

The tempo of greening in the European Alps: Spatial variations on a common theme

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Philippe Choler, Arthur Bayle, Bradley Carlson, Christophe Randin, Gianluca Filippa, et al.. The tempo of greening in the European Alps: Spatial variations on a common theme. Global Change Biology, 2021, 27 (21), pp.5614-5628. 10.1111/gcb.15820. hal-03763841

HAL Id: hal-03763841 https://hal.science/hal-03763841

Submitted on 29 Aug 2022

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Title

1	The tempo of greening in the European Alps: spatial variations on a common theme
2	Running Title:
3	The tempo of greening in the European Alps
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	Key words

mountain ecosystems - climate change - European Alps - greening - NDVI - remote sensing

Abstract

20 The long-term increase of satellite-based proxies of vegetation cover is a well-21 documented response of seasonally snow-covered ecosystems to climate warming. However, 22 observed greening trends are far from being uniform and substantial uncertainty remains 23 concerning the underlying causes of this spatial variability. Here, we processed surface 24 reflectance of the moderate resolution imaging spectroradiometer (MODIS) to investigate 25 trends and drivers of changes in the annual peak values of the Normalized Difference 26 Vegetation Index (NDVI). Our study focuses on the above treeline ecosystems in the 27 European Alps. The NDVI changes of these ecosystems are highly sensitive to land cover and biomass changes and are marginally affected by anthropogenic disturbances. We found a 28 29 widespread greening for the period 2000-2020, a pattern that is consistent with the overall 30 increase of summer temperature. At the local scale, the spatial variability of greening was 31 mainly due to the preferential response of north-facing slopes between 1900 m and 2400 m. 32 Using high resolution imagery, we noticed that the presence of screes and outcrops 33 exacerbated this response. At the regional scale, we identified hotspots of greening where 34 vegetation cover is sparser than expected given the elevation and exposure. Most of these 35 hotspots experienced delayed snowmelt and green-up dates in recent years. We conclude that the ongoing greening in the Alps primarily reflects the high responsiveness of sparsely 36 37 vegetated ecosystems that benefitted the most from temperature and water-related habitat 38 amelioration above treeline.

Introduction

40 The long-term increase of greenness in cold, seasonally snow-covered ecosystems is 41 widely perceived as a consequence of climate change (Berner et al., 2020; Keenan & Riley, 42 2018). Arctic and alpine ecosystems have undergone particularly fast greening compared to 43 other ecosystems and this is consistent with the accelerated warming documented for these regions (Callaghan et al., 2010; Pepin et al., 2015). However, this greening exhibits 44 45 considerable spatial and temporal variability that is far from being understood (Berner et al., 46 2020; Cortés et al., 2021; Ju & Masek, 2016; Myers-Smith et al., 2020). The complex 47 interaction between regional climate trends, topography, geomorphological and other 48 disturbance regimes and vegetation dynamics contributes to these non-uniform patterns of 49 greening (Ropars & Boudreau, 2012; Tape, Hallinger, Welker, & Ruess, 2012). Further 50 studies are required to document the relative contribution of these drivers and to advance a 51 more predictive understanding of greening and its consequences on ecosystem processes and 52 services (Duveiller, Hooker, & Cescatti, 2018; Forzieri, Alkama, Miralles, & Cescatti, 2017; 53 Myers-Smith et al., 2020; Zhu et al., 2016). 54 Temperate mountains have experienced warmer summers over the last decades 55 (Beniston, 2006; Hock et al., 2019). Several studies have underlined the impact of these 56 changes on land surface phenology (Asam et al., 2018; Dunn & de Beurs, 2011; Xie et al., 57 2020; Zhang, Zhang, Dong, & Xiao, 2013), ecosystem productivity (Choler, 2015; Jolly,

58 Dobbertin, Zimmermann, & Reichstein, 2005), and species richness (Lamprecht, Semenchuk,

59 Steinbauer, Winkler, & Pauli, 2018; Steinbauer et al., 2018). Other studies reported on the

60 long-term increase of greenness in the south-western Alps (Carlson et al., 2017; Filippa et al.,

61 2019), the Hindu Kush(Anderson et al., 2020) and underlined the particular responsiveness of

62 sparsely vegetated areas located in the nival belt. However, none of these studies has provided

63 a comprehensive analysis of the spatial variability of greening at the mountain range scale and

64 an investigation of its determinants. More specifically, the distinction between exposure to 65 change (e.g. climate) and the responsiveness of ecosystems to change has remained elusive. 66 Yet, well-documented case studies in the Arctic suggest that this fundamental question may 67 underpin much of the observed spatial complexity of greening. For example, the preferential expansion of arctic shrubs in particular topographical situations - such as along streams or in 68 69 floodplains, lead to local-scale greening heterogeneity (Tape, Sturm, & Racine, 2006), which 70 in turn is possibly related to the snow-holding capacity of shrubs in winter(Sturm et al., 2005). 71 The initial cover of Betula glandulosa in the 1950s explained part of the spatial variability of 72 greening in Nunavik (Ropars & Boudreau, 2012; Ropars, Levesque, & Boudreau, 2015). 73 These studies pointed out that land cover properties are pivotal to predict the responsiveness 74 of the system to on-going changes and to identify the underlying ecological mechanisms of 75 greening.

76 There is a growing body of evidence showing that mountain ecosystems of the Alps 77 have undergone rapid changes in response to climate warming (Gottfried et al., 2012). Plot-78 based long-term surveys revealed increasing vegetation cover in mountain grasslands, mainly 79 due to the expansion of graminoids (Rogora et al., 2018) and a colonization of screes and 80 outcrops by shrubs and trees (Vittoz, Bodin, Ungricht, Burga, & Walther, 2008). While these 81 studies are invaluable to inform on ecological mechanisms underpinning ecological changes, 82 their paucity precludes tracking complex, non-linear responses along topographical, 83 geomorphological and climate gradients. For example, winter snow duration - which is widely 84 acknowledged as a key driver of vegetation dynamics - for the time being shows decreased 85 sensitivity to global warming at elevations above 2000 m (Hantel & Hirtl-Wielke, 2007; 86 Schoener, Koch, Matulla, Marty, & Tilg, 2019). Another issue is the overrepresentation of 87 high summits in plot-based surveys, considering that the area they cover represents a minute 88 fraction of the land above treeline. For these reasons, remote sensing offers a complementary

89 approach to probe ongoing land cover changes at a scale encompassing multiple

90 environmental gradients and to examine their impacts on ecosystem services such as water
91 provisioning, carbon sequestration or pastoral resources.

92 Here, we exploit available time series of the moderate resolution imaging 93 spectroradiometer (MODIS) to provide a comprehensive picture of recent greening and its 94 spatial variability in the European Alps and to improve our understanding of its drivers. Our 95 study utilizes annual peak values of the Normalized Difference Vegetation Index (NDVI) as a 96 proxy of land surface greenness (Tucker, 1979). We quantified the significance and 97 magnitude of NDVI trends for high elevation ecosystems that are located between the treeline 98 and the permanent snowline. This allows us to overcome two potential issues in such remote 99 sensing studies. First, high elevation ecosystems are less affected by anthropogenic 100 disturbances than other European habitats at lower elevation, which should facilitate the 101 unraveling of a climate signal on greening trends (Filippa et al., 2019; Gehrig-Fasel, Guisan, 102 & Zimmermann, 2007). Second, the NDVI range of these ecosystems lies in a range where it 103 is highly sensitive to land cover and biomass changes, in contrast to closed canopies where 104 NDVI no longer linearly depends on biomass or plant cover (Huete et al., 2002; Myneni & 105 Williams, 1994).

106 We addressed the three following questions:

107 1. How widespread is the greening signal in above-treeline ecosystems of the108 European Alps?

- 109 2. Is the variability of greening spatially structured and what are its main drivers?
- 110

3. Are there fine scale land cover features that predispose to fast greening response?

Material and methods

111 Study area and selection of pixels

112 The European Alps is a mountain range stretching over 1'200 km from Nice (France) 113 to Vienna (Austria). Our study focuses on the uplands of the massif that are located between 114 the treeline and the permanent snowline. This area includes shrublands, grasslands and 115 sparsely vegetated ecosystems established on screes, debris, and outcrops. We first selected a 116 set of 250-m resolution MODIS pixels having non-forested land cover classes with a tree 117 cover density below 5%, an elevation above 1400 m and an average NDVImax above 0.15. 118 To do so, we relied on a 25-m resolution Digital Elevation Model, a 100-m resolution Tree 119 Cover Density of year 2018 (https://land.copernicus.eu/pan-european/high-resolution-120 layers/forests/tree-cover-density/) and the Corine Land Cover (CLC) product of year 2018 121 (https://land.copernicus.eu/pan-european/corine-land-cover/), which is based on the visual 122 photointerpretation of aerial images at a 100-m resolution. From the 44 CLC entries at level 3, 123 we retained the following classes: Pastures (code 2.3.1), Natural grasslands (code 3.2.1), 124 Moors and heathlands (code 3.2.2), Bare Rocks (code 3.3.2), Sparsely vegetated (code 3.3.3). 125 We merged pastures and grasslands and we renamed the misleading "bare rocks" to "very 126 sparsely vegetated" as we selected pixels with an average NDVImax above 0.15, i.e. not 127 completely devoid of vegetation. We discarded pixels exhibiting more than 10% of 128 settlements (ski resorts) or permanent water using data layers of European settlements 129 (https://land.copernicus.eu/pan-european/GHSL/european-settlement-map/) and of permanent 130 water (https://land.copernicus.eu/pan-european/high-resolution-layers/water-wetness/status-131 maps/water-wetness-2018). We also removed pixels for which we found significant abrupt 132 changes of NDVImax within the period 2000-2020, as this might be indicative of a physical 133 or anthropogenic disturbance unrelated to climate trend. This was done by using the Breaks 134 For Additive Seasonal and Trend (BFAST) on 8-days NDVI time series. Breaks were 135 identified after the time series decomposition into trend, seasonal and remainder component.

136 Abrupt changes were considered as break points when their uncertainty was found to be 137 smaller than one year, consistent to a previous study in the south-western Alps (Filippa et al., 138 2019). This led to discard around 5 % of the total number of pixels. We ended up with 139 511,375 pixels of which 284,346 (55.6%) exhibited an average NDVImax below 0.65. Our 140 main findings are based on this data subset to avoid the annoying saturation effect of 141 NDVImax for closed canopies (see Introduction and Figure S2). Figure S3 and Table S1 give 142 the spatial distribution of these pixels and their breakdown by administrative units using the 143 Nomenclature of territorial units for statistics (NUTS) classification at level 3 144 (https://ec.europa.eu/eurostat/web/gisco/geodata/reference-data/administrative-units-145 statistical-units/). Figure S12 shows the distribution of pixels per elevation and DAH classes. 146 We processed all spatial data using the raster, rgdal, sp and proj4 R packages (Venables & 147 Ripley, 2002). We used the bfast R package to implement the BFAST analysis (Verbesselt, 148 Hyndman, Newnham, & Culvenor, 2010).

149

150 Estimates of MODIS-derived NDVI metrics

151 We downloaded the 250-m resolution 8-day composite of MOD09Q1/Terra collection 152 6 products that are available in hdf format at the Land Processes Distributed Active Archive 153 Center (https://e4ftl01.cr.usgs.gov/). Acquired dates covered the period from 18 February 154 2000 to 27 December 2020. We assembled the tiles h18.v4 and h19v04, to cover the entire 155 massif and re-projected red and near-infrared (NIR) surface reflectance values (ρ) in the 156 EPSG 3035 geometry. We retained reflectance values produced with high quality (according 157 to the MOD09Q1 Quality Control flag) and calculated a NDVI according to $(\rho_{\text{NIR}} - \rho_{\text{RED}})/(\rho_{\text{NIR}})$ 158 $_{NIR} + \rho_{RED}$, where ρ is reflectance. We did not to use the 500m-resolution 16-day composite 159 BRDF-corrected MODIS products (MCD43A4) as we needed a higher temporal and spatial 160 resolution to best capture the peakiness of NDVI changes during the short growing season

161 above treeline. Raw NDVI time series were processed in two steps. First, we used the Best 162 Index Slope Extraction (BISE) algorithm to reduce the noise of the NDVI time series (Viovy, 163 Arino, & Belward, 1992) with the parameters: n=0.2 (i.e. a 20% acceptable difference in 164 NDVI values within the sliding period) and p=3 (the length of the forward sliding period). 165 Second, we applied a low-pass filter using the Savitzky-Golay algorithm (Savitzky & Golay, 166 1964) with the following parameters: n=3 (the filter order) and p=7 (the filter length). Smaller 167 values of p would allow keeping track of more rapid changes whereas higher values would 168 increase the smoothing. We also estimated a green-up date as the first date of the year where 169 the NDVI amounts 50% of the NDVImax. This was achieved using daily-interpolated time 170 series of NDVI. This date is highly correlated to snow melting in the high-elevation mountain 171 grasslands of the Alps (Choler, 2015; Fontana, Rixen, Jonas, Aberegg, & Wunderle, 2008). 172 We used the non-parametric, rank based, Mann-Kendall (MK) monotonic test to assess the 173 significance of NDVI time series trends. The significance was given by the approximately normally distributed z score with z values > 1.96 indicating a significant increase (*P-value*) 174 175 <0.05) and z values < -1.96 a significant decrease (at *P*-value <0.05). To quantify change over 176 the period 2000-2020 we fitted linear models based on Theil-Sen single median slope. The 177 Theil-Sen estimator of the linear trend is much less sensitive to outliers than the least-squares 178 estimator. The distribution of NDVImax slopes for the different ranges of NDVImax values is 179 shown in figure S2. The decrease of the slopes in the highest ranges of NDVImax was clearly 180 indicative of a saturation effect. For further analyses, we retained pixels with a NDVImax 181 value between 0.15 and 0.65. In this range, the pairwise mean difference of greenness slopes 182 was below 0.005 (Figure S2). We randomly perturbed the RED and NIR raw reflectances by 183 up to +/- 5% to and recalculated 1000 times the MK trends and the Theil-Sen slopes for all 184 pixels. The uncertainty of MODIS reflectance, and therefore of vegetation indices, arises from 185 sensor calibration and the different steps of atmospheric correction (Vermote & Vermeulen,

186 1999). A perturbation of 5% lies in the upper range of the uncertainties associated with
187 MODIS products(Miura, Huete, & Yoshioka, 2000). Our numerical simulation propagates
188 this uncertainty into the estimates of NDVI trends and ensures a more robust analysis of the
189 drivers of greening using random forest. We used the Kendall R package for estimating
190 Mann-Kendall trends (McLeod, 2005) and the signal R package for the Savitzky-Golay
191 function (signal developpers, 2013).

192

193 Preparation of predictor datasets

194 We estimated terrain indices from the 25 m resolution European Digital Elevation 195 Model (EU-DEM, version 1.0, https://land.copernicus.eu/imagery-in-situ/eu-dem/). We 196 resampled the EU DEM at a 250 m resolution and calculated the mean, range and standard 197 deviation of elevation and the Diurnal Anisotropic Heating (DAH). The DAH index 198 approximates the anisotropic heating of land surface to radiation (Böhner & Antonić, 2009). 199 We computed DAH as $\cos(\alpha_{\max} - \alpha) \cdot \arctan(\beta)$ where α is the aspect, β is the slope and the 200 parameter α_{max} corresponds to the aspect with the maximum total heat surplus. We used α_{max} 201 $= 212^{\circ}$ as we noticed that this SSW orientation corresponds on average to the earliest First 202 Snow Free Day derived from Sentinel-2 products in the south-western Alps (unpublished 203 results). Bedrock data were extracted from the 1:1 million OneGeology pan-European 204 harmonized surface geological maps distributed by the European Geological Data 205 Infrastructure (EGDI) portal (http://www.europe-geology.eu/). Surface geological units were 206 aggregated into four categories: (i) igneous and metamorphic rocks including granite, gneiss 207 etc., (ii) ferromagnesian rocks including serpentines, amphibolite, andesite, basalt etc., (iii) 208 hard sedimentary rocks including dolomite, limestone etc. and (iv) clastic rocks including 209 schist, mudstone, shale, flysch etc. For climate trends, we used the daily-based gridded 210 datasets of E-OBS at a 0.1° resolution for the period 1995 onwards (version E-OBS v22.0e,

211	https://surfobs.climate.copernicus.eu/dataaccess/access_eobs.php) (Cornes, van der Schrier,
212	van den Besselaar, & Jones, 2018). For each year, we calculated Growing Degree Days
213	(GDD) as the cumulative sum of daily average air temperature above 0°C during the summer
214	months (June, July and August). As a complementary estimate of summer warming, we also
215	extracted the average of daily maximum temperatures in July (T07). We computed a climatic
216	water balance as the difference between precipitation (P) and a reference crop
217	evapotranspiration ET_0 . We summed the P-ET ₀ difference over the summer months to assess
218	the dry–wet conditions of the growing season. ET_0 was estimated on a daily basis using the
219	equation $\lambda ET_0 = C (\Delta/\Delta + \gamma) Q$, where Q is the global radiation (MJ m ⁻² day ⁻¹), Δ the slope of
220	the vapour pressure-temperature curve (kPa $^\circ C^{-1}$), γ the psychometric constant (kPa $^\circ C^{-1}$), λ
221	the latent heat of vaporization (MJ kg ^{-1}), and C an empirical coefficient (C=0.65). This is a
222	simplified version of the Penman-Monteith equation originally proposed by Makkink and
223	later modified by Hansen (Hansen, 1984). Maps of climate predictors are shown in figures S9
224	and S10. For snow cover duration trends in the French Alps (Figure S11), we used the S2M
225	meteorological and snow cover re-analysis for the period 1959-2019 (https://www.aeris-
226	data.fr/catalogue/) (Vernay et al., 2019). As for NDVI time series, we used the non-parametric
227	Mann-Kendall (MK) monotonic test and the Theil-Sen median slope to assess the
228	significance and the magnitude of decadal trends of all meteorological variables.
229	

230 Random forest analysis.

We implemented a random forest analysis to identify the best predictors of the spatial variability of greening. Based on the Mann-Kendall significance tests, we classified the greenness trends into three categories: no significant greening (P-value > 0.05), moderate greening (0.001<P-value<0.05) and strong greening (P-value <0.001). There were not enough pixels exhibiting browning to include this response in the analysis. We randomly sampled 236 15 000 pixels in each category to balance the sample size among the greening responses and 237 partitioned the data set into a model training subset (two thirds of pixels) and a model 238 evaluation subset (one third of pixels). We repeated this procedure 1000 times, meaning that 239 we assembled one random dataset for each perturbed simulation of MODIS reflectance and 240 implemented one Random Forest model for each dataset. Predictor variables included 241 elevation, Diurnal Anisotropic Heating, bedrock, NDVImax anomaly and decadal trends for 242 the green-up date and the climate variables GDD and P-ET₀. We calculated pair-wise 243 correlations between predictors and checked that they were not highly correlated, i.e. r <0.5 244 (Figure S13). We also implemented a Random Forest model including NDVImax to check for 245 its influence on the classification probability and to further document the saturation effect 246 (Figure S6). We relied on the out-of-bag classification accuracy to select the best Random 247 Forest model. We assessed predictor importance using the mean decrease in accuracy metric, 248 which is indicative of suitability of predictor, and the mean decrease in Gini, which is 249 indicative of the homogeneity of nodes and leaves. Predictor importance was based on a 250 permutation-based importance measure where one measures the effect of reshuffling each 251 predictor on model accuracy. Last, we examined how classification probabilities depend on 252 the values taken by each predictor by computing partial dependence plots. We computed 253 empirical cumulative distribution function to determine the range of values where 254 interpretation of partial dependence plots needs caution due to small sample size. We used the 255 randomForest, caret, and pdp R packages to implement Random Forest models and evaluate 256 its performance (Greenwell, 2017; Kuhn, 2020; Liaw & Wiener, 2002).

257

258 Land cover assessment using very high-resolution imagery.

Using the high-resolution imagery of Google Earth, we characterized the land cover
features of a selection of 300 500m x 500m cells. First, we aggregated NDVImax anomaly at

261 a 500 m resolution. Then we performed a stratified random sampling of pixels using three 262 classes of NDVImax anomaly - negative, around zero and positive values - and 100 pixels in 263 each class (Figure S7). The visual photointerpretation of very high-resolution imagery from 264 Google Earth allows us to distinguish 6 types of object: singular trees or tree patches, tall 265 shrubs or shrublands (mainly composed of *Pinus mugho*), low shrublands (presumably 266 *Ericaceae*-dominated), grasslands, screes and debris and finally outcrops. We assigned a 267 percentage cover to these classes using the semi-quantitative ranges: <5%, 5%-25%, 25%-268 50%, 50%75% and 75%-100%. Three authors of this paper (PC, EC, GF) conducted the 269 photointerpretation independently and we retained the most frequent cover estimate for each 270 land cover class. We did not try to standardize the year of satellite view, as there were no 271 sufficient good quality images to do it.

272

273

Results

274 Over the 2000-2020 period, we found significant (P < 0.05) positive temporal trends of 275 NDVImax for 56% of the 284,346 analyzed pixels and significant negative trends for less 276 than 0.1% of all pixels (Figure 1a and Table S1). Irrespective of significance, the ratio 277 between positive and negative slopes was 26/1. These results were robust to uncertainty in 278 MODIS data as more than two thirds of the pixels classified as fast (P < 0.005) and non-279 significant greening (P>0.05) remained in these two classes when reflectance values were 280 randomly perturbed (Figure S1). Sparse and very sparse vegetation contributed to 23% and 281 26% respectively of the 56% of significant greening compared to 7% for grasslands and 282 heathlands (Figure 1b). Figure S2 shows that there was no strong effect of the average 283 NDVImax on the magnitude of greening in the selected range (0.15-0.65). By contrast, there 284 was a marked decline in greening for higher values of NDVImax suggesting a saturation

effect (Figure S2 and Table S1). Only 31% of pixels exhibited a significant greening when the
NDVImax value was above 0.65, the (Table S1).

287 Although widely distributed, the greening trends are not spatially uniform (Figure 2). 288 We found a regional-scale component of this spatial variability, with hotspots of greening 289 corresponding to southern parts of the French Alps (e.g. Haute-Provence and Maritime Alps, 290 France), the southern part of the Central Alps (e.g. Sondrio, Italy and Tiroler Oberland, 291 Austria) and the Northeastern-most part of the Alps (e.g. Pinzgau-Pongau, Austria; Figure 2, 292 S3 and Table S1). At the local scale, topographical factors also modulate the greening trends 293 (Figure 3a). First, there is a general tendency for the greening to increase with elevation 294 (Figure 3a). Second, and on top of that, the greening is more noticeable for north-facing steep 295 slopes i.e. for the most negative values of diurnal anisotropic heating (DAH), a proxy of the 296 heating of land surface to radiation (Figure 3a). Consequently, we observed an overall upward 297 shift of the isolines of NDVImax, meaning that the elevation of given value of NDVImax has 298 increased steadily over the last two decades (Figure 3b). We estimated the median of this shift 299 at 45 m per decade with strong regional disparities (Figure S4). It is worth noting that the 300 magnitude of this elevational shift is higher for the first deciles of the distribution than for the 301 last, and this difference is particularly striking at negative DAH values (Figure 3b). These 302 results point out that greening is enhanced when the NDVImax is below the median of the 303 distribution for a given elevation and DAH, leading to a reduction of the interdecile 304 differences in the distribution of NDVImax along topographical gradients (Figure 3b). 305 These findings prompted us to quantify a per-pixel NDVImax anomaly and to assess 306 its spatial distribution in the European Alps. The anomaly was calculated as the difference

308 lying in the same class of DAH and elevation (Figure 4a). Negative anomalies are indicative
309 of an "abnormally" low NDVImax value with respect to elevation and DAH. The mapping of

between the average NDVImax of a given pixel and the median NDVImax value of all pixels

this anomaly revealed a clear regional-scale variability that was partly congruent with that of
greening (Figure 4b). For example, the southern part of the French Alps, part of the south
Central Alps and the Northeastern-most Alps are regions that present a combination of fast
greening (Figure 2), negative NDVImax anomalies (Figure 4b), and high upward shift of
NDVImax (Figure S4).

315 We evaluated the importance of this NDVImax anomaly in predicting the observed 316 greening trends against two sets of predictors that are more widely used in greening studies, 317 i.e. topographical predictors (elevation and DAH) and climate predictors pertaining to the 318 growing season (summer). We used trends in the accumulation of growing degree-days 319 (GDD) during summer as a proxy of temperature-related changes and trends in the difference 320 between precipitation and potential evapotranspiration as a proxy of water balance-related 321 changes (see Methods). We also estimated trends in the green-up date derived from the 322 analysis of NDVI time series. Previous studies showed that the green-up date strongly 323 depends on snow cover duration in high elevation temperate ecosystems (Choler, 2015). We 324 built a random forest model to assess the usefulness of these variables for classifying pixels 325 into three categories based on the Mann-Kendall significance test - no greening (P>0.05), 326 moderate greening (P < 0.05) and fast greening (P < 0.005). The model classified the "no 327 greening" and the "fast greening" classes with an accuracy of 61.5% and 62 % respectively 328 corresponding to a kappa of 0.42 and 0.4 (Table S3). The values of the first and ninth deciles 329 of the 1000 simulations differ by less than 2% from the mean. The performance of the random 330 forest classifier for the "moderate greening" was low with an overall accuracy of 0.51 to be 331 compared to a random accuracy of 0.33 (Table S3). The ranking of predictors shows that the 332 NDVImax anomaly is as important as climate predictors (Figure 5a,b). Noticeably, its score is 333 high for both the mean decrease accuracy and the mean decrease in Gini coefficient, 334 indicating a high suitability as a predictor and a high contribution to the homogeneity of

335 nodes and leaves. By contrast, climate predictors show high decrease in permutation tests but 336 do not exhibit a high contribution to the purity of nodes (low mean decrease in Gini), while 337 topographical predictors show the reverse trend (Figure 5b). The greening trends did not 338 change between bedrock types (Figure S5) and bedrock exhibited a very low variable 339 importance in random forest. For these reasons, it was not retained in further analysis. Partial 340 dependence plots (Figure 5c) reveal that greening was mostly associated with negative 341 NDVImax anomalies, negative DAH, elevation between 2300 m and 2700 m and increasing 342 green-up dates, and was marginally enhanced by a more positive trend in GDD and water 343 balance. The lack of greening occurs more often at low and very high elevation, where 344 NDVImax anomaly was positive and green-up dates decrease and, to a lesser extent, where 345 climate amelioration was weak (Figure 5c). Given the positive correlation between snow 346 melting date and green-up date above treeline, our results indirectly pointed out to a positive 347 effect of delayed snow melt on the recent greening trends. We also implemented complementary random forest models for subsets of pixels lying in narrower ranges of 348 349 NDVImax (0.15-0.4 and 0.4-0.65) and by adding NDVImax as a supplementary predictor 350 (Figure S6). The ranking of variable importance was consistent for all these simulations, 351 which also confirmed the overwhelming importance of the NDVImax anomaly for predicting 352 the greening response whatever the NDVImax value (Figure S6). They also pointed out that 353 adding the NDVImax as a supplementary predictor tends to lower the importance of the NDVImax anomaly (Figure 5a and S6a), which is explainable by the positive correlation 354 355 between these two variables.

The strong link between negative NDVImax anomalies and significant greening trends led us to explore at a finer scale the land cover features associated with these contexts. Using very high-resolution satellite imagery from Google Earth, we performed a visual photointerpretation of 300 randomly selected sites across the Alps (Figure S7). First, this analysis 360 indicated that NDVImax anomalies were consistently negative in the case of high cover of 361 screes, debris and outcrops (Figure 6a). The reverse trend holds for grassland cover (Figure 362 6c). Second, the magnitude of greening tend to increase with the cover of screes and debris 363 and decreases with that of grasslands (Figure 6b,d). Last, we did not find evidence that the 364 presence of nearby trees or tall shrubs was associated with more frequent greening, suggesting 365 that the densification of non-woody vegetation is as important as the upward shit of trees to 366 explain greening. This is illustrated by four examples of land cover dynamics using past and 367 current very high-resolution color-infrared aerial photographs that are available for the French 368 Alps (Figure S8).

369

Discussion

370 The main findings of our study are threefold. First, more than half of the land surface 371 occupied by above-treeline ecosystems in the European Alps has experienced significant 372 greening over the last two decades. By contrast, the number of pixels showing significant 373 browning trends is less than 1%. Second, this widespread greening is spatially non-uniform, 374 and fast greening responses can be explained by a combination of local-scale factors - i.e. 375 elevation and exposure - and regional-scale factors pertaining to anomalies of NDVImax and 376 trends in green-up dates. Third, we provided substantial evidence for the high responsiveness 377 of north-facing and sparsely vegetated areas that have clearly benefited the most from recent 378 climate changes in the European Alps.

Our study investigated greening trends across a vast and highly heterogeneous
landscape. Above-treeline ecosystems in the Alps include a wide range of geomorphological,

381 topographical and ecological situations that lead to a high turnover of plant communities over 382 short distances. This fine-scale heterogeneity in plant cover inevitably calls into question the 383 appropriateness of using moderate resolution remote sensing products to assess greening 384 trends in mountainous landscapes. For example, it is entirely possible that contrasting trends 385 of greenness are occurring within a 250 m resolution pixel because of habitat-specific 386 responses (Matteodo, Ammann, Verrecchia, & Vittoz, 2016). While the use of moderate 387 resolution remote sensing products certainly limits our ability to assign specific NDVImax 388 trajectories to particular plant communities or habitats, our approach nonetheless provides a 389 very valuable and comprehensive picture of vegetation shifts at the mountain range scale, and 390 enables broad-scale investigation of land cover dynamics as demonstrated in previous studies 391 (Zhao & Running, 2010). We acknowledge the potential of using high-resolution products 392 such as the Landsat archive to complement our study. However, this will raise other 393 difficulties. The most critical is the low frequency of available images, which makes it 394 difficult to capture the peak of growth in alpine environments, and leads to large uncertainties 395 in the estimate of NDVImax. In addition, calculating a finer grained greening response would 396 exacerbate the mismatch between the spatial scale of remote sensing products and that of 397 drivers of changes, especially climate (Randin et al., 2020). For these reasons, we believe that 398 high-resolution remote sensing data would be more appropriate to examine the response of 399 specific habitats or sites for which ground-truthing data are available. Similarly, the utilization 400 of aerial photograph archives has an enormous, yet largely unexplored, potential to relate very 401 fine-grained land cover dynamics to observed greening trends (see illustrative examples in 402 Figure S8)

403 Another difficulty of our comparative analysis of greening trends pertains to the wide 404 range of vegetation cover that is included. It is well known that NDVI exhibits a nonlinear 405 response to aboveground biomass and plant cover, especially for planophilous canopies 406 (Myneni & Williams, 1994). The sensitivity of NDVI to an incremental change in biomass or 407 cover decreases for dense canopies, as does our capacity to detect a significant greenness 408 trend in these contexts. Thus, one may run the risk that the spatial variability of greening 409 partly reflects the different sensitivity of the method used to detect greening. We paid 410 particular attention to this issue and removed from our analysis all pixels with high NDVImax 411 values (> 0.65), as we had clear indications of a saturation effect on greening (Figure S2). The 412 relationship between NDVImax and biomass or cover is linear in the NDVImax range we 413 selected (Myneni & Williams, 1994). We also performed similar random forest analyses on 414 subsets of pixels exhibiting very low NDVImax value and found similar conclusions (Figure 415 S6). For these reasons, we are confident that the saturation of NDVImax with aboveground 416 biomass did not blur our assessment of greening trends in the European Alps.

417 Our report on widespread greening in above-treeline ecosystems of the Alps is 418 consistent with previous studies on arctic and alpine ecosystems (Berner et al., 2020; Ju & 419 Masek, 2016; Krakauer, Lakhankar, & Anadon, 2017; Xie et al., 2020). As in other cold parts 420 of the earth, high elevation ecosystems of the Alps have experienced a more pronounced 421 warming than lowlands (Palazzi, Mortarini, Terzago, & von Hardenberg, 2019; Pepin et al., 422 2015) and, not surprisingly, these temperature-limited ecosystems are benefitting from this 423 increased temperature. However, and by comparison to a recent report from the Arctic 424 (Berner et al., 2020), we found very few significant browning trends. A plausible explanation 425 is that all regions of the Alps have experienced warmer summers, albeit to varying degrees, 426 over the last decades (Figure S9). This led us to consider that, at least for the Alps, the 427 knowledge gap is less about the detection of significant greening trends than it is about the 428 causes of its spatial variability in a warmer climate. Our study provides new perspectives on 429 this matter, given that we unraveled the pivotal role of the anomaly of NDVImax to capture 430 part of this greening complexity. Ecosystems exhibiting a lower NDVImax than expected

given the topography, i.e. a negative anomaly, have been the most responsive over the last
two decades, and this is the reason why we observe today a reduced dispersion of NDVImax
values for a given elevation x DAH compared to the years 2000 (Figure 4b) as well as
reduced regional heterogeneity (Figure 2). We can refer to this trend as a *catching-up phenomenon* and we assert that it is the most important facet of the ongoing greening in the
Alps.

437 To further understand this phenomenon, we paid particular attention to land cover 438 properties using high-resolution images. Clearly, the presence of very sparsely vegetated 439 surfaces - such as screes, talus and outcrops - is a predisposing factor to negative anomalies 440 and greening (Figure 6). In this regard, our findings extend at a broader mountain range scale 441 conclusions that were drawn from more localized studies (Carlson et al., 2017). The 442 increasing vegetation cover in initially sparsely vegetated areas is being documented through 443 long-term surveys (Rixen, Wipf, Frei, & Stoeckli, 2014; Steinbauer et al., 2018) and remote 444 sensing (Carlson et al., 2017). Noticeably, several reports have underlined the preferential 445 expansion of tall shrubs and trees on screes and debris compared to nearby grasslands. In 446 addition to forest ingrowth caused by land-use abandonment, this upward shift of trees is the 447 other dimension of tree expansion documented in the Alps (Gehrig-Fasel et al., 2007; Vittoz, 448 Rulence, Largey, & Frelechoux, 2008), and diffuse treelines can be highly responsive to 449 climate warming (Harsch, Hulme, McGlone, & Duncan, 2009). Forest dynamics at the 450 treeline have also been influenced by the constant decline of pastoralism and the related 451 human activities due to the land abandonment since the Industrial Revolution (1850), making 452 it difficult to disentangle climate influence and human impacts (Motta & Nola, 2001). In the 453 southern part of the Alps, these dynamics occur well above the treeline, which is mainly 454 constituted by the European larch (Larix decidua L.) and the stone pine (Pinus cembra L.). 455 For example, the systematic survey of alpine ridges and cliffs in the south-western Alps led to 456 report on the occurrence of isolated individuals or stands of *Pinus cembra* at very high 457 elevation (André, Lavergne, & Carcaillet, 2020). This is consistent with the hypothesis that 458 the upward shift of the treeline may be more pronounced in the inner part of the Alps where 459 trees take advantage of the more continental, warmer and drier, climate(Körner, 1999). Our 460 study did not allow to precisely relate tree cover dynamics with greening because of the 461 coarse resolution and the focus on high elevation sites. Nonetheless, we noticed that the 462 greening trends are more accentuated on north-facing slopes that are generally more forested 463 and more densely covered by heathlands than southern aspects. Further studies should 464 associate the different magnitudes of increase in NDVImax to well-documented colonization 465 of pioneer shrubs and trees. Our mapping of hotspots and coldspots of greening can provide the foundations for such an investigation coupling remote sensing and plant population 466 467 models.

468 Another ecological dynamic that is consistent with our findings is the increasing cover of dwarf shrub - mainly Ericaceous species - in north-facing grasslands. Expanding low shrub 469 470 cover in recent decades has been reported in the central Italian Alps at elevations up to 2500 471 m (Cannone, Sgorbati, & Guglielmin, 2007). Coupled with climate change, the transition 472 from an agro-pastoral socio-economic model to an economy based on tourism and skiing has 473 enabled a pronounced expansion of trees and shrubs into mountain grasslands in numerous 474 locations throughout the Alps since the 1950s, including for example the Chamonix valley 475 (unpublished data). In addition to the expansion of woody vegetation, increasing grass cover 476 in sparsely vegetated areas is probably contributing to the observed trends, both in the context 477 of screes and talus as well as glacier forelands in the wake of glacier retreat (Mainetti et al., 478 2021).

479 Our study allowed for distinction between external drivers of greening such as climate480 and predisposing factors that pertain to the initial state of the responding system. Overall, the

481 regional-scale variability of the greenness response did not strongly reflect spatial variation in 482 climate change. Several reasons may explain this phenomenon. First, the climate data we used 483 may be poor predictors because they fall short to capture surface conditions in high elevation 484 complex terrain. There are a limited number of weather stations above 2000 m in the Alps, 485 and some variables like precipitation are notoriously difficult to model along topographical 486 gradients (Frei & Isotta, 2019; Vionnet et al., 2019). Second, plant growth and community 487 dynamics primarily respond to fine-scale thermal and moisture regimes that depend on 488 landforms and soil factors (Giaccone et al., 2019; Liberati, Messerli, Matteodo, & Vittoz, 489 2019; Matteodo et al., 2016; Suding, Farrer, King, Kueppers, & Spasojevic, 2015), and these 490 factors are not accounted for in continental-scale gridded datasets. Third, high-elevation 491 ecosystems may respond to different temporal scales of climate such as extreme events or past 492 climate shifts. For example, previous studies have underlined the positive response of alpine 493 primary productivity to heat waves (Corona-Lozada, Morin, & Choler, 2019; Jolly et al., 494 2005). There is also strong evidence that the most significant rise of temperature in the Alps 495 occurred in the late eighties (EEA, 2009), i.e. a decade before the start of the MODIS 496 observations. It is possible that these particularly favorable years lead to massive plant 497 recruitment and that we are tracking the consequences of these events years later.

498 An example of a physical variable that we can track at the pixel scale is the green-up 499 date, which strongly depends upon the first snow free date. At first glance, our findings are 500 counter-intuitive as the likelihood of greening is predominantly associated with a delayed 501 green-up date (Figure 4), as illustrated by the situation in the south-western Alps and the 502 south-central Alps (Figure S10). Using the regional climate re-analysis available for the 503 French Alps, we confirmed that the positive trend of the green-up date is consistent with 504 delayed snow melt-out during the last 20 years especially in the southern-most ranges and 505 above 2000 m (Figure S11). A significant decrease in snow-melt-out dates in the 1980s and

506 1990s has been reported, mostly for sites below 2000 m (Durand et al., 2009; Klein, Vitasse, 507 Rixen, Marty, & Rebetez, 2016; Matiu et al., 2021). Recent reports highlighted that these 508 trends tend to vanish in the recent period, especially at high elevation (Matiu et al., 2021; 509 Vorkauf, Marty, Kahmen, & Hiltbrunner, 2021). In line with these findings, there is evidence 510 that high elevation sites in European Alps have experienced an increase in the precipitation 511 over the last decades (Avanzi et al., 2020; Napoli, Crespi, Ragone, Maugeri, & Pasquero, 512 2019). We hypothesize that the combination of snowy winters and warm summers may be 513 particularly favorable for alpine vegetation, especially where vacant niches are available for 514 recruitment. This was suggested by Corona et al. (2019) who showed that among the four 515 main heat waves that hit the Alps in the last 20 years, the only one that did not translate into 516 increased productivity was that of 2015 because a strong water deficit coincided with 517 increased temperature. Recent work also indicated that earlier snowmelt can be detrimental to 518 the growth of Rhododendron ferrugineum shrubs that preferentially occur on north-facing 519 slopes (Francon et al., 2020). It is therefore plausible that a delayed snowmelt ameliorates the 520 summer soil water balance and acts synergistically with warm summer temperatures to boost 521 plant productivity and colonization, especially on north-facing slopes that may previously 522 have been too cold to support dense vegetation cover. Further studies are needed to confirm 523 that this association between prolonged snow cover and greening is not simply coincidental 524 but is reflecting ecological mechanisms that are beneficial to plant recruitment and growth. 525 Finally, our findings call into question whether changes in pastoral management may 526 have contributed to the negative NDVImax anomalies and more generally to the contrasting 527 regional greening trends. Unfortunately, consistent long-term data on mountain livestock 528 systems are not available at the scale of the European Alps. A socio-economic analysis led 529 Tappeiner & al. (2008) to identify regions of the European Alps where agriculture receded in 530 recent years. Most of the Italian Alps and the North-easternmost Austrian Alps were

531 described as "forgotten rural areas" experiencing sharp decline in agriculture, which 532 demonstrates substantial spatial consistencies with our delineation of greening hotspots. 533 However, the analysis aggregated many different socio-economic variables at the scale of 534 administrative districts, and it was not possible to include it in our analysis of the drivers of 535 greening. There is certainly no simple relation between greening trends and changes in 536 agricultural practices. For example, there has been a remarkable resilience of mountain 537 livestock farming systems in the southern part of the French Alps which is a greening hotspot, 538 and this was observed despite many adverse factors such as demography, poor profitability, 539 extreme events and return of the large predators (Hinojosa, Napoleone, Moulery, & Lambin, 540 2016). Recent trends even point toward an increasing demand for high-elevation pastures to 541 overcome the detrimental effects of droughts in lowlands and southernmost mountain ranges, 542 leading shepherds to bring their flocks to high-elevation pastures for extended summer 543 periods (Nettier, Dobremez, Coussy, & Romagny, 2010). The greening trends we have 544 documented here may further encourage such practices. This highlights that livestock farming 545 systems cannot be solely envisaged as potential drivers of greening trends but that pastoral 546 practices will also have to adapt to the changing productivity and spatial distribution of 547 mountain pastures (Jager, Peratoner, Tappeiner, & Tasser, 2020).

548

Conclusion

In summary, the uplands of the European Alps have undergone widespread albeit nonuniform greening over the last two decades. High-elevation ecosystems have positively responded to ongoing summer warming with varying degrees of sensitivity. This conclusion is supported by the importance of predisposing factors such as the NDVImax anomaly, i.e. an abnormally low initial greenness, which explains a substantial portion of the spatial variability of greening. Sparsely vegetated ecosystems on north-facing slopes and experiencing prolonged snow cover duration are the most highly responsive to ongoing warming, possibly because the positive effect of increased temperature is not dampened by limiting water supply and density-dependent plant competition. Our findings call for further studies examining why certain areas of the European Alps exhibit negative NDVImax anomalies and whether this determines specific ecological mechanisms underpinning observed greening trends.

- 561

Acknowledgements

- 562 This work received funding from the LIFE PASTORALP project (LIFE16
- 563 CCA/IT/000060). We acknowledge the E-OBS dataset from the EU-FP6 project UERRA
- 564 (https://www.uerra.eu) and the Copernicus Climate Change Service, and the data providers in
- the ECA&D project (https://www.ecad.eu). Most of the computations presented in this paper
- 566 were performed using the Froggy platform of the GRICAD infrastructure (https://gricad.univ-
- 567 grenoble-alpes.fr), which is supported by the Rhône-Alpes region (GRANT CPER07_13
- 568 CIRA), the OSUG@2020 labex (reference ANR10 LABX56) and the Equip@Meso project
- 569 (reference ANR-10-EQPX-29-01) of the Programme Investissements d'Avenir supervised by
- 570 the Agence Nationale pour la Recherche. LECA is part of OSUG@2020 labex.
- 571

Supporting Information

- 572 Additional supporting information three tables and 13 figures may be found online in the
- 573 Supporting Information section.

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Figure legends

828Figure 1 Sign and magnitude of greenness trends in above-treeline ecosystems of829European Alps. a Frequency distribution of linear trends of NDVImax over the period 2000-8302020. Slopes were estimated using the Theil–Sen median slope analysis. Levels of831significance were assessed by a non-parametric, rank based, Mann–Kendall (MK) monotonic832test. Positive [negative] values correspond to greening [browning] trends. The analysis was

833 performed on 284 546 pixels at 250 m resolution. **b** Greenness trends by land cover class. The

European-scale product Corine Land Cover (CLC) was utilized. Note that the CLC class

835 "bare rocks" was renamed "very sparsely vegetated" as the average NDVImax of selected

836 pixels was above 0.1. Note the different scale for positive and negative trends.

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834

Figure 2 Spatial distribution of greenness trends. To ease reading, we applied a 5x5 pixels moving window to the original 250 m resolution map. The color scale represents the percentage of pixels showing significant greening (P < 0.05) over the period 2000-2020. The bold line delineates the European Alps whose location is shown in the upper left insert. The lower right insert allows visualizing regional hotspots of greening by aggregating the 250 m resolution map at 2.5 km and by coloring pixels for which more than 80% of the 250 m pixels exhibited fast greening (P < 0.005).

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Figure 3 Variation of greenness trends along gradients of elevation and diurnal
anisotropic heating (DAH). a Heatmap of the mean value of NDVImax slopes per class of
elevation and DAH. Only combinations representing more than 5% of the total number of
pixels are shown. b Elevational distribution of three ranges of NDVImax along the gradient of
DAH. Lines indicate the second decile, the median and the eighth decile of the distribution.
Average NDVImax values are shown for three 10-year sliding windows.

Figure 4 Anomalies of NDVImax. a An example of the variation of NDVImax along
elevation for DAH values in the interval]-0.25;-0.2]. NDVImax values are averages for the
period 2000-2020. Black lines indicate the first, the fifth (median) and the ninth deciles of the
distribution. The color palette from brown to green allows visualizing the NDVImax anomaly,
i.e. the difference between NDVImax and the median value of the corresponding elevation x
DAH combination. b Spatial distribution of the NDVImax anomaly in the European Alps. To
ease reading, we applied a 5x5 moving window to the original 250 m resolution map.

860

861 Figure 5 Predictors of greenness trends. We classified pixels into three categories -862 no greening, moderate greening $(0.005 \le P \le 0.05)$ and fast greening $(P \le 0.005)$ - and 863 implemented a random forest model to assess the importance of predictors. a Usefulness of 864 the predictor for classification measured by the mean accuracy decrease in classification 865 following permutation of variables. **b** Contribution of a predictor to the purity of nodes 866 measured by the decrease in the Gini coefficient. c Partial dependency analyses showing the 867 classification probability as a function of the set of values taken by the predictors. We created 868 1000 perturbed datasets of MODIS reflectances for the 284,346 pixels and then randomly 869 selected 30,000 pixels in each dataset. These subsets of pixels were split into training (66%) 870 and validation (33%) to implement the random forest model. Envelopes show the first and 871 ninth deciles of the distribution.

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Figure 6 Relationships between land cover, NDVImax anomalies and greenness
trends. We randomly selected 100 pixels (500 m resolution) in three data subsets exhibiting
negative, null and positive NDVImax anomalies (see Figure S7) and visually photointerpreted land cover using very high resolution Google Earth imagery. Cover of

- 877 screes/outcrops (a) and grasslands (c) per class of NDVImax anomaly. NDVImax slopes
- 878 (mean +/- se) for each class of NDVImax anomaly distinguishing the cover of screes/outcrops
- 879 (c) and grasslands (d). Results of a post-hoc Tukey tests are denoted with letters. Different
- 880 lower case letters indicate a significant (P<0.05) difference within NDVImax anomaly class.
- 881 Different upper case letters indicate a significant (P<0.05) difference between NDVImax
- anomaly class.





Figure 1





Figure 2











Figure 5



