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# TITLE: The effect of tree diversity on the resistance and recovery of forest stands in the French Alps may depend on species differences in hydraulic features M. Jourdan<sup>1,2,\*</sup>, F. Lebourgeois<sup>3</sup>, X. Morin<sup>1</sup> <sup>1</sup> Centre d'Ecologie Fonctionnelle et Evolutive, CNRS, UMR 5175, FORECAST, Montpellier, France

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# 15 Abstract

As climate change should lead to an increase in the vulnerability and the sensitivity of 16 forests to extreme climatic events, quantifying and predicting their response to more severe 17 droughts remains a key task for foresters. Furthermore, recent works have suggested that tree 18 diversity may affect forest ecosystem functioning, including their response to extreme events. 19 In this study we aimed at testing whether the growth response of forest stands to stressful 20 climatic events varied between mixed and monospecific stands, under various environmental 21 conditions. We focused on beech-fir forests (Fagus sylvatica [L.] and Abies alba [L.]) and 22 beech-oak forests (Fagus sylvatica [L.] and Quercus pubescent [L.]) in the French Alps. We 23 used a dendrochronological dataset sampled in forest plots organized by triplets (one mixture 24 25 and two monospecific stands) distributed in six sites along a latitudinal gradient. We tested 26 (1) whether stand diversity (two-species stands vs monospecific stands) modulates the stands' response to drought events in terms of productivity, (2) whether species identity may drive the 27 diversity effect on resistance and recovery, and (3) whether this can be explained by 28 interspecific interactions. We found that (1) interspecific differences in response to extreme 29 drought events (possibly due to interspecific differences in hydraulic characteristics) can 30 31 induce a mixture effect on stand growth, although it appeared (2) to be strongly depending on species identity (positive effect only found for beech-fir mixed stands), while (3) there were 32 no significant non-additive effects of diversity on stand resistance and recovery, except for 33 some specific cases. Overall, our study shows that promoting selected mixed stands 34 management may buffer extreme drought effect on stand productivity. 35

Key words: Diversity, ecosystem functioning, stand growth, resistance, recovery, climatechange, forests, Alps

### **39 1 INTRODUCTION**

In the upcoming decades, extreme climatic events are predicted to become more 40 frequent (Dale et al., 2001; Pachauri et al., 2015), especially water and/or heat stresses. Such 41 events affect ecosystems functioning and related services (Kellomaki et al., 2008; Malhi et al., 42 2008; Olesen et al., 2007) directly by altering organisms' physiology, but also indirectly by 43 affecting community composition (Bertrand et al., 2011; Lenoir et al., 2008) that in turn 44 impacts ecosystem functioning (Loreau, 2001). In particular, increased extreme drought 45 frequency and intensity could be very damaging for European forest ecosystems (Babst et al., 46 2019; Maracchi et al., 2005). However, quantifying and predicting climate change impacts on 47 ecosystem functioning remains a difficult but important task (Morin et al., 2018). 48

49 The functioning of forest ecosystems could be deteriorated by climate change impacts (like extreme drought events), which can in turn strongly impact the services they provide. In 50 this context, it becomes crucial to better understand how forests react after a such a stressful 51 climatic event, notably their resistance and/or recovery (McCann, 2000; Van Ruijven and 52 Berendse, 2010; Vogel et al., 2012). There are various definitions of resistance or recovery 53 54 (Newton and Cantarello, 2015). In the present study, resistance is defined as the inverse of growth reduction experienced during a stressful event, i.e. ratio between the productivity 55 during stressful year and before the stressful year (Lloret et al., 2011). Thus, the larger this 56 57 ratio, the stronger the resistance. Recovery is defined as the capacity of the ecosystem to recover after a stressful event in terms of growth (Lloret et al., 2011), i.e. ratio between the 58 productivity after the stressful year and the productivity during the stressful year. 59

Meanwhile, numerous theoretical, empirical and experimental studies have shown that species richness can strongly modify ecosystem functioning, especially productivity (Cardinale et al., 2012; Hooper et al., 2005). In fact, species-rich communities may, on

average, show an increase in productivity in comparison to species-poor communities - and
especially to monocultures, a pattern called "overyielding effect". Such a result has been
mainly shown in herbaceous communities, but a few experimental (Jones et al., 2005;
Pretzsch, 2005), observation-based (Toïgo et al., 2015) and modelling studies (Morin et al.,
2018, 2011) have also shown that overyielding effects may be found in tree communities.

Furthermore, it has also been suggested that diversity can stabilize the productivity of 68 69 ecosystems over time (Ives and Carpenter, 2007). This relationship was also studied in in grasslands (Cardinale et al., 2007) but also in forest ecosystems (DeClerck et al., 2006; 70 Thompson et al., 2014). The stability of an ecosystem process may be quantified by several 71 72 metrics (Donohue et al., 2016). Most studies have focused on temporal stability describing the temporal variation of an ecosystem process on the mid- or long-term (usually quantified by 73 the inverse of the coefficient of variation of the process over time (Tilman, 1999)). Many 74 studies have showed a positive relationship at the community scale (Isbell et al., 2015; Jucker 75 et al., 2014). The effects of diversity on resistance and recovery of ecosystems have been 76 77 much less studied than for temporal stability (Donohue et al. 2016). Yet, theoretical works have suggested that diversity, especially species richness, may have a negative effect on 78 recovery (Loreau and Behera, 1999). However, only few empirical studies (usually on 79 80 grassland ecosystems) have been conducted on this question (Pfisterer and Schmid, 2002; Tilman and Downing, 1994), and no consensus emerged from grassland studies on the effect 81 of diversity on resistance or recovery after a stressful event. Regarding forest ecosystems, the 82 very few examples available showed that community composition may have a contrasted 83 influence on resistance and recovery depending on species - i.e. positive or negative effect for 84 85 Arthur and Dech (2016) or Pretzsch et al. (2013); not significant for DeClerck et al (2006). These results are often explained by physiological complementarity between species or by 86

87 environmental differences on the specific context of the studies (Grossiord et al., 2014;88 Merlin et al., 2015).

89 Regarding the role of physiological complementarity, it is generally assumed that 90 physiological differences (e.g. specific hydraulic character) are greater at the interspecific than at the intraspecific level (Cruiziat et al., 2002). This may induce contrasted responses to 91 92 climatic constraints between species (Desplanque et al., 1998; Lebourgeois et al., 2014, 2010; 93 Cailleret and Davi, 2010). Forest stands response to drought events should thus be different between mixed and monospecific stands. Delzon (2015) and Klein et al. (2014) recently 94 95 summarized the main hydraulic strategies of trees to respond to extreme droughts. A first 96 strategy is the avoidance of physiological stress that refers to the mechanisms allowing a tree to avoid drought effects, by relying on water storage (Meinzer et al., 2009) and stomatal 97 regulation (Collatz et al., 1991) or to a deep rooting system (Bréda et al., 2006). Second, the 98 tolerance strategy to physiological stress consists of coping with drought stress, which is 99 possible by investing in xylem resistance to cavitation or in mechanisms allowing to lower the 100 101 wilting point (Urli et al., 2013). Using their hydraulic characters, it is possible to rank species along an "isohydric-anisohydric" gradient (Martínez-Vilalta and Garcia-Forner, 2017; Tardieu 102 and Simonneau, 1998) that relies on temporal dynamics of gas exchange and drought 103 104 responses, and thus on differences in stomatal sensitivity (Martínez-Vilalta and Garcia-Forner 2017). 105

106 Two others mechanisms focusing on species interactions may also be involved: 107 competition reduction and facilitation. According to several studies (Brooker et al., 2007; 108 Canham et al., 2006; Forrester and Bauhus, 2016), intra-specific competition may be, on 109 average, stronger than interspecific competition. Thus, we can expect a relaxed inter-110 individual competition for water or light resources in mixed forests, which may directly 111 increase ecosystem resistance and recovery. Facilitation occurs when a species could

facilitate, without negative consequences, the establishment or maintenance of another species 112 113 (Callaway et al., 2002; Choler et al., 2001). Some studies have shown that interspecific competition may decrease with increasing stress, consistently with the stress gradient 114 hypothesis (SGH, Bertness and Callaway, 1994). This hypothesis initially assumes that 115 competitive interactions should shift to facilitative ones when environmental conditions 116 become very stressful. The positive effect of mixing is therefore stronger under stressful 117 118 conditions. However, this pattern is challenged by more recent studies showing that in very 119 stressful conditions facilitation between species does not hold and gives way to a strong competition (Holmgren and Scheffer, 2010; Maestre et al., 2009). According to these studies, 120 121 the species composition of the mixed stands, especially their physiological characteristics, may lead to contrasting response patterns to drought. For example, a mixed stand composed 122 of species with diverging response patterns to drought could be more resistant in terms of 123 124 growth during a drought event than a stand composed of species with similar response patterns to drought. It can be modulated by environmental conditions, such as drought 125 126 intensity and duration.

It is thus crucial to study forest response to drought events and effects on forest 127 ecosystems functioning, especially to develop relevant silvicultural management scenarios 128 129 buffering the sensitivity of forest stands to drought by mitigating its negative impacts on growth and generally promoting forest adaptation to new climatic conditions. Some studies in 130 France show that mixed stands management could improve stand resistance to extreme 131 stressful events compare monospecific stands management (Millar et al., 2007; Seynave et al., 132 2018). Increasing the diversity in tree community thus seems to be an efficient solution to 133 134 sustain forest functioning and to better preserve most of the related services that are especially important in mountain forests (e.g. soil erosion control and protection against avalanches). 135 136 Moreover, these forests have been identified as especially vulnerable regarding climate

change (Courbaud et al., 2011; UNEP, 2010), especially in Alps (on which our work focuses).
Studying how species composition and interspecific interactions drive stand response to
drought is crucial, and knowing these effects could lead to relevant recommendations for
forest management and to maintain forest ecosystems' services.

141 In this paper, we thus addressed the three following questions:

- 142 (1) Is the productivity of forest stand more resistant and/or does it recover
  143 faster to extreme drought events in mixed stands than in monospecific
  144 ones?
- 145 (2) How does species identity affect the diversity effect on resistance and146 recovery?
- 147 (3) Can this effect be explained by interaction between species (i.e. net diversity effect)?

149 To answer these questions, we used a triplet design (Pretzsch et al., 2013b), distributed along a latitudinal gradient may considering the effect of environmental conditions. Using 150 such space-for-time substitution appeared as a relevant way to assess the impact of future 151 climate change (Blois et al., 2013; Lester et al., 2014). We focused on two mixed forest types, 152 i.e. common beech (Fagus sylvatica) - pubescent oak (Quercus pubescens) and beech-silver 153 fir (Abies alba) forests. These mixed forests are widespread in the region, distributed along 154 strong climatic gradients, and have a critical economical importance in France. More 155 156 specifically, beech-fir stands are common communities in northern external Alps while beechoak stands are common in southern external Alps (Seynave et al., 2008; Tinner et al., 2013). 157 Comparing these three species is also interesting because of their physiological differences 158 159 (see Material and Methods section), which are likely to show various response to climatic stress and especially to extreme drought events. We hypothesized that stand resistance and 160

recovery patterns depended on species richness depending mostly of composition. We expect
different pattern between beech-oak and beech-fir stand. We also hypothesized that mixed
effect is mostly explaining by additive effect.

164

# 165 2 MATERIAL AND METHODS

166 **2.1 Field sites** 

The field design was constituted of forest plots dominated by one (monospecific 167 168 stands) or two tree species (mixed stands). These plots were located in six forested areas in the French Alps, distributed along a latitudinal gradient with contrasted climatic conditions. 169 These sites were from North to South: Bauges, Vercors, Mont Ventoux, Luberon-Lagarde, 170 Grand Luberon and Sainte-Baume (Fig. 1 and Appendix Table A). All sites are characterized 171 by limestone bedrock, with a North to West aspect for all plots, as sites have been selected to 172 173 minimize variability in all environmental conditions but climate, as much as possible. This gradient has been divided into two parts according to species composition of the sampled 174 175 stands: the northern sites (Bauges, Vercors, Mont Ventoux) with beech-fir forests, and the 176 southern sites (Luberon Lagarde, Grand Luberon, Sainte-Baume) with beech-oak forests. Monospecific beech stands have been sampled in the all (six) sites. The stand structure was 177 high forest, except in Grand Luberon where stands were coppice forests. 178

179 2.2 Species

In this study, we focused on two kinds of mixed stands: a coniferous-hardwood mixed stand, with fir mixed with beech (with two late-successional species), and a hardwoodhardwood mixed stand with beech and oak (late successional and mid-successional species). Common beech is sensitive to dry conditions but recovers easily after extreme stressful event (Lebourgeois et al., 2005). Silver fir is less sensitive to dry conditions, but grows better in

humid conditions (Lebourgeois et al., 2010; Mauri et al., 2016). Moreover its growing season 185 186 starts earlier than beech (as a coniferous species), which could affect positively its recovery after a drought year (except in case of early spring drought). Pubescent oak is a mid-187 successional species that is more light-demanding than the two other species and that better 188 tolerates shallow soils and drier atmospheric conditions than the two other species (Pasta et 189 al., 2016). We study mixed stands of two species with very different hydraulic strategies (fir -190 coniferous and isohydric - and beech - hardwood and anisohydric), and mixed stands of two 191 192 species with similar hydraulic strategies (oak and beech, hardwood and anisohydric). Other species were sampled in some plots when present - maple (Acer campestre), spruce (Picea 193 194 abies), and Scots pine (Pinus sylvestris) - but they represented less than 10% of total composition for each plot in terms of basal area. As they were equally present in 195 monospecific or mixed stands, we did not consider them in this study. 196

#### 197 **2.3 Plot sites**

198 The plots have been grouped in triplets at each site, i.e. the combination of a beech 199 pure stand, a fir or oak monospecific stands (i.e. target species representing at least 90% of 200 the total basal area), and a fir-beech or oak-beech mixed stands (i.e. between 40 and 60% of each species, with an average of 45%). Focusing on forest mixed stands with two species 201 202 allowed testing complementary effects in a more precise way (Aussenac et al., 2017; Forrester and Bauhus, 2016) and better identifying explanatory mechanisms at a local scale (del Rio et 203 204 al. 2017). All plots used in analyze (60 plots) were sampled between 2013 and 2015, organized in 20 triplets (Appendix Table A). 205

;	a		Mont Ventoux Lube	ercors ron Lagarde and Luberon	
Elev	b	Triple	plet 3		10 m
d	Site	Coordinates(°)	Elevation (m)	MAT (°C)	SAP (mm)
	Bauges	45.697930°N	980-1242	6.3-7.6	1994-2079
	(Combe d'Ire)	6.214553°E			
10	Vercors	44.928504°N	1084-1365	5.4-7.1	1387-1541
	(Lente)	5.321516°E			
3	Mont Ventoux	44.187901°N	1007-1345	5.6-7.3	1208-1224
	(Mont Serein)	5.253608°E			
	Luberon Largarde	43.973001°N	1052- <mark>1121</mark>	9.2-9.6	1026-1027
	(Lagarde d'Apt)	5.479875°E			
2	Grand Luberon	43.819412°N	929-1041	9.7-10.7	790-796
	(Cerestre)	5.535047°E			
	Sainte Baume	43.334609°N	725-775	9.9-10.2	938-941
,		5.766041°E			

Figure 1: Description of the field design. (a) The study area and sites where the plots have
been sampled. North sites (light grey circles) are Mont Ventoux, Vercors and Bauges, with
plots sampled in beech-fir forests. South sites (dark gray circles) are in Luberon Lagarde,
Grand Luberon and Sainte-Baume, with plots sampled in beech-oak forests. (b) Schematic
representation of a site with three triplets of stands (one monospecific stand of species A

(beech), one monospecific stand of species B (fir or oak), and one mixed stand with species A
and B) distributed along an elevational gradient. (c) Schematic representation of a plot, with
an inner circle (grey area) in which all trees with a DBH > 7.5 cm were sampled, and an
external 7.5 m wide buffer zone in which only the trees with a larger DBH than the median
DBH of trees in the inner circle have been sampled (dominant trees). (d) Description of the
sites. Coordinates: latitudinal and longitude; Elevation; MAT: mean annual temperature;
SAP: sum of annual precipitation.

A plot was constituted of a 17.5 m-radius circle, including a central zone of a 10 mradius circle (Fig. 1). For each plot, slope, elevation and aspect were measured. In the central zone, tree characteristics were measured (species identity, location, height, crown depth, diameter at breast height [*DBH*]) and trees with a *DBH* larger than 7.5 cm were cored at breast height using a Pressler borer. In coppice stands, only the largest stem of each coppice (individual tree) was cored. We thus considered all the trees in a plot, regardless their status (dominant or understory).

#### 226 2.4 Climatic data

We used the Standardized Precipitation Evapotranspiration Index (SPEI, Vicente-227 Serrano et al., 2013, 2010) to determine the onset, duration and magnitude of drought 228 conditions with respect to normal conditions, derived from the SPI (Standardized 229 Precipitation Index, Guttman, 1999), and represents a climatic water balance (Thornthwaite, 230 231 1948) calculated at different time scales, using the monthly (or weekly) difference between precipitation and *PET* (Vicente-Serrano et al., 2013, 2010). These indexes have been already 232 used in several ecological studies analyzing radial growth data (Merlin et al., 2015; Potop et 233 234 al., 2014; Pretzsch et al., 2016).

Monthly values of precipitation and PET were extracted from 1km-resolution GIS 235 layers covering all France for each year from 1995 to 2013. These maps were created using 236 data from 119 and 214 non-interrupted weather stations from the Météo France network, for 237 238 precipitation and temperature respectively. A monthly model was created for each variable using Geographically Weighted Regression (GWR, Fotheringham et al., 2002) with spatially 239 distributed variables describing topography, solar radiation, land use and distances to the seas 240 (Piedallu et al., 2016). Cross-validation was used to validate these maps, with a mean  $r^2$ 241 242 ranging between 0.80 for precipitation to 0.94 for mean temperature across all pixels in France. 243

244 We calculated annual SPEI (Fig. 2) using R package SPEI (Vicente-Serrano et al., 2010), between February and July, hereafter identified as SPEI<sub>07</sub>, i.e. the growth period 245 (Vanoni et al., 2016). It also allowed determining the years with driest growth season of a 246 dataset. The threshold corresponding to a drought event (at the year level) affecting tree 247 growth was likely to vary between species and sites, but for the sake of simplicity we used a 248 unique threshold in our analyses. A sensitivity analysis on threshold level based on AIC 249 250 comparison (data not shown) showed that the best threshold was -1.17 (exploring value between -0.5 and -1.5 with 0.02 step) for our dataset. This agreed with a recent experimental 251 252 study in grasslands that used a threshold of -1.28 (Isbell et al., 2015) and a global study based on remote sensing data that used a threshold of -1 (Schwalm et al., 2017). 253



Figure 2: SPEI07 (calculated between February and July) at the six studied sites (black lines). The horizontal red line represents the threshold defining an extreme dry event (i.e. the driest year's decile), with values below the threshold.

#### 258 2.5 Data analyses

#### 259 <u>Dendrochronological analyses</u>

260 We studied growth dynamics using tree rings for the last 18 years before sampling, i.e.

from 1995 to 2013. Each core has been

cut longitudinally. We put some chalk to improve contrast between rings. Then cores were photographed with a large-resolution camera coupled with binocular lens. Then the width of each ring was assessed with ImageJ software (https://imagej.nih.gov/ij/index.html), with an accuracy of 0.01 mm. All cores, i.e. 2159 trees, were cross-dated for each species using specific species pointer years, as described in Lebourgeois and Merian (2012), but

without series standardization. This analysis allowed ensuring that chronologies were 267 268 synchronized, without correcting for interannual variations amplitude. Here, productivity was represented by basal area increment BAI instead of diameter increment in Lloret et al. (2011). 269 270 Diameter increments were transformed into BAI using measured DBH (Biondi and Qeadan, 2008). Some cores were too difficult to read accurately (blurred distinction between rings) 271 272 and were thus not reliable and have been removed for the analyses. Therefore, we finally used 273 growth time-series for 1235 trees (i.e. 924 cores removed), with 596 beeches (mean age: 274 106±45 years old), 387 firs (mean age: 75±38 years old) and 240 oaks (mean age: 87±40 years old). 275

This study aimed at assessing forest productivity by sampling all trees in a plot instead 276 of sampling only some a few trees like classically done (e.g. NFI-based studies). Considering 277 all trees should allow better quantifying the competitive environment between all trees within 278 each plot. However, we did not obtain growth data for all trees due to the difficulty of reading 279 some cores, especially in the southern sites. As these unreadable cores were not equally 280 281 distributed across the network of plots but also inside each triplet, it was not possible to focus on only the subsample of available trees (i.e. trees with a readable core) to calculate resistance 282 (Rt) and recovery (Rc) for the whole plot. To assess the productivity of the whole plot, we 283 284 thus had to reconstruct the temporal series of BAI of the missing individuals, i.e. 924 trees thus ca. 40% of total dataset (meaning that the number of sampled trees remains much larger 285 than what is usually done when focusing on only a few dominant trees in a plot). To do so, we 286 consider separately each species in each stand type (mixed or monospecific stand) in each 287 site. A linear model was fitted in each case to predict individual BAI with tree basal area, 288 using all observed rings between 1995 and 2013. With this approach, we have been able to 289 290 predict BAI time-series for each missing tree (models' estimates shown in Appendix Table B), 291 to finally obtain BAI time-series for each plot.

To assess resistance and recovery in each plot, we used annual *BAI* at the stand level, for the last 18 years (1995-2013). The annual productivity at year y (*BAI*<sub>y</sub>) was calculated by summing the BAI of all trees for each plot:

$$BAI_y = \sum_i^n BAI_{iy} \tag{1}$$

with *n* being the number of trees in the plot and  $BAI_{iy}$  being the basal area increment of tree *i* at year *y*.

#### 298 Lagged effects of drought years on resistance and recovery in terms of BAI

Contrary to a lot of studies in forest ecosystems (Lloret et al., 2011; Pretzsch et al., 299 300 2013; Trouvé et al., 2017; Zang et al., 2014) that used a comparison between tree growth 301 before and after a stressful event, we used a distributed lag effect model of SPEI07 using the 302 DLNM R package (Gasparrini, 2011). We included these linear lag effects of SPEI in a linear model of stand tree growth that controls for additional covariates. More precisely, we 303 304 modelled stand annual basal area increment (BAI) as function of competitive environment (BA), and distributed lag effect of SPEI. Using climate lag effect to understand trees 305 interaction allowed us to capture the past climatic context and understand the lagged climatic 306 effect, which will be important to predict the effect of climatic changes on forest ecosystems 307 (Ogle et al., 2015). 308

We modelled the drought lag effect from the current year (lag0) up to four previous year (*i.e.* lag1, lag2, lag3 and lag4) with distributed lag effects based on (i) a threshold function below *SPEI* = -1.17 and (ii) a linear function to represent the temporal lag effect of drought on tree growth. The threshold function (i) corresponds to a transformation of *SPEI* into a new variable *SPEI*<sub>t</sub> such as *SPEI*<sub>t</sub> = 0 if *SPEI*  $\geq$  -1.17 and *SPEI*<sub>t</sub> = -1.17 - *SPEI*, if *SPEI* < -1.17. *SPEI*<sub>t</sub> is a positive and increasing function drought stress intensity (whereas drought stress corresponds to negative values of *SPEI*). The temporal distributed lag effect (ii) was modelled using a linear model with an intercept (see Gasparrini, 2011 for model details on distributed lag effect models). This linear trend was supported by a preliminary analysis assuming the unconstrained lag effect. A distributed lag effect allows representing delayed effect of a variable (in our case *SPEI*<sub>t</sub>) as the sum of the effect until a given number of lag years is reached (four in our case). The equation 2 shows the lag effect for a given year y:

321 
$$\sum_{l=0}^{4} \beta_l SPEIt_{\nu-l} \qquad (2)$$

where the linear lag effect model is fitted by constraining the  $\beta$  coefficients as  $\beta_l = a + b * l$ , where *l* is the lag year (*l* in 0 to 4). Our distributed lag effect model is closely similar to classical representation of resilience in term of resistance and recovery (see Appendix Fig. C and Lloret et al. 2011) with the intercept at lag0 (parameter *a*) representing the immediate growth reduction due to drought (i.e. resistance) and the linear recovery over time (function of the parameter *b*) determining the recovery after stress. The parameters *a* and *b* can be estimated by recasting the equation (2) as:

329 
$$\sum_{l=0}^{4} \beta_l SPEIt_{y-l} = a * \sum_{l=0}^{4} SPEIt_{y-l} + b * \sum_{l=0}^{4} l * SPEIt_{y-l}$$

$$= a * lag_{intercept}(SPEI_y) + b * lag_{slope}(SPEI_y), (3)$$

331 with  $lag_{intercept}(SPEI_y) = \sum_{l=0}^{4} SPEIt_{y-l}$  and  $lag_{slope}(SPEI_y) = \sum_{l=0}^{4} l * SPEIt_{y-l}$ .

332 The fully fitted model is given by the following equation:

333 
$$BAI_{s,t,p,y} = c_{0,s} + c_1 * BA_p + a * lag_{intercept} (SPEI_y) + b * lag_{slope} (SPEI_y) + d_t + d_{p,t} + e_{s,t,p,y}$$
 (4)

where *s*, *t*, *p*, and *y* are respectively the site, triplet, the plot and the year.  $c_{0,s}$  is site dependent intercept.  $BA_p$  is the total basal area and  $c_1$  is its fitted coefficients.  $d_t$  and  $d_{p,t}$  are respectively the triplet random effects and plot nested in triplet random effects and  $e_{s,t,p,y}$  is the residual normal error. *a* and *b* represent respectively the immediate growth reduction due to drought (i.e. resistance, higher *a* means stronger resistance) and the linear recovery over time (recovery, stronger *b* means faster/higher recovery). This model was fitted separately per
stand type – i.e. monospecific beech, fir and oak stand, and beech-fir and beech-oak mixed –
and region – North (for Bauges, Vercors, Ventoux) and South (for Luberon Lagarde, Grand
Luberon and Sainte-Baume) - with *lme* and DLNM with R software (R version 3.3.0).

Then we analyzed mixed stand response to drought events by considering the relative abundance (i.e. relative basal area) of beech as an explanatory variable (model details are in Appendix D). We further expected that the effect diversity on resistance may vary with species proportion in mixed stands.

#### 347 <u>Assessing non-additive effects of mixed stands in response to an extreme drought event</u>

348 We tested whether climatic stress may impact forest stands in the short term, i.e. at the year during which the drought stress occurred (hereafter named "current year") and the 3 349 years just after. Lloret et al. (2011) presented a framework to compute the effects of extreme 350 one-time stress on stand (or tree) productivity during and after. Here, we used resistance (*Rt*) 351 and recovery (Rc), defined below in (5) and (6). This metrics were calculated with  $BAI_{y}$  series 352 (Eq. 1), namely  $BAI_y$  during climatic stress (Dr),  $BAI_y$  in the respective pre-stress period 353 (*PreDr*), used as reference period, and  $BAI_v$  in the respective post-stress period (*PostDr*) 354 (Zang et al 2014, Lloret et al., 2011) as: 355

356 Rt = Dr/PreDr (5)

357 Rc = PostDr/Dr (6)

358 *PreDr* and *PostDr* were calculated from an average over three years (Pretzsch et al., 359 2013). Figure C illustrates graphically the computing method. We focused on years with 360 extreme drought, meaning with  $SPEI_{07} < -1.17$  (see above), meaning selected years are not the 361 them between sites.

To better explore the effect of diversity on forest resistance and recovery, we 362 computed indices inspired by the Net Biodiversity Effect (NBE, Loreau, 1998). The NBE 363 quantifies non-additive effect of species mixing, i.e. effect of interspecific interaction, on a 364 given ecosystem process (e.g. mean productivity). We compared the productivity of a two-365 species stand and the predicted productivity based on the productivity of monospecific stands 366 and the relative abundance of species in the mixed stand - under the null hypothesis that there 367 was no effect of species interactions on ecosystem functioning. We have thus transposed this 368 approach to define two indices for productivity resistance Rt<sub>div.eff</sub> and productivity recovery 369 Rcdiv.eff. In other words, this method allowed calculating non-additive effect of increasing 370 371 diversity on Rt (5) or Rc (6).

To compute these new indices, a predicted response of mixed plots is calculated from 372 monospecific stand plots ( $Rt_{pred}$  or  $Rc_{pred}$ ), using a predicted productivity  $BAI_{predy}$  for each 373 mixed plot and each year y.  $BAI_{pred_{y}}$  was calculated using observed BAI of each species in 374 monospecific stands of the corresponding triplet. Expected resistance  $(Rt_{pred})$  and recovery 375 376  $(Rc_{pred})$  were then assessed from  $BAI_{pred_{v}}$  time-series. The productivity of each mixed stand could be partitioned in two parts: productivity of beech trees, productivity of accompanying 377 species (fir or oak). The relative abundance of each species in the mixed stands ( $p_{Fagus}$ ,  $p_{Quercus}$ ) 378 or Abies) was calculated using the summed initial basal area of each species (i.e. basal area in 379 1995). Thus, predicted annual productivity  $BAI_{pred_y}$  of each mixed stand at year y was 380 calculated as follows: 381

382  $BAI_{pred,y} = BAI_{Fagus_y} * p_{Fagus} + BAI_{Quercus \, or Abies_y} * p_{Quercus \, or \, Abies}$  (6)

383 where *BAI<sub>Fagus or Quercus or Abies, y* were respectively beech/oak/fir monospecific stand basal area
384 increment at year *y*.
</sub>

Finally,  $Rt_{pred}$  or  $Rc_{pred}$  were compared with the observed values ( $Rt_{obs}$  or  $Rc_{obs}$ ). It was noteworthy that these calculations were possible because the plots within a triplet had a similar structure (i.e similar basal area). In this analysis, we thus obtained  $Rt_{div.eff}$  and  $Rc_{div.eff}$ values for each triplet *t*:

$$389 \quad Rt_{div.eff_t} = Rt_{obs_t} - Rt_{pred_t} \quad (7)$$

 $390 \quad Rc_{div.eff_t} = Rc_{obs_t} - Rc_{pred_t} \quad (8)$ 

391  $Rt_{div.eff}$  and  $Rc_{div.eff}$  were analyzed separately for each site. To test whether  $Rt_{div.eff}$  and 392  $Rc_{div.eff}$  values were significantly different from 0, we used on a Wilcoxon-test. Significant 393 positive or negative values means that diversity had, on average, a positive or negative non-394 additive effect on resistance and recovery, respectively. If  $Rt_{div.eff}$  and  $Rc_{div.eff}$  are equal to 0, it 395 means that diversity had no non-additive effect on resistance and recovery.

Then, we tested how environmental conditions (here stress gradient) may affect the mixed stand effect along the latitudinal gradient (Fig. 4). We computed stress gradient level for each triplet (considering environmental conditions are similar within triplet) with maximum beech height in beech monospecific stand plot.

400 All analyses were carried-out with R software (R version 3.3.0). The full methodology401 is summarized in Appendix Fig. C.

402

#### 403 **3 RESULTS**

404 **3.1** Diversity and climate effects on resistance and recovery

In fir and beech stands (i.e. in the northern part of the gradient), the response of both metrics to drought events are significant for the three stands. Moreover, resistance and recovery varied between stands (Table 1). Mixed stands appeared to have a lower resistance than monospecific stand and similar resistance than monospecific fir stands: as the estimate for monospecific beech ( $-0.003\pm0.001$ ) was higher than estimates for monospecific fir (-0.009\pm0.001) and mixed stands ( $0.007\pm0.001$ ).

Dataset		Beech stands	Other pure stands	Mixed stands
			(Fir or Oak)	
	parameters	<i>Estimate</i> $(\pm SE)$	<i>Estimate</i> $(\pm SE)$	<i>Estimate</i> $(\pm SE)$
Beech-Fir	BA	0.003 (±0.002)	0.003 (±0.006)	0.006 (±0.005)
	Resistance (a)	-0.003 (±0.0008)	-0.009 (±0.001)	-0.007 (±0.001)
	Recovery (b)	<b>0.001</b> (±0.0003)	<b>0.003</b> (±0.0006)	<b>0.002</b> (±0.0004)
Beech-Oak	BA	-0.004 (±0.002)	0.002 (±0.002)	0.0002 (±0.004)
	Resistance (a)	-0.001 (±0.001)	-0.0004 (±0.0008)	-0.0003 (±0.001)
	Recovery (b)	0.0003 (±0.0006)	0.0004 (±0.0003)	-0.0001 (±0.0005)

411 Table 1: Models' parameters estimates tested to explain BAI for every stands, with the 412 northern (with beech-fir stand, including Bauges, Vercors and Mont Ventoux, quoting here in 413 decreasing latitude order) and southern (with beech-oak stand including Luberon Lagarde, 414 Grand Luberon and Sainte-Baume, quoting here in decreasing latitude order) parts of the 415 gradient taken separately. BA is the stand basal area, and resistance and recovery represent 416 stand responses to extreme drought. Significant p-value with t-test at the 0.1 level are 417 represented in bold.

The recovery of all stands (represented by  $lag_{slope}$  (*SPEI<sub>y</sub>*), see Table 1) was significantly positive. Mixed stands recovery (estimate: 0.002±0.0004) is higher than beech stands recovery (estimate: 0.001±0.0003) but lower than fir stands recovery (estimate: 0.003±0.0006).

In oak and beech stands (i.e. in the southern part of the gradient) (Table 1), extremedrought events did not significant affect *BAI* at stand level. Monospecific oak and beech

424 stands showed a positive recovery, contrary to mixed stands, although these trends were not

425 significant.

426

427

	BA	phet	Resistance (a)	Recovery (b)	<i>Resistance:phet</i> ( <i>a</i> <sub>1</sub> )	Recovery:phet (b1)
beech-fir stand	0.003 (±0.005)	-0.031 (±0.024)	-0.018 (±0.005)	0.004 (±0.002)	0.024(±0.011)	-0.005(±0.004)
beech-oak stand	-0.0001 (±0.003)	0.021 (±0.008)	-0.0001 (±0.005)	-0.0001 (±0.002)	-0.0004(±0.011)	-0.0002(±0.004)

Table 2: Models' parameters estimates tested to explain BAI for every stands (see Appendix D), with the northern (with beech-fir stands, including Bauges, Vercors and Mont Ventoux, quoting here in decreasing latitude order) and southern (with beech-oak stands including Luberon Lagarde, Grand Luberon and Sainte-Baume, quoting here in decreasing latitude order) parts of the gradient taken separately. BA is the stand basal area, and resistance and recovery represent stand responses to extreme drought. Significant p-value at the 0.05 level are represented in bold.

For beech-fir stands, increasing beech proportion induced an increasing stand resistance (Table 2). Contrariwise, there is no significant effect of beech proportion on mixed stand recovery. For beech-oak stands, we found that beech proportion did not significantly affect stand response to drought events.

#### 439 **3.2** Net diversity effect on resistance and recovery

Using the transposition of *NBE* approach to stand resistance during a stressful event ( $Rt_{div.eff}$ ) and stand recovery after a stressful event ( $Rc_{div.eff}$ ), we did not find any strong effect of diversity, either for resistance and recovery (Fig. 3). However, there was a weak negative  $Rt_{div.eff}$  for stand in Bauges and Ventoux, only significant for stands in the Ventoux site. Mixed stands did not seem to recover faster or slower than monospecific stands, except in the Bauges site, as  $Rc_{div.eff}$  was significantly negative. In the Vercors site,  $Rc_{div.eff}$  seemed to be positive, but it was not significant. There was no significant  $Rt_{div.eff}$  and recovery in mixed beech-oak stands (i.e. Southern part of the gradient).



448

Figure 3: Boxplot of Rt<sub>div.eff</sub> and Rc <sub>div.eff</sub>, i.e. net diversity effect on stand resistance (a) and on stand recovery (b) respectively, for each site. Averages were computed with all observations for each site. Beech-fir stand are in Bauges, Vercors and Ventoux (quoting here in decreasing latitude order) and beech-oak stand are Luberon-Lagarde, Grand Luberon and Ste-Baume (quoting here in decreasing latitude order). For remembering only driest years were considered for Rt<sub>div.eff</sub> and Rc <sub>div.eff</sub> computing, i.e. 2 years by site. Significant differences with 0 are indicated with (\*).

The proxy quantifying the level of environmental stress for each triplet had no significant effect on the net biodiversity effect on resistance and recovery (Fig. 4). For mixed beech-oak stands, environmental stress level (assessed as the inverse of maximum beech
height of the triplet) may have a marginally significant negative effect on the net biodiversity
effect on stand recovery.



462 Figure 4: Linear models tested to explain Rt<sub>div.eff</sub>/Rc <sub>div.eff</sub> with a proxy of stress gradient, i.e.
463 maximum beech height, for every stand with the beech-fir stand (North) and beech-oak stand
464 (South) parts of the gradient taken separately. North includes plots in Bauges, Vercors and
465 Mont Ventoux (quoting here in decreasing latitude order) and South includes plots in

466 Luberon Lagarde, Grand Luberon and Sainte-Baume (quoting here in decreasing latitude
467 order). Student test between mixed and monospecific stand with p-value <0.1 are in bold.</li>

#### 468 **4 DISCUSSION**

#### 469 **4.1** Resistance and recovery to extreme drought events

We used two complementary approaches in the present study: the BAI model allowed 470 quantifying differences between the responses of monospecific and mixed stands, while the 471 Rtdiv.eff and Rcdiv.eff computing dealt with species interactions effect on stand resistance and 472 473 recovery. The latter approach allowed testing more precisely whether non-additive effects related to species interactions might explain the diversity effect on resistance/recovery, by 474 comparing predicted and observed responses in mixed stands while removing a large part of 475 476 external variability - such as environmental conditions (climate, soil, topography). The approach relying on the BAI model was more focused on the physiological differences 477 between species, by quantifying separately the effect of drought on stand BAI during the 478 current year and during the four years following the drought, which contrasts with other 479 studies usually only considering immediate responses (Lloret et al., 2011; Pretzsch et al., 480 481 2013).

The analysis of stand *BAI* showed contrasted results. Regardless the metrics used, and the type of mixed stands considered, mixed stands showed an intermediate response compared to monospecific stands. The difference may be significant (beech-fir stands) or not (beech-oak stands). We did not find any strong patterns for  $Rt_{div.eff}$  and  $Rc_{div.eff}$ , regardless the part of gradient considered, which can be explained by the strong dependencies of interspecific interactions to species composition and environmental conditions.

488 Furthermore, we aimed at testing how environmental conditions may affect the mixed 489 stand effect along the latitudinal gradient (Fig. 4). However, we lacked statistical power to 490 test this effect with the modelling approach represented in equation (4), and the results were 491 not significant for  $Rt_{div.eff}$  and  $Rc_{div.eff}$ .

#### 492 **4.2** How mixed stands can buffer drought impact on stand growth?

According to previous studies, stand resistance and recovery could vary with stand 493 composition (Arthur and Dech, 2016; Pretzsch et al., 2013, as in beech-fir stands in our 494 study), or not (DeClerck et al., 2006, as in beech-oak stands). The discrepancies among 495 496 studies can be explained by a species-specific effect, related to the various physiological characteristics between species. As explain in introduction, it is possible to rank species along 497 an "isohydric-anisohydric" gradient (Martínez-Vilalta and Garcia-Forner, 2017; Tardieu and 498 Simonneau, 1998). For a same stress intensity, species with more anisohydric hydraulic 499 characters (e.g. oak and beech) should better resist to drought (i.e. stomata remain open longer 500 501 during drought stress) than species with more isohydric hydraulic characters (e.g. fir) that avoid damage by quickly closing their stomata. Extreme drought events may cause damage on 502 503 some important organs of trees (roots, leaves or branches) because of cavitation (Delzon and 504 Cochard, 2014; Maherali et al., 2006) for anisohydric species. Previous work focusing on 505 beech, spruce and oak stand resistance (Pretzsch et al., 2013) highlighted the importance of the plurality in hydraulic characters to understand differences in buffering composition effect 506 507 between mixed stands. Moreover, Cailleret et al. (2017) showed a general difference in drought vulnerability between hardwood and coniferous species (though without considering 508 509 an "isohydric-anisohydric" gradient).

510 Our results confirmed that mixed stands composed of two species with similar 511 hydraulic features should show more similar responses to an extreme drought event than the 512 monospecific stands of each species, ie. beech-oak mixed stands. Since we aimed at 513 explaining variation in stand resistance through differences in hydraulic characters between

species, we further expected that the effect diversity on resistance may vary with species proportion in mixed stands. We found that beech proportion did not significantly affect stand response to drought events in oak-beech stands. This result even suggests that mixing species with similar responses to drought may actually not affect effect of drought on stand growth.

Contrariwise, mixed stands composed by two species with contrasted hydraulic 518 features are expected to respond differently, as it was the case for fir-beech mixed stands. In 519 520 this case, one may expect a strong buffering effect on stand growth. First, we found that monospecific beech stands were more resistant than monospecific fir stands, consistently with 521 522 literature (Anderegg et al., 2015; Niinemets and Valladares, 2006) and with the differences 523 between the hydraulic characters of these two species. Second, mixed beech-fir stands showed an intermediate value between both monospecific stands, but not significantly different from 524 monospecific fir stands. In fact, fir contributed much more than beech to mixed stands BAI 525 (73±0.33 % of BAI for fir), which may explain why the buffering effect of the mixture seemed 526 limited in comparison with monospecific fir stands in our results. Moreover, we found that 527 528 increasing beech proportion induced an increasing stand resistance. In other words, stand resistance decreased with an increasing proportion of fir. Thus, fir appeared to drive the 529 response of mixed stands in this part of the gradient. Regarding recovery, monospecific fir 530 531 stands recovered faster than monospecific beech stands probably because damage after extreme drought is weaker for isohydric species like fir, for instance if trees develop reverse 532 embolism strategies (Cochard, 2006; Cochard and Delzon, 2013; Taneda and Sperry, 2008), 533 as it can happen in isohydric species. Mixed stands recovery was also intermediate between 534 monospecific beech and fir stands, but the differences were not significant. To sum up, mixed 535 536 stands appeared to show intermediate responses in terms of resistance and recovery when compared to monospecific stands. The explanations presented above remained, however, to 537

be further confirmed with more ecophysiological-based approaches on our field gradient(Hochberg et al., 2018).

#### 540 **4.3** Possible consequences for forest management in the Alps

Forests currently provides a multitude of ecosystem services - like wood production, 541 protection in mountain areas or biodiversity conservation - all strongly dependent on species 542 composition. Limiting the impacts of extreme events is thus crucial in forest ecosystems to 543 544 promote adaptation. In mountain forests, the conservation of stand structure (basal area, density, tree dominant height), without discontinuity, seems more important than species 545 composition (Lebourgeois et al., 2014; Trouvé et al., 2017) to limit soil erosion or block fall. 546 547 However, it is noticeable that the economical value is not equivalent between species, which may temper the advantage of mixing species for some forest managers. Our study showed that 548 549 mixed beech-fir stands may buffer the effect of extreme drought on stand BAI, i.e. showed a stronger resistance, than monospecific fir stands, while recovery was similar between 550 551 monospecific fir stands and mixed beech-fir stands. Contrariwise, there was no significant 552 buffering effect of mixture on beech-oak stands. Our results yet suggest that mixed stands could be a solution to buffer extreme drought effect in some cases. Therefore, these findings, 553 together with other positive effects of diversity on ecosystem services (Gamfeldt et al., 2013; 554 555 van der Plas et al., 2018), may argue for the benefits of mixed forest management, instead of monospecific stands. Thus, is especially true for beech-fir stands that can be more resistant to 556 557 future severe drought events, in comparison with monospecific fir stands, although beech is currently less interesting than fir from an economic point of view. The question is less 558 problematic for the oak-beech mixture, as we found no buffering effect in mixed stands and as 559 560 these two species share relatively weak economic interest in this region (Southern Alps).

Climate change is likely to induce an economic loss for European forests (including 561 mountain forests) (Hanewinkel et al., 2013). To quantify this loss, it may be important to 562 compare the economic gain or loss of species productivity between mixed and monospecific 563 564 stands on longer time scale and according to various management scenarios. To do so, we think that forest models considering diversity, climate and management may be key tools, 565 such as gap models (Cordonnier et al., 2018). For instance, this would allow testing whether 566 the increase in fir productivity in mixed stands relatively to monospecific ones across the next 567 decades, due to higher resistance, may counterbalance the mean loss in fir productivity due to 568 decreasing fir proportion. Our results suggest that there may be trade-off in the possible 569 570 management of these mixed stands: increasing beech proportion may lead to a higher stand resistance but also to a loss in fir productivity, while decreasing beech proportion should 571 induce a lower resistance - possibly leading to higher mortality rate at the stand level - but 572 573 also the maintenance of fir productivity (Appendix Table E). In addition, the other key ecosystem services (protection against erosion or avalanches for example) must also be 574 575 considered to draw a complete scheme about the interest of mixing for forest management.

576

## 577 **5 CONCLUSION**

According to our results, managing forest mixed stands may increase the resistance and recovery of forests in future climatic conditions although this may be strongly dependent on species characteristics. More works on other types of mixed stands and their response to drought are required to draw a more comprehensive picture and to better assess when mixture management allows to buffer climate change impacts. Meanwhile, testing silvicultural scenarios under climate change with forest gap-models seems to be an interesting and complementary alternative to improve our knowledge and help our decision-making to
maintain key ecosystem services provided by forests (Cordonnier et al., 2018).

586

# 587 AUTHORS' CONTRIBUTIONS

588 XM conceived the original question and field setup of this study; MJ and XM 589 designed the research, developed the methodology and collected the data; MJ processed and 590 analyzed the data; MJ, FL and XM led the writing of the manuscript. All authors contributed 591 critically to the draft and gave final approval for publication.

592

# 593 DATA ACCESSIBILITY

594 Data will be deposited in the Dryad Digital Repository

595

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