H* (Hunt and Manzoni, 2015; Hunt et al. 2020).

74
$$H = T_g \left(\frac{t}{t_g}\right)^{1/D_{opt}}$$
(2)

where T_g is interpreted as the transpiration during a growing season, and t_g is the duration of a growing season.

The procedure for determining *H* from Equation (2) outlined below implies an application of stepwise upscaling by assigning the declining rate of increase either directly to *H*, while holding T_g as the value of the transpiration for the *first* year growing season, or assigning the declin to T_g as a function of time.

In the following, we approximate n years of time, t_n as nt_g , use T_n for the transpiration over the 81 82 entire *n* years, while approximating the value of T_g for the growing season as appropriate for the entire first year; these approximations could produce discrepancies when transpiration demand is 83 high outside the growing season. A further upscaled version of Equation (2) would then read, H =84 85 $T_n (t/nt_n)^{1/Dopt}$. If we substitute $t = nt_g$ directly into Equation (2), however, the result is $H = T_g n^{1/Dopt}$. Thus, $T_n = T_g n^{1/\text{Dopt}}$. *H* has the same value in both cases. The identical result is obtained if one 86 simply notes that, for the given *t*-dependence, *H* will not change at any *t* as long as $T_n/(t_n)^{1/Dopt} =$ 87 88 $T_{\rm g}/(t_{\rm g})^{1/D\rm opt}$ for all *n*.

89 Now, the expression for the rate of tree growth dH/dt can be given by

1.

90
$$\frac{dH}{dt} = \frac{1}{D_{opt}} \frac{T_g}{t_g} \left(\frac{t}{t_g} \right)^{\left(\frac{1}{D_{opt}} - 1 \right)} = \frac{1}{D_{opt}} \frac{T_g}{t_g} n^{\left(\frac{1}{D_{opt}} - 1 \right)} = \frac{1}{D_{opt}} \frac{T_n}{t_n} = \frac{1}{D_{opt}} \frac{T_n}{nt_g}$$
(3)

In accord with the discussion above, the fourth expression yields the transpiration *rate* over the tree lifetime, T_n/nt_g . But the second expression yields for an n^{th} year transpiration T_g times $n^{(1/\text{Dopt})-1}$ ¹ divided by the growing season length, t_g . For the growth rate in the n^{th} year, Equation (3) yields the product of the rate in the first year, T_g/t_g and the factor, $n^{(1/D\text{opt})-1}$. Thus, the rate of tree growth declines in time because the transpiration declines in time. In other words, the added height in the first year is T_g , and the rate of height increase is T_g/t_g , but in subsequent years, the transpiration and, as a consequence, the tree growth is reduced by the factor given by

$$98 \qquad (t)^{\left(\frac{1}{D_{opt}}-1\right)} \tag{4}$$

Thus, a graph of either the tree growth, or a graph of transpiration, as a function of time is expected to conform to a power-law with the power exponent of $(1/D_{opt} - 1)$, and the intercept equals the transpiration rate in the first year. For $D_{opt} = 1.21$ (for 2D), $1/D_{opt} - 1 = -0.17$, while for $D_{opt} =$ 1.43 (for 3D), $1/D_{opt} - 1 = -0.301$.

103 Data sources

104 Our search for data was constrained by the publicly available datasets. Very little tabulated data

105 for growth rates of *Eucalyptus* species are readily available in the literature. We found four values

- 106 for *Eucalyptus regnans* from three separate sources. The growth rate data used in the current paper
- 107 were obtained from publications by Cremer (1975), Ryan and Yoder (1997), Vertessy et al. (2001)

and Givnish et al. (2014). While the growth data appear to be reliable, there is no indication, a108 priori, of consistency in the environmental and ecological conditions, under which the trees were 109 growing. The transpiration and growth data for *Eucalyptus regnans* from Vertessy et al. (2001) are 110 for overstory trees growing in uniform stands that range in age from about 15 years to 300 years, 111 with the area of each stand having been clear-cut or burned at a known date. The overstory trees 112 were reported to have self-thinned into a state with little light limitation. Simultaneous 113 measurements of transpiration were taken from the understory *Pomaderris aspera* (hazel) trees. 114 115 Additional measurements included interception and leaf litter evaporation. Vertessy et al. (2001, Figure 7) illustrated the changes with time of the mean annual understory transpiration, mean 116 annual soil and litter evaporation, mean annual rainfall interception, and mean annual water. Sap 117 flow velocities (Vertessey et al. 2001) were measured directly by using sap flow loggers at multiple 118 locations in the xylem at breast height at intervals of 20 minutes for each tree. Measurements were 119 repeated on multiple trees for time periods between 5- and 60-days during spring and summer. 120 Vertessey et al. (2001) found average values for each age group. Distinctions between sap flow 121 rates at different ages were found by to have no statistical significance in either the mountain ash 122 or hazel trees. All field measurements were taken from the Maroondah catchments, which are 123 located approximately 80 km northeast of Melbourne, Australia. 124

125 Cremer (1975) documented a height growth of 50cm in the first 30 days, for a rate of just over 600 126 cm/yr. Ryan and Yoder (1997) stated, "A young mountain ash (*Eucalyptus regnans*) growing east 127 of Melbourne may grow 200–300 cm per year in height. By 90 years of age, height growth has 128 slowed to 50 cm yr⁻¹. By 150 years, height growth has virtually stopped, although the tree may live 129 for another century or more." Givnish et al. (2014) documented growth of 20 cm yr⁻¹ even at the 130 age of 300 yrs.

Transpiration rates of Eucalyptus regnans and Eucalyptus sieberri in the central highlands of 131 Victoria, southeastern Australia, were obtained from Vertessy et al. (2001), who provided six 132 experimental data points, and Roberts et al. (2001), who contributed three data points. For the study 133 area given in these papers, the annual precipitation ranges from 120 cm yr⁻¹ at lower elevations to 134 280 cm yr⁻¹ at the higher elevations. For the Maroondah catchments studied, Vertessy et al. (2001) 135 use as an average precipitation 180 cm yr⁻¹ to constrain their data. We used an average precipitation 136 of 200 cm yr⁻¹ to calculate an approximate upper bound for T_g/t_g from Equation (3). By simple water 137 conservation arguments (Budyko, 1958), the annual transpiration rate, T_g/t_g , of an ecosystem such 138 139 as a forest, except in relatively narrow riparian zones, cannot ordinarily exceed the annual 140 precipitation.

141 Givnish et al. (2014) found that the maximum heights of Eucalyptus trees along a climate gradient

were proportional to the ratio of precipitation to pan evaporation, from heights of 4 m to over 80

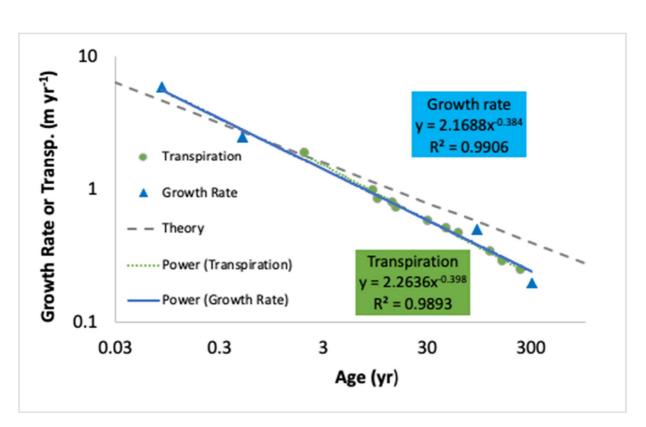
- 143 m. Ryan and Yoder (1997) have noted a proportionality between early growth rates and final
- heights of trees.

145 Results of Data Analysis

Growth rates and transpiration rates are graphed in Figure 1 for the theoretical 3D prediction (D_{opt} = 146 1.43, and the power-law exponent is -0.301) and empirical data. Figure 1 shows that the power-law 147 fits both of these two different variables-the growth rate and transpiration rate with slightly different 148 exponents of -0.384 and -0.398, respectively, and numerical prefactors that differ only by 4%. The 149 150 R^2 values are both high, 0.991 and 0.989, respectively. A power-law exponent of a combined dataset of both growth and transpiration rates is -0.391, with the R²=0.992, exceeding the theoretical value 151 of -0.301 for the 3D prediction. Lacking unambiguous guidance in a process of significant complexity, 152 the numerical prefactor of the theoretical prediction was chosen as 220 cm yr⁻¹ in accord with the 153 corresponding values from the fits of the experimental data. 154







157

Figure 1. Comparison of the power-law function based on the 3D optimal paths exponent with power-law functions of empirical transpiration and tree height growth rates over the age of evenaged stands. The extreme height growth rates (600 cm yr⁻¹ at ca. 1 month, and 20 cm yr⁻¹ at 300 years for individual trees are taken from Cremer (1975) and Givnish et al. (2014); the other two height growth rates are values cited by Ryan and Yoder (1997). The transpiration values are derived from long-term measurements of sap area index and sap velocities of multiple trees (Vertessy et al., 2001).

165

The 3D optimal paths exponent and empirical exponents give a better prediction of the decay of the growth and transpiration rates with age than does the 2D exponent, which is in accord with the suggestion that *Eucalypts* have a deep root structure, rather than one confined mostly to the top meter or two of soil. Nevertheless, early growth rates exceed the prediction and suggest that at young ages, *Eucalypts* access nearly all the water available, a result that is compatible with the conclusions of Vertessy et al. (2001) regarding the strongly negative influence young *Eucalyptus* forests have on water resources, when stem separations are still less than stem heights.

Very young *Eucalypts* of uniform age (Vertessy et al., 2001; Roberts et al., 2001) may take nearly 173 174 all the water available. Note that according to Figure 6 of Vertessy et al. (2001) the total ecosystem evapotranspiration, which at young ages is traceable primarily to *Eucalyptus regnans*, approach 175 180 cm yr⁻¹ at about of 5-10 years age. This is important, since eucalypts are known to be "thirsty" 176 trees with a dimorphic root system that can extend to bedrock (Knight, 1999), which supports the 177 notion of the 3D structure of the eucalypts root system and a corresponding 3D value of D_{opt} . It is 178 also remarkable that the power-law time dependence of two ecological variables plotted as one 179 (not shown) produces an R^2 value as high as 0.99 over a time scale from 30 days to 300 years. 180

181 It is instructive to discuss the transpiration and growth rates functions given by Vertessy et al. (2001) with the temporal dependence of the Sapwood Area Index (SAI, defined as the sapwood area within 182 a hectare, ha) (Vertessy et al. 2001; Roberts et al. 2001), as the SAI relates closely to 183 evapotranspiration (Benyon et al., 2015) and influences streamflow, which is defined as the annual 184 volume of water leaving a stream catchment divided by the area of the catchment. Benyon et al. 185 (2015) reported an initial rise in SAI with time following clear-cutting, with SAI declining with age 186 at later times. Benyon et al. (2015) also found that sap velocity did not vary across stands and sites. 187 The decline over time in stand-level transpiration of the Eucalyptus forests reported by Roberts et 188 al (2001) and Vertessy et al (2001) is thus attributed to a decline in sapwood area as the forests age, 189 which is a consequence of the cumulative effects of tree thinning by about 9 years. In view of 190 measurements of sap velocities that were consistent over time, a transpiration flux, proportional to 191 the product of a velocity and a cross-sectional area, should scale roughly as the sapwood area. 192 Vertessy et al. (2001) reported in their Eq. (4) that the SAI declined according to the stand age, t, 193 194 as

195 $SAI = 37.5t^{-0.44}$ m²ha⁻¹

(5)

An analogous result, but with an exponent of -0.51, was obtained by Roberts et al., (2001), similarto the temporal dependence of transpiration in Figure 1.

Vertessy et al. (1991) use Equation (5) to predict experimental transpiration through multiplication 198 by their experimentally determined sap flux of 691 m^3/m^2 . We summed arithmetically the annual 199 transpiration values as calculated from Equation (5) through multiplication by the sap flux and 200 conversion of hectares to m². The results were 14.9 m after 11 years and 86.3 m after 200 years. 201 One can compare these values with the statement (Vertessy et al., 2001), "At the 11-year-old site, 202 the mountain ash trees were 15-m tall and very closely spaced. By the time the forest is over 200 203 years old, the trees exceed 80 m in height and large gaps of up to 80 m in width are formed [through 204 self-thinning] in the canopy." Thus, Vertessey et al.'s (2001) best estimate of cumulative 205

transpiration over 15- and 200-year periods differs from their observed tree heights by 0.67% and
less than 7.5%, respectively. It follows that the relationship between RRE and L also applies to
RRE and sapwood area, an important parameter in process-based models.

209 The developed power-law function for transpiration depends on the overall root architecture, which,

210 in turn, depends on the type of soil, including the physical and mineralogical properties of soil, clay

content of soil, soil structure (anisotropy) and associated water retention properties, and not only

212 on the variability of adaptation strategies between species. More general discussions of factors

213 influencing root architecture, however, are outside the scope of this communication.

214

215 Conclusions

In the process of investigating the relevance to *Eucalyptus* species of our phenomenological model 216 for tree growth in terms of transpiration, we discovered two novel aspects of the model: an 217 apparently direct equivalence of transpiration and growth rates, and that the power-law time 218 219 dependence exceeds not only a 2D system power-law exponent, but also that for the model of 220 optimal (minimal) resistance in 3D. The first result was a little surprising, since we had not necessarily expected a closer correspondence than a proportionality. Yet, values deduced for 221 transpiration rates at specific field sites in SE Australia and growth rates cited more generally in 222 the literature corresponded rather closely over a wide range of time scales. Moreover, cumulative 223 transpiration and tree heights at the same sites and times (11 years and 80 years) matched within a 224 few percent. Consequently, decline in tree growth with age appears to be unrelated to changes in 225 sap velocities, but rather, to changes in sapwood index, SAI, defined as the cross-sectional area of 226 the trees within a given area divided by that area. If the relationship proves more broadly applicable, 227 it would be valuable in several respects. First, it would be possible to predict stand height over a 228 period of time up to 300 years with knowledge of the first year's transpiration alone (provided it 229 was representative of climate averages). Consequently, it might also be possible to predict the 230 effects of known climate change on growth rates and final tree heights. Finally, an important direct 231 application of the developed simple semi-empirical model is that it can be used to inform the 232 parameterization of sapwood area or complex root architecture schemes in process-based forest 233 234 models that represent plant hydrodynamics (e.g., Fisher et al. 2018, Kennedy et al. 2019, Mirfenderesgi et al. 2019). 235

236

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