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## Soil respiration strongly offsets carbon uptake in Alaska and Northwest Canada

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**Title: Soil Respiration Strongly Offsets Carbon Uptake in Alaska and Northwest Canada**

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**Abstract**

Soil respiration (i.e., from soils and roots) provides one of the largest global fluxes of carbon dioxide ( $\text{CO}_2$ ) to the atmosphere and is likely to increase with warming, yet the magnitude of soil respiration from rapidly thawing Arctic-boreal regions is not well understood. To address this knowledge gap, we first compiled a new  $\text{CO}_2$  flux database for permafrost-affected tundra and boreal ecosystems in Alaska and Northwest Canada. We then used the  $\text{CO}_2$  database, multi-sensor satellite imagery, and Random Forest models to assess the regional magnitude of soil respiration. The flux database includes a new Soil Respiration Station network of chamber-based fluxes, and fluxes from eddy covariance towers. Our site-level data, spanning September 2016 to August 2017, revealed that the largest soil respiration emissions occurred during the summer (June-August) and that summer fluxes were higher in boreal sites ( $1.87 \pm 0.67 \text{ gCO}_2\text{-C m}^{-2} \text{ d}^{-1}$ ) relative to tundra ( $0.94 \pm 0.4 \text{ gCO}_2\text{-C m}^{-2} \text{ d}^{-1}$ ). We also observed considerable emissions (boreal:  $0.24 \pm 0.2 \text{ gCO}_2\text{-C m}^{-2} \text{ d}^{-1}$ ; tundra:  $0.18 \pm 0.16 \text{ gCO}_2\text{-C m}^{-2} \text{ d}^{-1}$ ) from soils during the winter (November-March) despite frozen surface conditions. Our model estimates indicated an annual region-wide loss from soil respiration of  $591 \pm 120 \text{ Tg CO}_2\text{-C}$  during the 2016-2017 period. Summer months contributed to 58% of the regional soil respiration, winter months contributed to 15%, and the shoulder months contributed to 27%. In total, soil respiration offset 54% of annual gross primary productivity (GPP) across the study domain. We also found that in tundra environments, transitional tundra/boreal ecotones, and in landscapes recently affected by fire, soil respiration often exceeded GPP, resulting in a net annual source of  $\text{CO}_2$  to the atmosphere. As this region continues to warm, soil respiration may increasingly offset GPP, further amplifying global climate change.

**Keywords:** Arctic, boreal, soil respiration, roots, carbon,  $\text{CO}_2$ , winter, ecosystem vulnerability, climate change

## 1 2 3 74 **1. Introduction**

4  
5 75 The northern permafrost region holds over 50% of the global soil organic carbon (SOC) pool and  
6 approximately one trillion tonnes of carbon in the top 3-m of soil alone (Hugelius *et al* 2014,  
7 Meredith *et al* 2019). Historically, SOC in permafrost-affected ground and seasonally thawed  
8 active layers was largely protected from microbial decomposition by low-temperatures  
9 (Faucherre *et al* 2018). However, arctic air temperatures have increased rapidly (Box *et al* 2019),  
10 rising 2.7 °C (annual average) and 3.1 °C (October – May) between 1971 to 2017. This warming  
11 has increased the length of the non-frozen season (Kim *et al* 2012) and has deepened soil thaw  
12 (Luo *et al* 2016) in Alaska and Canada. Soil warming can increase microbial activity (Natali *et al*  
13 2014) and may result in large amounts of soil carbon being released into the atmosphere,  
14 predominantly as carbon dioxide (CO<sub>2</sub>; Schuur *et al* 2015, Turetsky *et al* 2020).

15  
16 85 Soil root and microbial respiration (herein referred to as soil respiration) are dominant  
17 components of an ecosystem's annual CO<sub>2</sub> emission (Mahecha *et al* 2010). Soil respiration in  
18 boreal forests is estimated to account for 48–68% of total ecosystem respiration (ER; soil +  
19 aboveground components; Hermle *et al* 2010, Parker *et al* 2020). In tundra, soil respiration is the  
20 primary source of CO<sub>2</sub> efflux and summer emissions alone may account for 60–90% of annual  
21 ER (Sommerkorn *et al* 1999, Gagnon *et al* 2018, Strimbeck *et al* 2018). Generally, the  
22 seasonality and magnitude of soil respiration are influenced by soil temperature, soil water  
23 content, root activity, and microbial-community access to SOC (Bond-Lamberty *et al* 2004,  
24 Schuur *et al* 2009, Nagano *et al* 2018).

25  
26 94 As northern landscapes continue to warm, CO<sub>2</sub> emissions resulting from soil respiration may  
27 increasingly offset carbon uptake by plants (i.e., gross primary productivity, GPP). Moreover, the  
28 fastest rate of warming in the Arctic-boreal region is occurring in autumn, winter, and spring  
29 (Box *et al* 2019), a period when microbial respiration continues but plant productivity is limited.  
30 Recent tundra and boreal carbon budgets in northern Alaska and Canada using eddy covariance  
31 (EC) flux observations show that enhanced soil respiration during an anomalously warm winter  
32 (2015-2016) offset any carbon gains provided by GPP (Liu *et al* 2020). Similarly, annual soil  
33 respiration offset 75% of the total forest GPP in a boreal Finland study (Pumpanen *et al* 2015). In  
34 northern Sweden, a steady increase in soil respiration, and no change in forest GPP, resulted in a  
35 transition from net annual ecosystem CO<sub>2</sub> sink to source (Hadden *et al* 2016). An atmospheric  
36 study of North Slope, Alaska tundra reported late autumn and early winter CO<sub>2</sub> emissions had  
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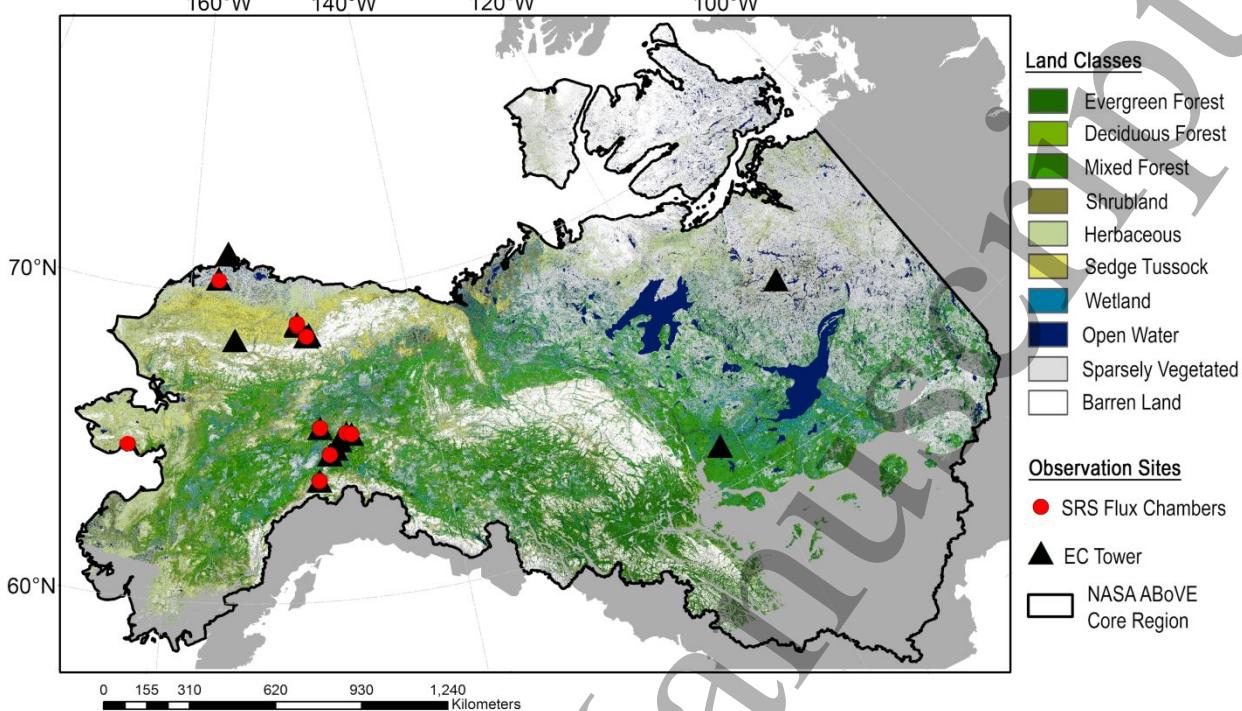
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3 105 increased by 73% since 1975 (Commane *et al* 2017). These observed increases in soil respiration  
4 have been attributed to increased ground thaw (Kim *et al* 2006) and residual unfrozen water in  
5 soil pore space (Faucherre *et al* 2018). Further, a recent synthesis of soil flux indicated soil  
6 respiration from Arctic-boreal permafrost regions may already outweigh ecosystem CO<sub>2</sub> uptake  
7 under contemporary climate conditions (Natali & Watts *et al* 2019).  
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110 Little is known about the spatiotemporal patterns of soil CO<sub>2</sub> emissions from tundra and  
111 boreal biomes at the regional level, in part due to the lack of spatial representation by in situ  
112 observations. Existing in situ (e.g., EC) and satellite-based CO<sub>2</sub> monitoring networks are unlikely  
113 to detect changes in soil respiration across the permafrost domain (Parazoo *et al* 2016),  
114 especially in winter months, or identify local changes in net ecosystem exchange (NEE) or  
115 component (i.e., GPP and respiration) CO<sub>2</sub> fluxes (Schimel *et al* 2015).  
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117 Process-based terrestrial models can be useful tools to diagnose how components of the  
118 carbon cycle might change in response to shifts in ecosystem properties and climate but are  
119 hampered in representing seasonal and spatial patterns by the lack of integrated observations  
120 (Fisher *et al* 2018, Natali & Watts *et al* 2019). In many regions, including Northern Eurasia and  
121 Alaska, process-models have failed to agree on flux magnitudes and even the sink vs. source  
122 status of ecosystem carbon budgets (Fisher *et al* 2014, Rawlins *et al* 2015). Improving process-  
123 level understanding of soil respiration requires integrating in situ flux data, observations of  
124 ecosystem properties (e.g., vegetation characteristics, thermal and moisture state) from satellite  
125 remote sensing, and data-informed modeling (Jeong *et al* 2018, Schimel *et al* 2019).  
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127 This study addresses knowledge gaps in our understanding of soil respiration from  
128 permafrost ecosystems. We seek to improve understanding of the spatiotemporal patterns of soil  
129 respiration in boreal and tundra landscapes, the magnitudes of seasonal and annual soil CO<sub>2</sub> loss,  
130 and how soil respiration impacts ecosystem carbon budgets. Here we apply information gained  
131 from a new network of Soil Respiration Stations (SRS) within the NASA Arctic Boreal  
132 Vulnerability Experiment (ABOVE) domain. We also incorporate a complementary suite of flux  
133 records from EC towers within the region. We used Random Forest models and remote sensing  
134 to extrapolate soil fluxes to the ABOVE domain for the 2016-2017 period, obtaining spatially and  
135 seasonally disaggregated regional estimates of soil emissions. Last, we determine the seasonal  
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3 134 and annual offset of GPP by respiration (soil, and ecosystem) to identify landscape net annual  
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5 135 carbon source, or sink, status under contemporary climate conditions.  
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8 136 **2. Methods**  
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11 137 *2.1. Study region*  
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13 138 The spatial domain of this study, which includes permafrost-affected landscapes of Alaska and  
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139 Northwest Canada, represents the core region of the NASA ABoVE Field Campaign (Kasischke  
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140 *et al* 2014, Loboda *et al* 2019) and spans gradients of climate, permafrost distribution (or  
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141 prevalence), vegetation, and ecosystem disturbance from fires (Figure 1). Approximately 24% of  
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142 the region has been recently burned (between 2000 and 2017; Loboda *et al* 2017a, 2017b,  
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143 Pastick *et al* 2018). Because our flux sampling locations only represent permafrost-affected  
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144 ecosystems, our analyses excluded landscapes where permafrost was absent (Gruber 2012); we  
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145 also excluded barren lands (< 10% vegetation) and open water.  
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23 146 *2.2. SRS chamber data*  
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25 147 We used CO<sub>2</sub> flux data from 10 SRS (Minions *et al* 2019) installed along a north-south gradient  
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27 in Alaska, spanning the North Slope to Eight Mile Lake near Denali National Park (Figure 1;  
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29 148 *Supporting Information, SI Table 1*). Each SRS is a fully automated system that measures soil  
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31 149 surface CO<sub>2</sub> flux using three forced diffusion (FD) chambers. The SRS technique was designed  
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33 150 to provide year-round measurements of soil emissions (live aboveground vegetation was  
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35 151 removed during chamber installations to ensure that flux measurements do not reflect net CO<sub>2</sub>  
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37 152 exchange), even during periods of snow cover. Detailed information about the SRS system and  
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39 153 FD processing is provided in the Supplement (*SI Section 1*). In addition to the SRS records,  
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41 154 chamber-based fluxes collected using an Eosense eosFD portable sensor near Council, Alaska  
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43 155 were obtained from project partners. Six of the 11 FD stations (SRS and the eosFD site) are in  
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45 156 tundra and five in the boreal region. Six of the SRS sites represent paired burned and unburned  
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47 157 ecosystems (*SI Table 1*).  
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**Figure 1.** Locations of soil respiration stations (SRS) and eddy covariance (EC) towers considered in this study. The study domain is part of the NASA ABoVE core region. The sites span climate and vegetation gradients (tundra to boreal) within Alaska and Northwest Canada. Landscapes evaluated in this study ( $2.68E12 \text{ km}^2$ ) do not include barren land, open water, or where permafrost was absent (indicated in grey). Landcover classes are from Wang *et al* (2019).

### 2.3. EC tower data

We used AmeriFlux ([ameriflux.lbl.gov](http://ameriflux.lbl.gov)) and EC-investigator provided quality-controlled  $\text{CO}_2$  flux records primarily from September 2016 through August 2017 (matching the period of highest data availability from the SRS sites) from 15 EC towers (Figure 1, see *SI Table 1, SI Section 2.1*); 8 tower sites were in tundra and 7 in boreal. The half hourly EC records included NEE, GPP, and ER. NEE was obtained directly from the EC records and indicates the net of ecosystem  $\text{CO}_2$  respiration and  $\text{CO}_2$  uptake; GPP and ER were obtained using standard EC flux partitioning algorithms (Reichstein *et al* 2005, Lasslop *et al* 2010). Quality data were available year-round for at least ten sites (*SI Table 1; SI Figure 2*).

### 2.4. Flux modeling

We used published values from field and laboratory studies to separate aboveground respiration components from the EC-based ER records (*SI Section 2.2*). We acknowledge that the literature-based ratio approach does not account for seasonal variability in aboveground respiration, and

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3 178 variability from other factors including temperature, species type, total biomass, and ecosystem  
4 179 stress. However, this approach was used because more detailed information was not available.  
5 180 We then used the combined SRS FD and EC ER dataset, information from remote sensing, and  
6 181 ancillary geospatial layers (*SI Section 3*) to obtain data-driven Random Forest models (*SI Section*  
7 182 *4*) developed separately for summer (June – August), autumn (September, October), winter  
8 183 (November – March) and spring (April and May). These seasons were based on observed  
9 184 seasonality in the tundra and boreal SRS and EC flux records (*SI Figure 3*). Candidate variables  
10 185 used in the models are described in the Supplement (*SI Section 3*) and included information  
11 186 about vegetation greenness and productivity, leaf area, topography, soil characteristics (e.g.,  
12 187 permafrost status, soil texture, soil organic carbon content), and other environmental conditions  
13 188 (e.g., albedo, radiation, temperature, snow cover, soil moisture status).  
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#### 189 *2.4.1 Random forest models and spatial prediction*

190 Random Forest (RF) is a machine learning method that uses an ensemble approach to regression  
191 by means of multiple decision trees and bootstrap sampling (Liaw & Wiener 2002, Cutler *et al*  
192 2012). RFs have been widely used in ecological studies (Pearson *et al* 2013, Clewley *et al* 2017)  
193 and carbon budget assessments (Tramontana *et al* 2015, Jung *et al* 2020). Strengths of RF  
194 include the ability to handle high-dimensional problems, noise, and non-linearity, and its ability  
195 to provide robust internal estimates of error and variable importance (Cutler *et al* 2012).

196 We developed RF models in the R computing environment (R Core Team 2019) using the  
197 randomForest package (Liaw 2018). Each tree was constructed using a random selection (i.e.,  
198 bagging) of approximately 2/3 of the samples (42 site-flux observations in the autumn model,  
199 110 in the winter model, 48 in the spring model and 65 in the summer model; see *SI Section 4.1*).  
200 The remaining 1/3 of the observations was used to validate each tree in the forest (1000 trees per  
201 trained RF model). Predictor variable (*SI Table 4*) selection was achieved using the Variable  
202 Selection Using Random Forest (VSURF; Genuer *et al* 2019, Genuer *et al* 2010) R package  
203 which was designed to reduce high (>70%) cross-correlations between the selected inputs. The  
204 tuneRF algorithm (Liaw 2018) was applied to optimize the Mtry parameter (the number of  
205 variables available for splitting at each tree node). Variable importance was assessed using  
206 randomForest varImpPlot (Liaw 2018) and the rfPermute (Archer 2020) R package was used to  
207 provide corresponding estimates of parameter significance. This process was applied to obtain

optimal RF models for each season (*SI Section 4.2*). The final models were applied to the raster predictor datasets (raster package in R; Hijmans *et al* 2020) to obtain 300-m resolution maps of monthly average soil respiration.

### 2.4.2 ABoVE region carbon budgets

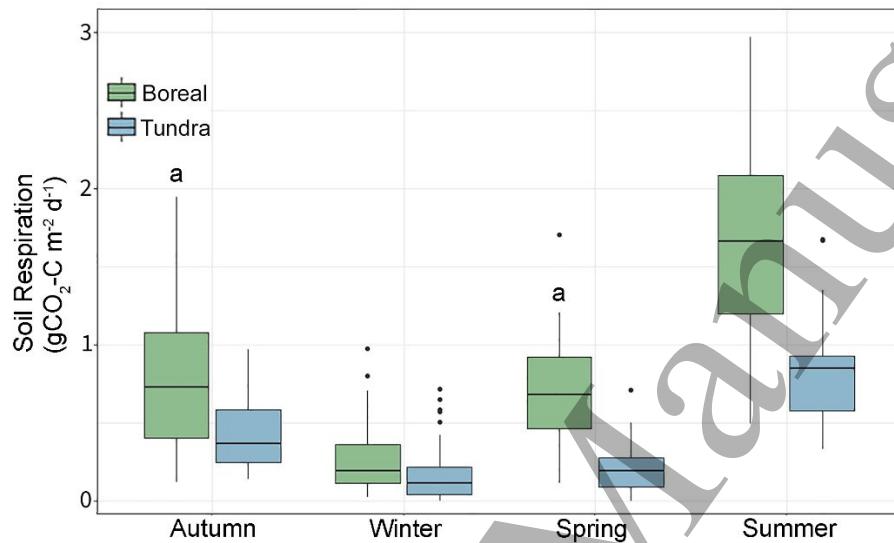
We used the monthly average soil CO<sub>2</sub> emission maps (gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>) from the RF models to obtain regional flux budgets. The emission estimates were scaled to the terrestrial spatial domain within each 300 x 300 m grid cell by removing fractions of identified open water within each grid cell. Fractional water was derived using the 30-m Wang *et al* (2019) land cover map for 2014. We then obtained monthly and annual soil respiration totals for the ABoVE domain (T<sub>g</sub> CO<sub>2</sub>-C period<sup>-1</sup>). To determine the extent that soil respiration offset the annual ecosystem uptake of CO<sub>2</sub> (i.e., GPP), we obtained estimates from an ensemble of satellite observation based GPP records for the 2016 and 2017 period (*SI Section 3*), including NASA MODIS MOD17 (MOD17A2H.006, Running *et al* 2015), NASA Soil Moisture Active Passive (SMAP) Level 4 Carbon (L4\_C) (Kimball *et al* 2014, Jones *et al* 2017) and Global OCO-2 SIF (GOSIF) GPP data products (Li & Xiao 2019). Lastly, to gauge the potential impact of regional NEE on annual GPP, we used literature-based flux ratios (*SI Section 2*) to provide estimates of emissions from aboveground respiration, in addition to our RF-estimates of soil respiration.

### 3. Results

### *3.1 Soil emission characteristics*

227 Site-level fluxes showed strong seasonal emission patterns (Figure 2) closely tied to changes in  
 228 air and soil temperature (Figure 3). Soil respiration (regional mean  $\pm$  standard deviation) was  
 229 largest in summer (boreal:  $1.87 \pm 0.67$  gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>; tundra:  $0.94 \pm 4$  gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>) and  
 230 peak daily-averaged respiration was often observed in July (*SI Figure 3*), the warmest month (air  
 231 temperatures  $> 10$  °C, at EC and SRS flux sites). This was followed by a steady decline in  
 232 autumn (boreal:  $0.8 \pm 0.4$  gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>; tundra:  $0.42 \pm 0.2$  gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>). Winter respiration  
 233 persisted even under snow cover, and cold air and soil (10-15 cm depth) temperatures averaging  
 234  $-18 \pm 6$  °C and  $-3.5 \pm 2.7$  °C, respectively. In winter, boreal soil respiration averaged  $0.24 \pm 0.2$   
 235 gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup> and tundra averaged  $0.18 \pm 0.16$  gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>. Soil respiration began to  
 236 increase again in spring (boreal:  $0.82 \pm 0.6$  gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>; tundra:  $0.28 \pm 0.2$  gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>) as  
 237 ecosystems warmed (average boreal/tundra soil temperatures of  $-1.98$  °C in April,  $-0.07$  °C in

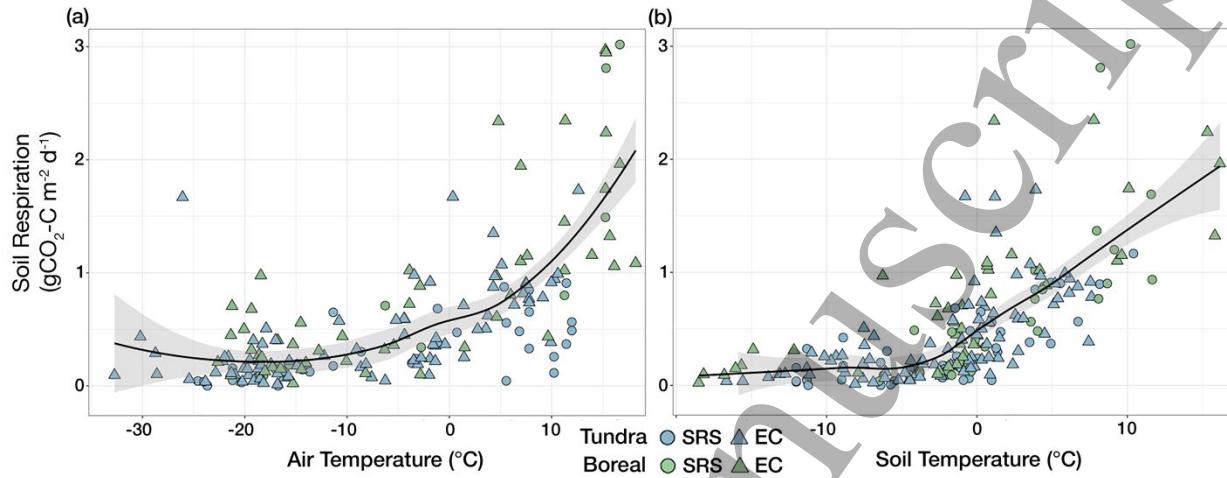
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3 238 May, and 1.82 °C in June). Soil respiration from boreal sites was systematically higher than  
4 those from tundra in all seasons, excluding winter (t-test;  $p=0.03$  in autumn,  $p=0.22$  in winter,  
5  $p=0.002$  in spring,  $p < 0.001$  in summer). T-test significance for monthly flux averages is shown  
6 in *SI Figure 3* and seasonal flux patterns according to biome (i.e., tundra or boreal) and flux  
7 location are shown in *SI Figure 4*.  
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31 244  
32 245 **Figure 2.** Seasonal soil respiration patterns observed in the SRS and EC fluxes for the ABove  
33 246 domain, for boreal (green) and tundra (blue) biomes. Soil respiration emissions are average  
34 247 monthly fluxes from individual sites, totaling 45 site-fluxes in autumn, 110 in winter, 48 in  
35 248 spring, and 65 in summer. The boxplot range indicates the first and third quartiles; the middle  
36 249 line denotes the median. Box whiskers indicate minimum and maximum values, excluding  
37 250 outliers indicated by black circles; 'a' denotes t-test results with no significant difference  
38 251 between seasons at  $\alpha = 0.05$ .  
39 252

40 253 Air temperature ( $p = 0.009$ ) and soil temperature at 10-15 cm depth ( $p = 0.01$ ) explained 65%  
41 of the observed variability in monthly soil respiration at the site level, in a linear regression  
42 analysis that included fluxes from all seasons. During the 2016-2017 period, soil respiration was  
43 observed even at air temperatures approaching -30 °C and at soil temperatures (~ 15 cm depth)  
44 below -10 °C (Figure 3a, b; *SI Figure 5*). Soil respiration increased steadily after ground thaw.  
45  
46 257 Soil respiration for the 14 tundra and boreal sites where in situ soil moisture was available  
47 indicated that higher fluxes in summer most often occurred where soils ( $\leq 15$  cm depth) were  
48 relatively wet but not saturated (*SI Figure 6*). Observed relationships between the seasonal site-  
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3 261 level soil respiration fluxes and important remote-sensing based indicators of permafrost status,  
4 262 temperature, soil moisture, and GPP is provided in *SI Figure 7*.  
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264 **Figure 3.** Observed relationships between (a) air temperature or (b) in situ soil temperature (  
265  $\sim 10\text{--}15 \text{ cm depth}$ ) and average monthly soil respiration ( $\text{gCO}_2\text{-C m}^{-2} \text{d}^{-1}$ ) from eddy covariance  
266 (EC; triangles) and soil respiration stations (SRS; circles) in Alaska and Northwest Canada for  
267 boreal (green) and tundra (blue) sites. Fitted curves (black lines) were obtained using locally  
268 weighted loess smoothing; grey shading represents confidence intervals (+/- standard error).

### 3.2 RF model performance and variable importance

270 The RF models explained much of the variance in soil respiration, with moderate-to-low root  
271 mean squared error (RMSE) and mean absolute error (MAE; *SI Table 5*, *SI Figure 8*). The  $R^2$   
272 values were 0.68 for the summer model, 0.57 for autumn, 0.65 for winter, and 0.76 for spring.  
273 The respective RMSE ( $\text{gCO}_2\text{-C m}^{-2} \text{d}^{-1}$ ) values were 0.35 (summer), 0.24 (autumn), 0.10  
274 (winter), and 0.25 (spring). The positive MAE (averaging  $0.2 \pm 0.09 \text{ gC m}^{-2} \text{d}^{-1}$ ) indicated a  
275 slight underestimation of soil respiration by the models. In the summer RF model, MODIS  
276 (MOD) GPP was the most important variable, followed by soil sand content (an indicator of  
277 water retention and nutrient content), MODIS leaf area index (LAI), tree cover, and normalized  
278 difference vegetation index (NDVI; an indicator of greenness). In the autumn model, SMAP  
279 Root Zone Soil Moisture (RZSM) was the most important predictor (Table 1), followed by  
280 permafrost zonation index (PZI), SMAP soil temperature (TSOIL) from layer 4 (70-140 cm  
281 depth), downwelling shortwave radiation (RAD), and SoilGrids SOC (0-30 cm depth). In winter,  
282 the Landsat-based Normalized Difference Water Index (NDWI; an indicator of landscape  
283 wetness gradients) was most important, providing finer resolution (30-m) legacy information

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3 284 about moisture status from the previous summer. Other significant predictors were MODIS LAI,  
4 Landsat enhanced vegetation index (EVI; another indicator of greenness), SMAP RZSM, PZI, a  
5 MODIS snow index (NDSI), and SMAP layer 3 (~30-70 cm) TSOIL. The 30-70 cm soil  
6 temperature selected by the winter model may better represent the delay in active-layer freeze as  
7 deeper soils remain closer to 0 °C even after upper-layers have frozen (e.g., Zona *et al* 2016).  
8 The PZI was the most important variable for the spring model, followed by tree cover, land  
9 surface temperature (LST), soil clay content, MODIS GPP, Landsat EVI, and SMAP surface (0-  
10 10 cm) soil moisture (SM).  
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18 292 **Table 1.** Variable importance for the seasonal RF models, according to the percentage increase  
19 in model mean squared error (%IncMSE) when a specific variable was excluded in the  
20 development of regression trees. Larger values for %IncMSE indicate greater importance of the  
21 predictor variable relative to the other predictors. MON indicates that variable information was  
22 input for each month and Summer indicates variable information from June-August.  
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Summer			Autumn		
Variable	%IncMSE	p-value	Variable	%IncMSE	p-value
MOD GPP (Summer)	22.02	0.0033	SMAP RZSM (MON)	19.83	0.0016
SoilGrids % Sand	21.52	0.0033	PZI	16.32	0.0033
MOD LAI (Summer)	20.24	0.0003	SMAP Tsoil L4 (MON)	15.69	0.0017
MOD % Tree Cover	20.23	0.0050	SMAP RAD (MON)	15.43	0.0049
MOD NDVI (MON)	17.60	0.0067	SoilGrids SOC	9.44	0.0549
Winter			Spring		
Variable	%IncMSE	p-value	Variable	%IncMSE	p-value
Landsat NDWI (Summer)	22.53	0.0017	PZI	17.47	0.0019
MOD LAI (Summer)	21.14	0.0016	MOD % Tree Cover	16.94	0.0009
Landsat EVI (Summer)	21.13	0.0017	MOD LST (MON)	12.79	0.1798
SMAP RZSM (MON)	20.79	0.0016	SoilGrids % Clay	12.67	0.0099
MOD GPP (Summer)	19.78	0.0017	MOD GPP (Summer)	12.05	0.0079
PZI	18.85	0.0017	Landsat EVI (Summer)	10.40	0.0159
MOD NDSI (MON)	18.11	0.0016	SMAP SM (Summer)	10.12	0.0229
SMAP TSOIL L3 (MON)	10.70	0.0233			

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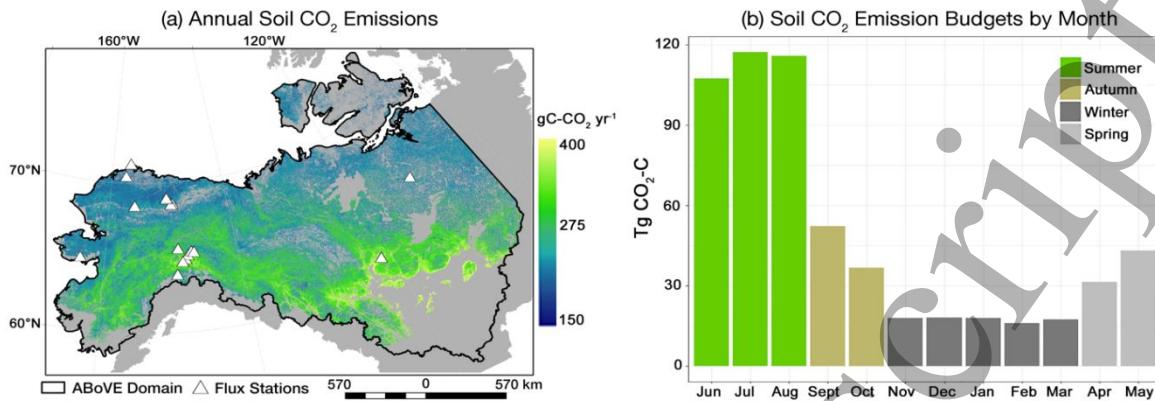


Figure 4. (a) Annual soil respiration emissions ( $\text{gCO}_2\text{-C m}^{-2}$ ) per 300-m grid cell for the ABoVE domain (2016-2017). Estimates exclude non-permafrost, barren, and open water (in grey) areas. Triangles indicate EC and SRS flux monitoring sites used for model development. (b) Monthly RF-derived respiration ( $\text{TgCO}_2\text{-C}$ ) for the ABoVE region.

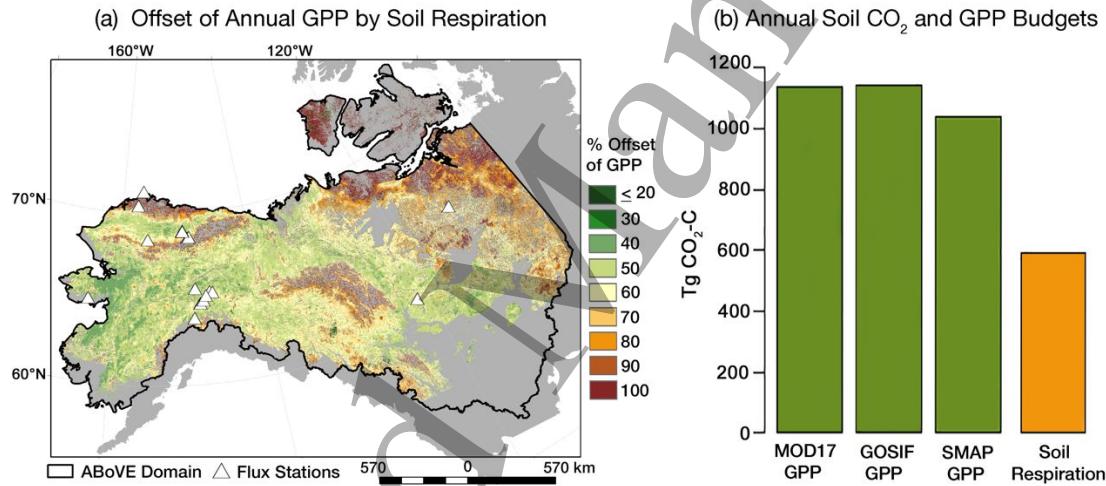


Figure 5. (a) Reduction (offset) of GPP by soil respiration. A 100% offset indicates that soil respiration equaled or exceeded GPP. Triangles indicate CO<sub>2</sub> flux monitoring stations (EC and SRS) used for model development. (b) Annual soil respiration and GPP totals ( $\text{TgCO}_2\text{-C}$ ) for the ABoVE domain. GPP is from MODIS (MOD17), GOSIF, and SMAP L4\_C products.

### 3.3 Annual carbon flux estimates for ABoVE domain

Annual soil respiration emission for the study domain was  $591.2 \text{ TgC-CO}_2 \pm 120 \text{ TgC-CO}_2$  during the 2016-2017 period (Figure 4; SI Table 6). Monthly soil respiration maps are provided in SI Figure 9 and seasonal respiration budgets are shown in SI Figure 10 (SI Figure 11 shows associated emission uncertainty maps). Summer (June – August) contributed to 58% of annual soil respiration, the longer winter (November – March) period generated 15%, with comparable proportions occurring in autumn (15%, September, October) and spring (12%, April, May). Across the ABoVE region, the largest soil respiration budgets occurred in the boreal zones and

321 the warmer, more southern, forest-tundra ecotone. Over half of regional soil respiration  
 322 emissions (54% of annual total) were from colder landscapes having a widespread occurrence of  
 323 near-surface permafrost (i.e., where the PZI was  $> 75\%$ ; spanning 70% of the domain) and the  
 324 remaining 46% of emissions were from warmer permafrost ( $0\% < \text{PZI} > 75\%$ ; 30% of the  
 325 domain; Table 2; *SI Figure 12*). The area covered by Shrubland/Herbaceous vegetation produced  
 326 the majority (46%) of soil respiration, followed by Sparse Vegetation and Evergreen Forest.

327 **Table 2.** Percent of annual soil respiration and annual GPP totals for the study domain,  
 328 according to tundra (including shrub tundra and excluding transitional tundra-boreal biomes) and  
 329 boreal biomes (from Natali & Watts *et al* 2019), vegetation cover (from Wang *et al* 2019) and  
 330 permafrost class (Gruber *et al* 2019).

Land Cover	% of Domain	% of GPP	% of Soil Respiration
Boreal Biome	86	85	83
Tundra Biome	14	15	17
Shrubland/Herbaceous	43.7	49	46
Sparse Vegetation	22.9	17	19
Evergreen Forest	14.3	15	16
Wetland	10.4	10	10
Mixed Forest	3.3	4	3.5
Tussock Tundra	3.7	3	2.9
Deciduous Forest	1.7	2	2.6
Permafrost Class	% of Domain	% of GPP	% of Soil Respiration
PZI $> 75$	70	38	54
$50 < \text{PZI} \leq 75$	14	21	12
$25 < \text{PZI} \leq 50$	9	21	8
$0 < \text{PZI} \leq 25$	7	20	26

331 Annual GPP for the whole domain, obtained from MOD17, GOSIF, and SMAP L4\_C  
 332 products (Section 2.4.2, *SI Figure 13*), was 1046-1256 TgCO<sub>2</sub>-C in 2016 and 1025-1134 TgCO<sub>2</sub>-  
 333 C in 2017 (*SI Table 7*) with an estimated uncertainty of 310 TgCO<sub>2</sub>-C yr<sup>-1</sup> (*SI Section 3*). Annual  
 334 GPP was considerably higher ( $> 600 \text{ gCO}_2\text{-C m}^{-2} \text{ yr}^{-1}$ ) in the boreal regions relative to tundra ( $<$   
 335 300 gCO<sub>2</sub>-C m<sup>-2</sup> yr<sup>-1</sup>; *SI Figure 13*). Our extrapolations indicate soil respiration offset  
 336 approximately 54% of GPP across the domain (averaging 1101 TgCO<sub>2</sub>-C). The offset of GPP by  
 337 soil respiration varied considerably across the region (Figure 5; *SI Figure 14*). Offsets of  $\geq$   
 338 100% (i.e., annual net carbon source areas) were identified in far northern tundra and  
 339 mountainous landscapes, along transitional tundra-boreal ecotones, and in landscapes recently  
 340 disturbed by fire (e.g., west of Hudson Bay & south of the Selwyn Mountains in Canada). We  
 341 estimate that approximately 8% of the ABoVE region was a net carbon source (100% offset of

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3 342 GPP) in 2016-2017, based on soil respiration alone and not accounting for aboveground  
4 respiration and non-terrestrial carbon emissions (i.e., aquatic bodies).  
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7 344 **4. Discussion**  
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10 345 This study provides new estimates of soil respiration for the ABoVE domain and insights into  
11 how soil respiration is offsetting net annual GPP across permafrost-affected tundra and boreal  
12 landscapes. Our analysis of in situ observations and RF-model results indicate that soil  
13 respiration was generally highest under warmer (above freezing) soil temperatures and deeper  
14 seasonal soil thaw, in moderate-to-moist soils (0.5-0.8 m<sup>3</sup> m<sup>-3</sup>), and in areas with higher  
15 vegetation productivity. Accordingly, the largest annual soil respiration rates occurred in boreal  
16 ecosystems where trees and shrubs were present, especially along the more southern portions of  
17 the domain with substantial permafrost thaw.  
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20 353 *4.1 The temperature-soil respiration relationship*  
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23 354 Consistent with earlier studies (e.g., Wickland *et al* 2006, Natali *et al* 2014, Loranty *et al*  
24 355 2018), we found temperature to be an important driver of soil respiration at the site level. Our  
25 356 regional flux assessments showed highest soil respiration rates in summer (contributing to 58%  
26 357 of annual soil respiration) when soil temperatures were warmer and soil thaw was deepest.  
27 358 Higher emissions in warmer soils are not only from increased microbial decomposition of SOC,  
28 359 but likely also from increased root activity (i.e., belowground autotrophic respiration), a strong  
29 360 source of CO<sub>2</sub> in thawing permafrost systems (Hicks Pries *et al* 2015, 2016). Although gridded  
30 361 estimates of belowground root density are not available for this region, LAI, % tree cover, and  
31 362 vegetation indices (important predictors in the RF models) provided proxies of vegetation  
32 363 productivity (e.g., Street *et al* 2006), and indirect information about root respiration.  
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35 364 Within the site-level soil respiration database, larger, and sometimes episodic, CO<sub>2</sub> emissions  
36 365 (> 0.5 gCO<sub>2</sub>-C m<sup>-2</sup> d<sup>-1</sup>) were observed as soil temperatures approached 0 °C, especially as soil  
37 366 layers began to freeze in the autumn. Like our site-level findings, an atmospheric study of  
38 367 Alaska's North Slope also identified high CO<sub>2</sub> emissions in autumn and early winter (October –  
39 368 December; Commane *et al* 2017) during the landscape freeze. Although our RF model approach  
40 369 represented regional flux characteristics relatively well, the autumn RF model had the lowest  
41 370 performance of the four seasonal models, resulting from its inability to capture spatiotemporally  
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3 371 episodic releases of CO<sub>2</sub> observed in situ. As a result, the model underestimated regional CO<sub>2</sub>  
4 372 emissions (by  $\geq 0.2$  gC m<sup>-2</sup> d<sup>-1</sup>, based on MAE estimates) during the autumn period.  
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8 374 *4.2 Regional predictors of soil respiration*  
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10 375 Our regional assessments show that carbon source/sink status is highly heterogeneous.  
11 376 Annual carbon status of an ecosystem is influenced by many factors, including GPP and plant  
12 377 community type (e.g., Rouse *et al* 2002, Parmentier *et al* 2011, Oechel *et al* 2014, Forkel *et al*  
13 378 2016, Ge *et al* 2017, Christiansen *et al* 2018), winter snow cover which insulates soils (e.g.,  
14 379 Welker *et al* 2000, Christiansen *et al* 2018), and shifts in vegetation growth and microbial  
15 380 activity (Arndt *et al* 2019, Kim *et al* 2021). Soil moisture is also an extremely influential factor  
16 381 that is very heterogeneous across the landscape and affects both vegetation productivity and soil  
17 382 respiration (Grogan & Chapin III 1999), yet this environmental variable can be radically altered  
18 383 by permafrost thaw (Jorgenson *et al* 2013) and is especially difficult to monitor regionally at  
19 384 finer landscape-level scales (Du *et al* 2019).  
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22 385 Burn status (i.e., burned or unburned) was not a significant predictor of the regional monthly-  
23 386 averaged soil respiration emissions examined in this analysis, which could be in part due to our  
24 387 database containing information from only three burn sites (representing tundra and forest  
25 388 landscapes 11-15 years after fire), or because of rapid post-fire recovery. Following a fire event,  
26 389 the combination of warmer and drier soils can substantially increase CO<sub>2</sub> flux from soils (O'Neill  
27 390 *et al* 2002, 2003, Ueyama *et al* 2019). However, a review of fire disturbance at high latitudes  
28 391 reported that soil and root respiration in forests may stabilize after a decade (Ribeiro-Kumara *et*  
29 392 *al* 2020). As a result, our estimates likely underestimate soil respiration from recently burned  
30 393 areas ( $\sim 5\%$  of the domain from 2012-2016; *SI Figure 15*; Alaska and Canada Large Fire  
31 394 Databases; Kasischke *et al* 2002, Amiro *et al* 2001, Stocks *et al* 2002).  
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34 395 *4.3 Regional carbon budgets*  
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37 396 Our 2016-2017 assessment shows an annual soil respiration loss of 591Tg CO<sub>2</sub>-C for the  
38 397 permafrost-affected ABoVE domain. A comparison of our RF-based results with the Natali &  
39 398 Watts *et al* (2019) pan-Arctic estimates (referred to as NCC 2019 and subset to the ABoVE  
40 399 permafrost-affected study area) showed that soil respiration estimates in the NCC 2019 record  
41 400 was substantially higher ( $\sim 1.6x$ ) than our RF budgets during the winter and early spring (*SI*  
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3 401 *Table 6 and SI Figure 16*). A corresponding model analysis by Schiferl *et al* (In Review) used a  
4 402 Stochastic Time-Inverted Lagrangian Transport (STILT; Lin *et al* 2003) model and atmospheric  
5 403 CO<sub>2</sub> observations influenced by Alaska North Slope tundra (obtained from the Utqiagvik tall  
6 404 tower) to verify the NCC 2019 and RF-model results. The study determined that our RF-model  
7 405 approach underestimated atmospheric enhancements in October-December by 2-3x but the RF-  
8 406 estimates were much better aligned with atmospheric observations, relative to NCC 2019, during  
9 407 the January-April period (*SI Section 5, SI Figure 17*). While episodic bursts of CO<sub>2</sub> from  
10 408 freezing soils may contribute to the larger atmospheric CO<sub>2</sub> levels observed October-December  
11 409 across the North Slope, our assessments also indicate that very large emissions of CO<sub>2</sub> to the  
12 410 atmosphere could result from the turnover and freeze of lakes and ponds which are widespread  
13 411 throughout the region (*SI Section 5*; Preskienis *et al* 2021). If this assessment is correct, then the  
14 412 Natali & Watts *et al* (2019) results also overestimate soil CO<sub>2</sub> emissions for the North Slope  
15 413 during the autumn season.  
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18 414 For the ABoVE study domain in 2016-2017, soil respiration only partially offset GPP, by  
19 415 approximately 54% to 60%. However, for many grid cells in northern tundra, mountainous  
20 416 regions, or where boreal forest GPP was reduced by recent fire (*SI Figure 14, 15*) soil respiration  
21 417 alone (not accounting for aboveground autotrophic respiration) equaled or exceeded annual GPP,  
22 418 indicating that some sites are net CO<sub>2</sub> sources. The Belshe *et al* (2013) meta-analysis of EC  
23 419 fluxes from high-latitude tundra sites concluded that tundra systems are currently CO<sub>2</sub> sources.  
24 420 Similarly, Natali & Watts *et al* (2019) determined the permafrost-affected Arctic-boreal zone to  
25 421 likely be a net CO<sub>2</sub> source when considering winter contributions from soils. Using published  
26 422 ratio estimates of aboveground vs belowground (soil) contributions to ER for boreal and tundra  
27 423 biomes we estimate an annual ER between 820 and 1171 Tg CO<sub>2</sub>-C, respectively offsetting 74-  
28 424 106% of annual GPP (*SI Figure 18*). This estimate suggests that tundra is currently a CO<sub>2</sub> source,  
29 425 while the boreal is a CO<sub>2</sub> sink.  
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## 32 426 **5. Conclusion**

33 427 Soil respiration can strongly impact the carbon sink or source status of high latitude permafrost  
34 428 regions. When considering the permafrost-affected tundra and boreal biomes of Alaska and  
35 429 Northwest Canada as a whole, soil respiration offset annual GPP in 2016-2017 by 54-60%.  
36 430 However, in sparsely vegetated tundra regions and recently burned landscapes, soil respiration  
37 431 exceeded GPP. Although a majority (58%) of annual soil respiration emissions occurred in the  
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3 432 summer months, we found considerable contributions of soil CO<sub>2</sub> in the shoulder and winter  
4 433 seasons. Our soil emission estimate of  $\sim 591 \pm 120$  Tg CO<sub>2</sub>-C for the domain is likely  
5 434 conservative due to the inability of our statistical model approach to capture episodic bursts of  
6 435 CO<sub>2</sub> during soil freeze and thaw, and a lack of soil respiration data from very recent fire scars.  
7 436 We also acknowledge uncertainties introduced by using a simple literature-based flux correction  
8 437 ratio method to remove aboveground components from tower-based ER observations, which  
9 438 does not account for variability in aboveground respiration by species, temperature, stand age  
10 439 and other factors. We also note that the 2016-2017 period was characterized by record breaking  
11 440 high air temperatures across much of the region relative to previous years and the longer-term  
12 441 1981-2019 normal (ACRC 2016, 2017). Warming records have been repeatedly broken in more  
13 442 recent years and we estimate that post-2017 soil respiration budgets will exceed those reported  
14 443 here.  
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25 444 Our data-driven gridded soil respiration budgets provide new, valuable records that will be  
26 445 useful for the future benchmarking of process-based models. Although our assessment is limited  
27 446 to a one-year period, efforts to ensure the continued operation of SRS and EC sites will allow  
28 447 future regional studies to better understand interannual variability and spatiotemporal trends in  
29 448 soil respiration across the rapidly changing Arctic-boreal environment. As current spaceborne  
30 449 observations of CO<sub>2</sub> are not yet able to track changing emission contributions in winter, nor able  
31 450 to identify finer landscape-level patterns of soil emissions (Parazoo *et al* 2016), the continuation  
32 451 if not expansion of existing in situ monitoring networks is urgently needed to document changes  
33 452 in soil respiration and ecosystem carbon sink/source status across the thawing permafrost region  
34 453 in North America and elsewhere, including Siberia and the Tibetan Plateau.  
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## 8 471 **Data availability statement**

9 473 Data from this study are included within the article and supplementary information and are  
10 474 available through the ORNL DAAC.  
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