

1 **Article type: Meta-analysis**

2 **Global diurnal and nocturnal parameters of stomatal conductance in woody**  
3 **plants and major crops**

4

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24 Stomatal parameters in global woody and crop species

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28

**29 Abstract**

30 **Aim** Stomata regulate CO<sub>2</sub> uptake, water-vapor loss, and uptake of gaseous  
31 pollutants. Jarvis-type models that apply multiple-constraint functions are  
32 commonly used to estimate stomatal conductance ( $g_s$ ), but most parameters for  
33 plant functional types (PFTs) have been estimated using limited information. We  
34 refined the data set of key components of the  $g_s$  response to environmental factors  
35 in global PFTs.

36 **Location** Global.

37 **Time period** Data published in 1973-2015

38 **Major taxa** Woody plants and major crops (rice, wheat, and maize)

39 **Methods** We reviewed 235 publications of field-observed  $g_s$  for the  
40 parameterization of Jarvis-type model in global PFTs. The relationships between  
41 stomatal parameters and climatic factors (MAT, mean annual air temperature;  
42 MAP, mean annual precipitation) were assessed.

43 **Results** We found that maximum stomatal conductance ( $g_{\max}$ ) in global woody  
44 plants correlated with MAP rather than MAT.  $g_{\max}$  of woody plants on average  
45 increased from 0.18 to 0.26 mol m<sup>-2</sup> s<sup>-1</sup> with an increase in MAP from 0 to 2000  
46 mm. Models, however, can use a single  $g_{\max}$  across major crops (0.44 mol m<sup>-2</sup> s<sup>-1</sup>  
47 <sup>1</sup>). We propose similar stomatal responses to light for C3 crops and woody plants,  
48 but C4 crops should use a higher light saturation point of  $g_s$ . Stomatal sensitivity  
49 to vapor-pressure deficit (VPD) was similar across forest PFTs and crops,  
50 although desert shrubs had a relatively low sensitivity of stomata to VPD. The  
51 optimal temperature for  $g_s$  increased by 1 °C for every 3.0 °C of MAT. Stomatal  
52 sensitivity to predawn water potential was reduced in hot and dry climate. The  
53 fraction of nighttime conductance to  $g_{\max}$  (0.14 for forest trees, 0.28 for desert  
54 shrubs, 0.13 for crops) should be incorporated into the models.

55 **Main conclusions** This analysis of global  $g_s$  data provides a new summary of  $g_s$

56 responses and will contribute to modeling studies for plant-atmosphere gas  
57 exchange and land-surface energy partitioning.

58

59 Key words: *Stomatal conductance, Jarvis-type model, Global plant functional*  
60 *types, Forests, Crops, Nocturnal stomatal conductance*

61

## 62 **1. Introduction**

63 Plants influence climate by the exchange of energy, water, carbon dioxide  
64 (CO<sub>2</sub>), and other chemical species with the atmosphere (Bonan 2008). Stomata,  
65 small pores on leaves, regulate the exchange of gas and energy between plants  
66 and the atmosphere. Stomatal responses to environmental stimuli are therefore  
67 important for terrestrial carbon sinks and the hydrology of ecosystems  
68 (Hetherington & Woodward 2003), the partitioning of terrestrial surface energy  
69 affecting local and regional climate (Bonan, 2008), and the sensitivity of plants  
70 to air pollutants such as ozone (O<sub>3</sub>) (Sitch et al., 2007; Matyssek et al., 2013).

71 The stomatal control of gas exchange at foliar level is quantified as stomatal  
72 conductance ( $g_s$ ).  $g_s$  is often empirically modeled based on several environmental  
73 factors that affect stomatal aperture (Jarvis 1976; Ball *et al.* 1987; Leuning 1995),  
74 but an optimization theory of stomatal functioning (Cowan and Farquhar, 1977;  
75 Katul et al., 2009; Medlyn et al., 2011; Hoshika et al., 2013b; Lin et al., 2015)  
76 and a hydraulic theory of stomatal regulation (Buckley et al., 2003, 2012; Buckley,  
77 2017) are currently advancing. A common empirical approach is the multiple-  
78 constraint functions model, which is a Jarvis-type  $g_s$  model (Jarvis 1976; Körner  
79 et al. 1995; Emberson *et al.* 2007; Damour et al., 2010). Jarvis-type  $g_s$  models can  
80 be incorporated into global or regional vegetation-climate models (Zhang et al.,  
81 2003; Felzer et al. 2004; Galbraith et al., 2010; Huang et al., 2016). In particular,  
82 Jarvis-type  $g_s$  models are widely used for the stomatal component of gas

83 deposition in global air-quality models (Zhang et al., 2003) and are recommended  
84 by UNECE-CLRTAP (United Nations Economic Commission for Europe  
85 Convention on Long-range Transboundary Air Pollution) for calculating stomatal  
86 O<sub>3</sub> fluxes and assessing O<sub>3</sub> risks to forest trees and crops in Europe (CLRTAP,  
87 2015). These models adjust the maximum  $g_s$  ( $g_{\max}$ , the maximum value of stomatal  
88 conductance, which is achieved under environmental conditions that are favorable  
89 for stomatal opening) to changes in plant phenology and environmental variables,  
90 e.g. light intensity, air temperature, vapor-pressure deficit (VPD), and soil  
91 moisture. A review by Körner (1995) summarized the  $g_{\max}$  data in globally  
92 important biomes and reported that: i.  $g_{\max}$  does not differ between types of woody  
93 plants, and ii. crops have a higher  $g_{\max}$  than woody plants. Data of  $g_s$  summarized  
94 by Körner (1995), however, were scarce for some plant types (e.g. tropical trees  
95 and desert shrubs). Korner's review (1995) was published more than 20 years ago.  
96 An update of the analysis is needed.

97       Physiological parameters may differ with climatic conditions for growth  
98 (Larcher, 2003). Lin et al. (2015) suggested that stomatal behavior may differ  
99 with water-use strategy among plant functional types (PFTs), according to the  
100 optimal photosynthesis-stomatal theory. The well-known Miami model (Lieth,  
101 1975) indicates that terrestrial carbon assimilation, so-called net primary  
102 production (NPP), is associated with precipitation and temperature. Del Grosso  
103 et al. (2008), Chapin et al. (2012), and Gillman et al. (2015) provided a support  
104 for this relationship globally.  $g_s$  is typically correlated with photosynthesis  
105 (Larcher, 2003). Therefore, we hypothesized that  $g_{\max}$  may depend on both  
106 precipitation and temperature.

107       In addition to  $g_{\max}$ , the parameters of stomatal response to environmental  
108 factors in each type of biome are still based on limited information. Current  
109 Jarvis-type models, in particular, have ignored the ratio of nighttime conductance

110 to  $g_{\max}$  ( $f_{\text{night}}$ ) (Emberson et al., 2007; Damour et al., 2010), even though stomatal  
 111 opening at night shows an important influence on water use and the effects of air  
 112 pollutants such as  $\text{O}_3$  (Grulke et al., 2004; Zeppel et al., 2014).

113 Our purpose in this literature review was to refine the key components of the  
 114 response of  $g_s$  to environmental factors using Jarvis-type  $g_s$  models of global  
 115 woody plants, defined as PFTs, commonly used in global vegetation-climatic  
 116 models (Poulter et al., 2011), and of the major food crops, i.e. rice, wheat, and  
 117 maize (FAO, 2013). Specifically, we aimed to: 1) quantify the parameters of  
 118 Jarvis-type multiplicative  $g_s$  models, i.e.  $g_{\max}$ , and stomatal responses to light,  
 119 temperature, vapor-pressure deficit (VPD), and predawn leaf-water potential ( $\Psi_{\text{pd}}$ )  
 120 as a proxy of soil-water potential (SWP), for estimating  $g_s$  in different plant types,  
 121 geographic regions, and environmental conditions; 2) investigate relationships  
 122 between stomatal and climatic parameters; and 3) summarize current information  
 123 for  $f_{\text{night}}$  for possible inclusion into Jarvis-type  $g_s$  models.

124

## 125 **2. Methodology**

### 126 **2.1 Jarvis-type model**

127 We modified the Jarvis-type multiplicative algorithm (Körner et al., 1995;  
 128 Bölker et al., 2015; CLRTAP, 2015) to include various environmental factors that  
 129 affect  $g_s$  for woody plants and crops:

130

$$131 \quad g_s = g_{\max} \cdot \max \left[ f_{\text{night}}, f_{\text{phen}} \cdot f_{\text{light}} \cdot \max \left\{ f_{\min}, \left( f_{\text{temp}} \cdot f_{\text{VPD}} \cdot f_{\text{SWP}} \right) \right\} \right] \quad (1)$$

132

133 where  $g_{\max}$  is the maximum stomatal conductance ( $\text{mmol H}_2\text{O m}^{-2}$  projected leaf  
 134 area  $\text{s}^{-1}$ ), i.e. the seasonal maximum  $g_s$  in fully developed but not senescent leaves  
 135 in their natural environment (Körner, 1995). The other functions are limiting  
 136 factors of  $g_{\max}$  and are scaled from 0 to 1:  $f_{\min}$  is the fraction of minimum daytime

137 stomatal conductance to  $g_{\max}$  (e.g. Emberson et al., 2000),  $f_{\text{night}}$  is the fraction of  
 138 stomatal conductance at night to  $g_{\max}$ .  $f_{\text{phen}}$  is the variation in stomatal  
 139 conductance with leaf age, and  $f_{\text{light}}$ ,  $f_{\text{temp}}$ ,  $f_{\text{VPD}}$ , and  $f_{\text{SWP}}$  are the fractions that  
 140 depend on photosynthetic photon flux density at the foliar surface (PPFD,  $\mu\text{mol}$   
 141 photons  $\text{m}^{-2} \text{s}^{-1}$ ), air temperature ( $^{\circ}\text{C}$ ), VPD (kPa), and SWP (MPa), respectively.  
 142 We did not collect data for  $f_{\text{phen}}$ . Phenological change of  $g_s$  cannot be simply  
 143 defined from the literature, because  $f_{\text{phen}}$  varies with several factors such as ageing  
 144 (Kitajima et al., 2002), soil temperature (Stone et al., 1999), and nighttime  
 145 temperature (Koike and Sakagami, 1985). In fact, the parameterization of  $f_{\text{phen}}$   
 146 developed for a few species was very complex (e.g. *Quercus ilex*, Alonso et al.,  
 147 2008). In addition, we assumed  $f_{\text{min}}$  to zero because  $f_{\text{min}}$  is not easily defined in  
 148 the model as  $g_s$  dynamically decreases with decreasing light intensity before  
 149 sunset (de Dios et al., 2013; Hoshika et al., 2013b).

150 The response of  $g_s$  to PPFD,  $f_{\text{light}}$ , is calculated as (Emberson et al., 2000):

151

$$152 \quad f_{\text{light}} = 1 - \exp(-a \cdot \text{PPFD}) \quad (2)$$

153

154 where  $a$  is a constant ( $a = \text{Ln}[2]/\text{PPFD}_{50}$ ) and  $\text{PPFD}_{50}$  is the PPFD when  $g_s$  reaches  
 155 50% of  $g_{\max}$ .

156 The response of  $g_s$  to air temperature is expressed as (Emberson et al., 2007):

157

$$158 \quad f_{\text{temp}} = \left( \frac{T - T_{\min}}{T_{\text{opt}} - T_{\min}} \right) \left\{ \left( \frac{T_{\max} - T}{T_{\max} - T_{\text{opt}}} \right)^{\left( \frac{T_{\max} - T_{\text{opt}}}{T_{\text{opt}} - T_{\min}} \right)} \right\} \quad (3)$$

159

160 where  $T_{\text{opt}}$ ,  $T_{\min}$ , and  $T_{\max}$  denote the optimal, minimum, and maximum  
 161 temperatures ( $^{\circ}\text{C}$ ) for  $g_s$ , respectively. We focused on  $T_{\text{opt}}$  only, because  $T_{\max}$  and

162  $T_{\min}$  are rarely measured under field conditions (Larcher, 2003, generally 40 to  
 163 50 °C and -5 to 5 °C, respectively) and thus cannot be appropriately defined from  
 164 the literature.

165 Oren et al. (1999) suggested a logarithmic function of the response of  $g_s$  to  
 166 VPD:

$$168 \quad f_{\text{VPD}} = 1 - m \cdot \ln[\text{VPD}] \quad (4)$$

169  
 170 where  $m$  denotes the sensitivity of  $g_s$  to VPD ( $\ln(\text{kPa})^{-1}$ ). A hydraulic model,  
 171 which assumes stomatal regulation of leaf-water potential, suggests that  $m$  is  $\sim 0.6$   
 172 (e.g. Oren et al., 1999).

173 Soil-moisture deficit is also a major limiting factor of  $g_s$  in dry and semi-dry  
 174 climates (Chaves et al., 2002; Alonso et al., 2008), because stomatal closure is  
 175 the primary physiological response to water limitation (Hinckley et al., 1978).  
 176 Data for parameterizing the effects of soil water on  $g_s$ , however, are limited.  
 177 Misson et al. (2004) suggested that  $g_s$  was affected by, and decreased with,  $\psi_{\text{pd}}$ .  
 178 For parameterizing  $f_{\text{SWP}}$ , we thus assumed that  $\psi_{\text{pd}}$  was a proxy of SWP, which is  
 179 a common assumption for calculations of soil-plant water balance (e.g. Hinckley  
 180 et al., 1978). Following Misson et al. (2004), the function of  $f_{\psi_{\text{pd}}}$  can be described  
 181 as:

$$183 \quad f_{\text{SWP}} \approx f_{\psi_{\text{pd}}} = 1 - b(\psi_{\text{pd}} - \psi_{\text{max}}) \quad (5)$$

184  
 185 where  $b$  is the slope of the regression line between  $g_s$  and  $\psi_{\text{pd}}$  ( $\text{mol m}^{-2} \text{s}^{-1} \text{MPa}^{-1}$ )  
 186 and  $\psi_{\text{max}}$  (MPa) is the predawn leaf-water potential under well-watered conditions  
 187 and is assumed to be zero.

188

## 189 **2.2 Database and quantitative research synthesis**

190 Quantitative research synthesis, including a meta-analysis, can integrate  
191 findings from many studies in a formal statistical analysis to create one large  
192 overview (Ainsworth et al., 2002; Feng et al., 2008; Haworth et al., 2016). Using  
193 Scopus and Google scholar, a survey of all peer-reviewed literature published  
194 between 1970 and 2015 was made on the basis of the keywords “[stomatal  
195 conductance]+[a target PFT]”, including researches under natural environmental  
196 conditions. The literature was also cross-checked through the list of references  
197 included in review papers.

198 To include an article in this research synthesis, we examined if it met the  
199 following criteria: (1) the experimental period was specified and longer than 1  
200 month; (2) the species name was specified; (3) only the papers which measured  
201 stomatal conductance by a diffusion porometer or an infra-red gas analyzer using  
202 a leaf cuvette or a branch bag were included, i.e. data derived by sap flow  
203 measurements were not included; (4) data were obtained from field measurements  
204 to represent actual field conditions, i.e. we excluded data from experiments using  
205 potted plants and environmental control chambers; (5) data were derived from  
206 upper canopy leaves exposed to the sun, because they are the most representative  
207 for canopy photosynthesis and the uptake of gaseous pollutants (Emberson et al.,  
208 2007); (6) data for tree  $g_{\max}$  were selected for trees either >10 years old or >10 m  
209 in height, because  $g_{\max}$  can vary with tree size or age (Steppe et al., 2011); (7)  
210 data for mean annual air temperature (MAT, °C), mean annual precipitation (MAP,  
211 mm), and measurement year were obtained from original sources, which are  
212 needed to assess their effect on the stomatal parameters. An article was excluded  
213 because its outlier value of MAP = 4000 mm strongly influenced the results of  
214 our analysis (Oberbauer et al., 1987). Articles were excluded when the description



215 of experimental design was insufficient to allow an objective assignment, or the  
216 data were reported in another article. After excluding articles based on these  
217 criteria, a total of 235 publications for woody plants, two major C3 crops (rice  
218 and wheat), and one C4 crop (maize) were used for the analysis (Appendix S1).  
219 A list of the data sources is available in Appendix 1.

220 The selected crops are the three most important crops globally, providing  
221 60% of the world's food energy (FAO, 2013). PFTs classify species into ~10-20  
222 groups defined by their growth forms and climatic characteristics and are  
223 commonly used in global vegetation-climatic models (Poulter et al., 2011). We  
224 used the PFTs for forest trees, although the current classification does not include  
225 seasonally dry climates (Zhang et al., 2003; Poulter et al., 2011). For example,  
226 temperate deciduous and evergreen trees are distributed in both humid and  
227 seasonally dry climates. In temperate humid Asia, soil-water content generally  
228 does not affect  $g_s$  of tree species (Sirisampan et al., 2003; Hoshika et al., 2012),  
229 but trees grown under seasonal drought such as in Mediterranean climates suffer  
230 frequent water stress (Alonso et al., 2008). We therefore also compared the  
231 parameters of stomatal models between trees in temperate humid and  
232 Mediterranean climates, and between evergreen and deciduous taxa.

233 The  $g_s$  parameters for the analysis were obtained: 1) directly from those  
234 reported in the literature of Jarvis-type modelling studies (e.g., Alonso et al.,  
235 2008; Fares et al., 2013) or 2) from fitting  $g_s$  data in the literature. In the latter  
236 case,  $g_{\max}$  was derived as the seasonal maximum  $g_s$  in fully developed leaves  
237 (Körner, 1995). Stomatal conductance at night was obtained from data measured  
238 in relatively dry days (relative humidity < 70%), at least 3 h after sunset (Uddling  
239 et al., 2005; Hoshika et al., 2013b), and then  $f_{\text{night}}$  was calculated as the fraction  
240 of stomatal conductance at night to  $g_{\max}$ . The  $f_{\text{light}}$  parameters were achieved by  
241 fitting the  $g_s$  data that were measured with VPD < 1.5 kPa in each paper.  $T_{\text{opt}}$  in

242  $f_{temp}$  was determined as the temperature at which  $g_{max}$  was obtained.  $f_{VPD}$  was  
243 estimated by fitting the functional form  $(1 - m \cdot \ln[VPD])$  to presumably non light-  
244 limiting data ( $PPFD > 500 \mu\text{mol m}^{-2} \text{s}^{-1}$ ). We fitted the  $f_{\psi_{pd}}$  function to mean  
245 midday  $g_s$  data in each paper (e.g., Bréda et al., 1993).

246 We used linear mixed models (LMM) to investigate the relationships between  
247 stomatal and climatic parameters. Our analysis considered estimate errors of  $g_{max}$   
248 reported by original articles, which allowed us to quantitatively integrate the  
249 finding of original articles. All parameters were checked for normality to meet  
250 the assumption of statistical model, and thus  $g_{max}$  and  $f_{light}$  were log-transformed.  
251 We fitted LMM to woody plant and crop data separately, and used MAT, MAP,  
252 measurement year, and (measurement year)<sup>2</sup> as fixed effects, and article, species,  
253 measurement instrument, Mediterranean / temperate humid climate type (only  
254 woody plant data), evergreen / deciduous tree (only woody plant data), C3 / C4  
255 crop (only crop data), irrigation (only crop data), as random effects. MAT and  
256 MAP were scaled to mean 0 and variance 1, and measurement year were scaled to  
257 minimum 0 and maximum 1. The crop data of  $f_{temp}$ ,  $f_{VPD}$ ,  $f_{SWP}$ , and  $f_{night}$  were not  
258 analyzed because these data had few sample size ( $n = 10, 12, 0, \text{ and } 4,$   
259 respectively). All statistical analyses were conducted in R 3.4.0 (R Core Team,  
260 2017) and Stan 2.15.1 (Stan Development Team, 2017) to calculate posterior  
261 probability obtained by Bayesian inference. We ran three independent chains and  
262 retained 5,000 iterations after an initial burn-in of 5,000 iterations. We then  
263 thinned the samples every 5 intervals. The convergence of samples was confirmed  
264 by monitoring traceplots and checking Gelman-Rubin diagnostic  $\hat{R} < 1.1$  for  
265 each estimate. All Stan codes for our analysis are provided in Appendix S3.

266

### 267 **3. Results**

#### 268 **3.1 Maximum stomatal conductance ( $g_{max}$ )**

269  $g_{\max}$  showed a range from 0.07 to 0.36 mol m<sup>-2</sup> s<sup>-1</sup> in woody plants, and from  
270 0.34 to 0.61 mol m<sup>-2</sup> s<sup>-1</sup> in major crops (Table 1).  $g_{\max}$  significantly varied with  
271 the species, and was 37% lower for evergreen trees than for deciduous trees (Table  
272 1; 0.18±0.02 and 0.28±0.02 mol m<sup>-2</sup> s<sup>-1</sup>, respectively), although such taxa did not  
273 statistically affect  $g_{\max}$  (Table 2).  $g_{\max}$  of woody PFTs was significantly correlated  
274 with MAP (Table 2, Fig. 1), although  $g_{\max}$  did not differ between trees in  
275 Mediterranean and temperate humid climates (Table 2). The slope of the  
276 regression line of log( $g_{\max}$ ) was 0.090 for MAP, i.e. log( $g_{\max}$ ) increased by 0.1  
277 with an increase in MAP of 640 mm. MAT, however, was not significantly  
278 correlated with the  $g_{\max}$  of woody PFTs (Table 2).  $g_{\max}$  was affected by  
279 measurement year for woody plants (Table 2), and was lower before 1980s (Fig.  
280 1). However, this may be due to insufficient  $g_{\max}$  measurements before 1980s. In  
281 fact,  $g_{\max}$  did not change or rather decreased after 1990s, when  $g_s$  was widely  
282 measured in various PFTs including tropical trees.

283

### 284 3.2 Other parameters

285 Woody plants and C3 crops reached 50% of  $g_{\max}$  at a similar PPFD, 100-250  
286  $\mu\text{mol m}^{-2} \text{s}^{-1}$  (Table 1), corresponding to approximately 5-10% of maximum daily  
287 PPFD. The C4 crop (maize) had a much higher PPFD<sub>50</sub> (~500  $\mu\text{mol m}^{-2} \text{s}^{-1}$ ),  
288 although this classification of C3 and C4 plants did not statistically affect PPFD<sub>50</sub>.

289  $T_{\text{opt}}$  was 17-30 °C for woody plants and 27-30 °C for crops (Table 1). A  
290 significant relationship between  $T_{\text{opt}}$  and MAT was found in woody plants (Table  
291 2, Fig. S2 in Appendix S2). For example, needleleaved summergreen trees, which  
292 are mainly boreal species, had a lower  $T_{\text{opt}}$  (16.8±3.5 °C) than tropical evergreen  
293 trees (29.4±1.8 °C). The slope of the regression line was 2.38, i.e.  $T_{\text{opt}}$  increased  
294 by 1 °C with an increase in MAT of 3.0 °C (Fig. S1).

295 Stomatal sensitivity to vapor pressure deficit in woody plants was affected

296 by species and MAP (Table 2). In regions with low rainfall, desert shrubs had the  
 297 lowest  $m$  ( $= 0.37 \ln(\text{kPa}^{-1})$ ). All the other PFTs had similar  $m$  values (average  $m$   
 298 of  $\sim 0.56 \ln(\text{kPa}^{-1})$ ), independent of functional type and geographic origin (Table  
 299 1).

300 The stomatal sensitivity to  $\psi_{\text{pd}}$  (represented as the parameter  $b$ ) was  
 301 correlated positively with MAP and negatively with MAT in global woody PFTs  
 302 (Table 2), indicating that relatively low values of  $b$  can be found in hot and dry  
 303 climate. In fact,  $b$  was relatively higher in temperate humid climate  
 304 evergreen/deciduous trees than in Mediterranean climate evergreen/deciduous  
 305 trees (Table 1).

306 MAT or MAP did not affect  $f_{\text{night}}$  (Table 2).  $f_{\text{night}}$  depended on the species. On  
 307 average,  $f_{\text{night}}$  was 0.14 for forest trees, 0.28 for desert shrubs and 0.13 for crops.

308

## 309 **4. Discussion**

### 310 **4.1 Maximum stomatal conductance ( $g_{\text{max}}$ )**

311  $g_{\text{max}}$  plays an important role in determining the uncertainty of Jarvis-type  $g_s$   
 312 models (Tuovinen et al., 2007).  $g_{\text{max}}$  was higher for crops than for woody plants  
 313 (Table 1;  $0.44 \pm 0.03$  and  $0.21 \pm 0.02 \text{ mol m}^{-2} \text{ s}^{-1}$ , respectively), consistent with  
 314 Körner (1995), who suggested 0.45 and  $0.22 \text{ mol m}^{-2} \text{ s}^{-1}$ , respectively. Crops have  
 315 been anthropogenically selected and bred for productivity, and opening stomata  
 316 can increase productivity (Fischer et al., 1998). Assessing the effects of crop  
 317 varieties on  $g_{\text{max}}$  was not possible (data not shown), because data in each variety  
 318 were not sufficient. Further studies using a larger number of data per variety are  
 319 needed to assess whether different varieties could affect  $g_{\text{max}}$ .

320 Körner (1995) reported that  $g_{\text{max}}$  did not differ among the major woody types.  
 321 Our analysis, however, found that  $g_{\text{max}}$  differed among the woody PFTs, relative  
 322 to leaf longevity and climatic conditions. Short-lived leaves may have a higher

323  $g_{\max}$  and photosynthetic capacity relative to long-lived leaves of forest tree  
324 species (Koike, 1988; Reich et al., 1999; Kikuzawa & Lechowicz, 2011).  $g_{\max}$  for  
325 woody PFTs was dependent on MAP (Fig. 1). Del Grosso et al. (2008)  
326 interestingly reported that NPP of global native vegetation correlated better with  
327 precipitation than with temperature. Stomatal adjustments may maximize carbon  
328 gain while minimizing water loss under a given water availability to plants  
329 (Cowan & Farquhar, 1977; Manzoni et al., 2011). Stomatal behavior in dry  
330 environments is likely to be more hydraulically constrained than that in wet  
331 environments (Lin et al., 2015). The reduction of  $g_{\max}$ , especially under severely  
332 water-limited conditions, may help to reduce water loss in hot and dry  
333 environments, suggesting a limitation of carbon assimilation by water availability.  
334 Although this may promote carbon starvation due to continued carbohydrate  
335 demand for maintenance of metabolism and defense against stressors, plants tend  
336 to maintain xylem water tension below its cavitation threshold to avoid embolism  
337 (McDowell & Sevanto, 2010).

338 In recent years, plant response to global change including rising  $\text{CO}_2$   
339 concentration and nitrogen deposition has become an important issue (Peñuelas  
340 et al., 2011; Keenan et al., 2013). For example, rising  $\text{CO}_2$  concentrations might  
341 reduce water use in plants due to stomatal closure (Ellsworth et al., 2012). Our  
342 results indicated that  $g_{\max}$  of woody plants slightly decreased since  $g_s$  was widely  
343 measured in the 1990s. This is supported by Keenan et al. (2013), suggesting that  
344 latent heat, a surrogate for transpiration, in boreal and temperate forests tended  
345 to decrease from 1990 to 2010 because of increasing  $\text{CO}_2$  concentration in the  
346 atmosphere.

347

#### 348 **4.2 Light limitation ( $f_{\text{light}}$ )**

349 C4 plants potentially have a significant advantage over C3 plants in hot, arid,

350 and bright habitats (Pearcy & Ehleringer, 1984; Yamori et al., 2014). The  
351 relatively higher PPFD<sub>50</sub> of  $g_s$  in the C4 crop (maize) indicated a different  
352 photosynthetic light response between C3 and C4 species. Maize does not light-  
353 saturate even in full sunlight, while C3 photosynthesis saturates at intermediate  
354 light intensities (Larcher, 2003).

355

### 356 **4.3 Temperature limitation ( $f_{temp}$ )**

357 The observed range of  $T_{opt}$  of  $g_s$  corresponded to the optimal range for  
358 photosynthesis, generally 20-30 °C globally (Larcher, 2003). The optimal  
359 temperature for photosynthesis generally increased with the growth temperature  
360 MAT (Table 2), because such an acclimation contributes to higher productivity  
361 (Hikosaka et al., 2006, 2007).  $T_{opt}$  was slightly lower for trees in the  
362 Mediterranean than in temperate humid climates, although the difference was not  
363 statistically significant (Table 2).  $g_{max}$  in Mediterranean climates often occurs  
364 earlier in the season (May-June) when water availability is higher than in summer  
365 (July-August) (Rhizopoulou & Mitrakos, 1990; Manes et al., 1997).

366

### 367 **4.4 Vapor pressure deficit limitation ( $f_{VPD}$ )**

368 Except for desert shrubs, our finding was consistent with the theory by Oren  
369 et al. (1999) that assumes stomatal regulation of leaf water potential and suggests  
370 an  $m$  of ~0.6 based on a hydraulic model. The parameter  $m$  did not differ  
371 significantly between the C4 crop (maize) and the C3 crops, consistent with the  
372 report for two C3 and two C4 grass species by Morison & Gifford (1983).  
373 Stomatal sensitivity to VPD ( $m=0.37$ ) was slightly lower for desert shrubs (Table  
374 2). Desert shrubs generally show very deep roots, enabling them to tap water in  
375 deep soil layers (Canadell et al., 1996). Kropp & Ogle (2015), however, suggested  
376 that this lower sensitivity of  $g_s$  to VPD for desert shrubs might be associated with

377 reduced access to water, which is restricted by the neighboring plants. The  
378 neighboring plants might influence the root distribution of desert shrubs, which  
379 determines water availability and affects stomatal response (Kropp & Ogle, 2015).

380

#### 381 **4.5 Leaf water potential limitation ( $f_{\psi_{pd}}$ )**

382 Stomatal closure associated with soil moisture deficits reduces water vapor  
383 loss and photosynthetic carbon gain (Chaves et al., 2002). This stomatal closure  
384 also provides some protections to plants from the negative effects of O<sub>3</sub> exposure  
385 (Tingey & Hogsett, 1985; CLRTAP, 2015). The  $f_{\psi_{pd}}$  function is therefore critical  
386 under water-limited conditions. Although dewfall and fog might affect predawn  
387 water relations (e.g., Limm et al. 2009), the relationship between  $g_s$  and  $\psi_{pd}$   
388 generally indicates stomatal response to soil-moisture deficits (Misson et al.,  
389 2004). The slope ( $b$ ) of the relationship, representing the sensitivity of stomata to  
390  $\psi_{pd}$ , was correlated with MAP and MAT in global PFTs (Table 2). Higher  $b$   
391 indicates an avoidance of drought stress by early stomatal closure (Castel &  
392 Terradas, 1995; Picon et al., 1996; Teixeira Filho et al., 1998). Conifers, beeches,  
393 and birches (representative of the boreal/temperate summergreen type) generally  
394 have shallow root systems (Peterken & Mountford, 1996; Mauer & Palatova,  
395 2003; Anderson, 2005) and may need to drastically reduce water loss by stomatal  
396 closure during drought (Castel & Terradas, 1995). The lower sensitivity of  
397 stomata to  $\psi_{pd}$  implies that trees in Mediterranean climates have developed  
398 mechanisms for drought tolerance and are able to maintain a higher  $g_s$  during  
399 water-stressed conditions (Tenhunen et al., 1987). These tolerance mechanisms  
400 may be associated with morphological/anatomical adjustments, leading to an  
401 increase in the apoplastic water fraction (Serrano & Peñuelas, 2005; Serrano et  
402 al., 2005). Increased cell wall elasticity of sclerophyllous leaves contributes to  
403 drought resistance by an increased range of positive pressure potential of twigs

404 (Serrano & Peñuelas, 2005). Interestingly, stomata of trees in tropical savanna  
405 had a similar sensitivity to  $\psi_{pd}$  ( $b \sim 0.40 \text{ MPa}^{-1}$ ; Eamus, 1999; Thomas & Eamus,  
406 1999) compared to those of trees in Mediterranean climate.

407

#### 408 **4.6 Nighttime stomatal conductance ( $f_{\text{night}}$ )**

409 Current Jarvis-type models assume that  $f_{\text{night}}$  is zero (Emberson et al., 2007;  
410 Damour et al., 2010), but several studies detected 5-30% of  $g_{\text{max}}$  rates at night  
411 relative to daytime (Caird et al., 2007; Zeppel et al., 2014). The value of  $f_{\text{night}}$  (a  
412 ratio of nighttime stomatal conductance to  $g_{\text{max}}$ ) was larger in desert shrubs (Table  
413 1). However, absolute values of nighttime stomatal conductance and  $g_{\text{max}}$  are  
414 relatively low in this PFT (Fig. 1; Table S1). Although Ogle et al. (2012)  
415 suggested a potential for significant nocturnal transpiration in desert plants,  
416 underlying mechanisms or biological significance of the nocturnal transpiration  
417 in those plants are still unknown. To our knowledge, information is not available  
418 for  $f_{\text{night}}$  in tropical trees at foliar level. Measurements of nocturnal sap flow  
419 suggest that  $f_{\text{night}}$  might be higher in tropical evergreen/raingreen trees than in  
420 temperate evergreen/summergreen trees (Zeppel et al., 2014), although we should  
421 note that nocturnal sap flow consists of not only nocturnal transpiration but also  
422 hydraulic recharge of trees (Caird et al., 2007) and may also be affected by  
423 guttation (Fisher et al., 1997). de Dios et al. (2015) suggested that the actual  
424 magnitude of nocturnal transpiration may be higher than the nocturnal  
425 evapotranspiration currently predicted by vegetation-climatic models (typically  
426  $\sim 1\text{-}2\%$  of global evapotranspiration, e.g. Greve et al. 2014). Nocturnal water loss  
427 may thus contribute a substantial fraction of total daily water use and thereby  
428 affect the water balance of ecosystems (Zeppel et al., 2014).

429 Also, nocturnal stomatal opening may enhance the deleterious effects of  
430 gaseous air pollutants such as  $\text{O}_3$ . Matyssek et al. (1995) showed that a 24-h



431 exposure to O<sub>3</sub>, including exposure at night, caused a stronger decrease in growth  
432 relative to daytime exposure only, for European birch (*Betula pendula*), and  
433 concluded that nighttime O<sub>3</sub> exposure should be included in the calculation of  
434 daily O<sub>3</sub> flux. Ozone concentration can remain elevated at night, particularly in  
435 mountainous areas (Musselmann & Minnick, 2000), and plants can be more  
436 susceptible to O<sub>3</sub> at night than during daytime, because plant defenses are lower  
437 at night (Musselmann & Minnick, 2000).  $f_{\text{night}}$  is affected by several  
438 environmental factors (de Dios et al., 2013), but a parameterization is not yet  
439 available.

440

## 441 5. Conclusions

442 Our review synthesized a wide range of published data for  $g_s$  and examined  
443 the patterns of stomatal response among PFTs. The empirical evidence will  
444 contribute to the further development of modeling studies for plant-atmosphere  
445 gas exchange and land-surface energy partitioning.

446 Our review provided a new summary of  $g_{\text{max}}$  and the stomatal responses to  
447 environmental factors across global woody plants and major crops based on  
448 Jarvis-type models. The results confirmed the concluding remarks about  $g_{\text{max}}$  by  
449 Körner's review (1995), suggesting that crops have a higher  $g_{\text{max}}$  than woody  
450 plants. However, contrary to Körner's summary (1995),  $g_{\text{max}}$  differed between  
451 types of woody plants, likely because of the influence of MAP. We recommend  
452 that  $g_{\text{max}}$  for global woody PFTs should be estimated as a function of precipitation  
453 (approximately 0.18 to 0.26 mol m<sup>-2</sup> s<sup>-1</sup> within the range of 0-2000 mm MAP). A  
454 higher  $g_{\text{max}}$  (0.44 mol m<sup>-2</sup> s<sup>-1</sup>) can be used for crops than for woody plants.  $T_{\text{opt}}$   
455 and the stomatal response to  $\psi_{\text{pd}}$  (i.e. the slope parameter  $b$ ) also varied with the  
456 growth environment for global woody plants.  $T_{\text{opt}}$  of crops ranged from 27 to  
457 30 °C. A parameterization of  $f_{\psi_{\text{pd}}}$  is not yet available for global major crops. In

458 contrast, we recommend a single parameter for the stomatal responses to light  
459 (average PPF<sub>D50</sub> of 140  $\mu\text{mol m}^{-2} \text{s}^{-1}$  for C3 plants and  $\sim 500 \mu\text{mol m}^{-2} \text{s}^{-1}$  for C4  
460 crop (maize)) and VPD (average  $m$  of  $0.56 \ln(\text{kPa}^{-1})$ ) for all forest PFTs and crops,  
461 in agreement with many land-surface models that do not differentiate between  $g_s$   
462 model parameters for these stomatal responses among PFTs (De Kauwe et al.,  
463 2015). However, we should note that  $m$  of desert shrubs may be lower ( $0.37$   
464  $\ln(\text{kPa}^{-1})$ ).  $f_{\text{night}}$  was 0.14 across forest tree types, i.e. 14% of  $g_{\text{max}}$ .  $f_{\text{night}}$  of desert  
465 shrubs was higher (28% of  $g_{\text{max}}$ ).  $f_{\text{night}}$  was  $\sim 0.13$  across the crops.

466 Our analysis identified major gaps in our understanding of stomatal  
467 responses to soil moisture and phenological changes in both woody and crop  
468 species and of the responses to light and temperature in tropical raingreen trees,  
469 tundra shrubland, and desert shrubland. More research is also recommended for  
470  $g_{\text{max}}$  of tropical raingreen and boreal needleleaved summergreen trees and tundra  
471 shrubland, because only less than 10 values were available for these PFTs.  
472 Information for  $f_{\text{night}}$  is still limited, particularly for tropical evergreen/raingreen,  
473 needleleaved summergreen, Mediterranean trees, tundra shrubs, and crops.  
474 Interest in the role of  $f_{\text{night}}$  in the optimization of  $g_s$  (Cirelli et al., 2016) and in  
475 the uptake of  $\text{O}_3$  (Grulke et al., 2007; Hoshika et al., 2013a) is increasing. If  
476 increasing water loss at night leads to higher total daily water use, then soil water  
477 content may decrease, leading to drier soils and lower rates of transpiration during  
478 the resultant dry periods (Zeppel et al., 2014). We therefore propose to  
479 incorporate  $f_{\text{night}}$  into Jarvis-type models (see Eq. 1).

480 The empirical responses in the models may also be altered in plants grown  
481 at elevated levels of  $\text{CO}_2$  (Heath & Kerstiens 1997; Heath 1998; Bobich et al.,  
482 2010) and  $\text{O}_3$  (Pearson & Mansfield, 1993; Paoletti & Grulke, 2005; Wilkinson &  
483 Davies, 2010; Hoshika et al., 2013b). Further experimental evidence at elevated  
484  $\text{CO}_2$  and/or  $\text{O}_3$  levels will improve the empirical models of  $g_s$  under such future

485 changing environments, which are incorporated into global climatic models to  
486 assess land-atmosphere carbon and water exchanges.

487

488

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499

#### 500 **Supporting information**

501 Additional Supporting Information may be found in the online version of this  
502 article:

503 Appendix S1 Data set for the analysis.

504 Appendix S2 Supplementary figures

505 Appendix S3 Stan codes for the statistical analysis

506

#### 507 **Biosketch**

508 Y. Hoshika is a post-doctoral researcher at the National Research Council  
509 (CNR) of Italy. His current research interest is modeling of environmental  
510 botany of plant species as affected by ozone stress.

511 Author contributions: Y.H., A.DM., J.P. and E.P. conceived the study. Y.H.

512 collected data, and wrote the first draft of the manuscript. Y.H. and Y.O.  
513 undertook the statistical analyses. Y.O. conducted the programming by R  
514 software for statistical analysis. Y.O., A.DM., J.P. and E.P. revised the  
515 manuscript and contributed to the final version.

516

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839 **Appendix 1: Data Sources**

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