

1 **Deriving C₄ photosynthesis parameters by fitting intensive A/C_i curves**

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14 Running head: Deriving C₄ photosynthesis parameters

15 **ABSTRACT**

16 Measurements of photosynthetic assimilation rate as a function of intercellular CO₂ (A/C_i
17 curves) are widely used to estimate photosynthetic parameters for C₃ species, yet few
18 parameters have been reported for C₄ plants, because of a lack of estimation methods. Here,
19 we extend the framework of widely-used estimation methods for C₃ plants to build
20 estimation tools by exclusively fitting intensive A/C_i curves (6-8 more sampling points) for
21 C₄ using three versions of photosynthesis models with different assumptions about carbonic
22 anhydrase processes and ATP distribution. We use simulation-analysis, out-of-sample tests,
23 existing in vitro measurements and chlorophyll-fluorescence-measurements to validate the
24 new estimation methods. Of the five/six photosynthetic parameters obtained, sensitivity
25 analyses show that maximal-Rubisco-carboxylation-rate, electron-transport-rate, maximal-
26 PEP-carboxylation-rate and carbonic-anhydrase were robust to variation in the input
27 parameters, while day-respiration and mesophyll-conductance varied. Our method provides
28 a way to estimate carbonic anhydrase activity, a new parameter, from A/C_i curves, yet also
29 shows that models that do not explicitly consider carbonic anhydrase yield approximate
30 results. The two photosynthesis models, differing in whether ATP could freely transport
31 between RuBP and PEP regeneration processes yielded consistent results under high light,
32 but they may diverge under low light intensities. Modeling results show selection for
33 Rubisco of low specificity and high catalytic rate, low leakage of bundle sheath and high
34 PEPC affinity, which may further increase C₄ efficiency.

35 ***Key words:*** A/C_i curves, C₄, estimation method, nonlinear curve fitting, photosynthesis
36 parameters, V_{cmax} , electron transport, PEP carboxylation rate, carbonic anhydrase

37

38 **Abbreviations:** a , light absorptance of leaf; A_c , Rubisco carboxylation assimilation rate; AEE ,
39 RuBP carboxylation and PEPc carboxylation limitation assimilation; AET , RuBP
40 regeneration and PEP carboxylation limitation assimilation; A_g , gross CO₂ assimilation rate
41 per unit leaf area; A_j , RuBP regeneration assimilation rate; A_n , net CO₂ assimilation rate per
42 unit leaf area; ATE , RuBP carboxylation and PEPc regeneration limitation assimilation; ATT ,
43 RuBP regeneration and PEPc regeneration limitation assimilation; α , the fraction of O₂
44 evolution occurring in the bundle sheath; c , scaling constant for temperature dependence for
45 parameters; CaL , Lower boundary CO₂ under which assimilation is limited by RuBP
46 carboxylation and PEPc carboxylation; CaH , Higher boundary CO₂ above which
47 assimilation is limited by RuBP regeneration and PEPc regeneration; C_{bs} , bundle sheath
48 CO₂ concentration; C_i , intercellular CO₂ concentration; C_m , mesophyll CO₂ concentration;
49 ΔH_a , energy of activation for temperature dependence for parameters; ΔH_d , energy of
50 deactivation for temperature dependence for parameters; ΔS , entropy for temperature
51 dependence for parameters; ϕ_{PSII} , quantum yield; $\gamma^*(25)$, the specificity of Rubisco at 25°C;
52 g_{bs} , bundle sheath conductance for CO₂; g_{bso} , bundle sheath conductance for O₂; g_m ,
53 mesophyll conductance for CO₂; I , light intensity; $J_{max}(25)$, maximum rate of electron
54 transport at 25°C; $K_c(25)$, Michaelis-Menten constant of Rubisco activity for CO₂ at 25°C;
55 $K_o(25)$, Michaelis-Menten constants of Rubisco activity for O₂; $K_p(25)$, Michaelis-Menten
56 constants of PEP carboxylation for CO₂; O_{bs} , O₂ concentration in the bundle sheath cells;
57 Q_{10} for K_p , temperature sensitivity parameter for K_p ; R , the molar gas constant; R_d , daytime
58 respiration; R_{dbs} , daytime respiration in bundle sheath cells; R_{dm} , daytime respiration in
59 mesophyll cells; Rubisco, ribulose-1,5-bisphosphate carboxylase/oxygenase; RuBP,
60 ribulose-1,5-bisphosphate; T_k , leaf absolute temperature; V_c , velocity of Rubisco

- 61 carboxylation; $V_{\text{cmax}}(25)$, maximal velocity of Rubisco carboxylation at 25°C; V_p , PEP
- 62 carboxylation; V_{pc} , PEPC reaction rate; $V_{\text{pmax}}(25)$, maximal PEP carboxylation rate at 25°C;
- 63 V_{pr} , PEP regeneration rate; x , the maximal ratio of total electron transport could be used for
- 64 PEP carboxylation.
- 65

66 1. INTRODUCTION

67 Key photosynthetic parameters allow for the assessment of how biochemical and
68 biophysical components of photosynthesis affect net carbon assimilation in response to
69 environmental changes, phenotypic/genotypic differences, and genetic modification. The
70 changes in net assimilation (A_n) that occur along with the changes of intercellular CO_2
71 concentration (C_i)—or A/C_i curves—are widely used to estimate photosynthetic parameters
72 for C_3 species. In particular, the method by Sharkey et al. (2007), based on the C_3
73 photosynthesis model of Farquhar et al. (1980; FvCB model), has been one of the most
74 widely used tools since it is based exclusively on A/C_i curves, which are easy to measure in
75 both lab and field conditions.

76

77 Fewer estimates of photosynthetic parameters have been reported for C_4 species, as there has
78 been a lack of accessible C_4 estimation methods. Several recent studies, however, used A/C_i
79 curves to estimate photosynthesis parameters based on the C_4 photosynthesis model of von
80 Caemmerer (2000) (Ubierna et al., 2013; Bellasio et al., 2015). These studies use partial
81 A/C_i curves; measuring assimilation rates for only a few CO_2 concentrations coupled with
82 ancillary measurements of chlorophyll fluorescence and/or 2% O_2 . While these estimation
83 methods lead to estimates of photosynthetic parameters, the additional measurements they
84 require make estimation more cumbersome for field work or large-scale sampling.

85 Theoretically, it is possible to estimate photosynthetic parameters by exclusively fitting A/C_i
86 curves to a C_4 photosynthesis model. In this paper, we propose the method to estimate C_4
87 photosynthesis parameters using only A/C_i curves.

88

89 There are several potential problems with A/C_i –based estimation methods for C_3 plants that
90 carry over to existing C_4 methods (Gu et al. 2010); it is therefore important to develop a C_4
91 estimation method with improvements to solve the general problems and drawbacks outlined
92 below. First, the structure of the FvCB model makes it easy to be over-parameterized.
93 Second, a general shortcoming for the estimation methods is that they require an artificial
94 assignment of the RuBP regeneration and Rubisco carboxylation limitation states to parts of
95 the A/C_i curves (Xu and Baldocchi, 2003; Ethier et al., 2006; Ubierna et al., 2013; Bellasio
96 et al., 2015), which has turned out to be problematic (Type I methods) (Gu et al. 2010).
97 These methods assume constant transition points of limitation states for different species.
98 Furthermore, Type I methods tend to minimize separate cost functions of different limitation
99 states instead of minimizing a joint cost function. Some recent estimation methods for C_3
100 species ameliorate these problems by allowing the limitation states to vary at each iterative
101 step of minimizing the cost function (Type II methods; Dubois et al., 2007; Miao et al.,
102 2009; Yin et al., 2009; Gu et al., 2010). However, for these type II methods, additional
103 degrees of freedom in these “auto-identifying” strategies can lead to over-parameterization if
104 limitation states are allowed to change freely for all data points. Gu et al. (2010) also pointed
105 out that existing Type I and Type II methods fail to check for inadmissible fits, which
106 happen when estimated parameters lead to an inconsistent identification of limitation states
107 from the formerly assigned limitation states. More specifically to C_4 , the recently developed
108 C_4 estimation methods artificially assign limitation states for A/C_i curves (Ubierna et al.,
109 2013; Bellasio et al., 2015) and also did not check for inadmissible fits.
110
111 We developed methods to estimate photosynthetic parameters for C_4 species based solely on

112 fitting intensive A/C_i curves to a C_4 photosynthesis model (von Caemmerer, 2000). The
113 intensive A/C_i curves (A/C_i curves with 6-8 more sampling points than the common A/C_i for
114 C_3 species) are important for two reasons: First, at low C_i , the slope of A/C_i is very steep and
115 the assimilation rate saturates quickly. Second, C_4 species have more photosynthetic
116 parameters as the carbon concentrating mechanism adds complexity. Additionally, carbonic
117 anhydrase catalyzes the first reaction step for C_4 photosynthesis (Jenkins et al., 1989), and it
118 has been commonly assumed to not limit CO_2 uptake in estimation methods and C_4 models
119 (von Caemmerer, 2000; Yin et al., 2011b). Recent studies, however, showed evidence of
120 potential limitation by carbonic anhydrase (von Caemmerer et al., 2004; Studer et al., 2014;
121 Boyd et al., 2015; Ubierna et al., 2017).

122

123 Therefore, first, we built estimation methods using two different fitting procedures of
124 Sharkey et al. (2007) and Yin et al. (2011b) without considering carbonic anhydrase activity.
125 Then, we add carbonic anhydrase limitation into the estimation method. We can also use this
126 approach to examine how the carbonic-anhydrase-limitation assumption impacts parameter
127 estimation, and whether the modeling of C_4 photosynthesis can be simplified by omitting it.
128 All together, our method estimates five to six photosynthesis parameters: (1) maximum
129 carboxylation rate allowed by ribulose 1,5-bisphosphate carboxylase/oxygenase (Rubisco)
130 (V_{cmax}), (2) rate of photosynthetic electron transport (J), (3) day respiration (R_d), (4)
131 maximal PEP carboxylation rate (V_{pmax}), (5) mesophyll conductance (g_m), and optionally (6)
132 the rate constant for carbonic anhydrase hydration activity (k_{CA}). These approaches yield the
133 following improvements to eliminate common problems occurring in the previous C_3 and C_4
134 estimation methods: avoiding over-parameterization, maximizing joint cost function, freely

135 determining transition points instead of assigning in advance, and checking for inadmissible
136 fits. Second, since both RuBP regeneration and PEP regeneration need ATP (Hatch, 1987),
137 we also examine two different assumptions about ATP distribution between RuBP
138 regeneration and PEP regeneration in C_4 photosynthesis models. Third, we validate the
139 estimation methods in four independent ways, using: (i) simulation tests using A/C_i curves
140 generated using our model with known parameters and adding random errors, (ii) out of
141 sample test, (iii) existing in vitro measurements and (iv) Chlorophyll fluorescence
142 measurement. Finally, we used the C_4 photosynthesis model to perform sensitivity analyses
143 and simulation analyses for important physiological input parameters. These analyses allow
144 us to illustrate the underlying physiological significance of these parameters to the ecology
145 and evolution of the C_4 photosynthesis pathway.

146

147 **2. MATERIALS and METHODS**

148 **2.1 C_4 Mechanism**

149 The CO_2 concentrating mechanism of C_4 pathway increases CO_2 in the bundle sheath cells
150 to eliminate photorespiration. Like the C_3 pathway, the diffusion of CO_2 starts from the
151 ambient atmosphere through stomata into intercellular spaces, and then into the mesophyll
152 cells. In the mesophyll cells, the first step is the hydration of CO_2 into HCO_3^- by carbonic
153 anhydrase. PEPC, then, catalyze HCO_3^- and PEP into C_4 acids and the C_4 acids are
154 transported to the bundle sheath cells. In the bundle sheath cell, C_4 acids are decarboxylated
155 to create a high CO_2 environment for the C_3 photosynthetic cycle, and PEP is regenerated.
156 All the modeling equations and mechanistic processes used for our estimation method are
157 from von Caemmerer (2000), Hatch and Burnell (1990), Boyd et al. (2015) and Ubierna et

158 al. (2017) (Supplementary Methods).

159

160 Given the two limitation states of C₄ cycle (PEP carboxylation (V_{pc}) and PEP Regeneration
161 (V_{pr})), and two limitation states of C₃ cycle (RuBP carboxylation (A_c) and RuBP
162 Regeneration (A_j)) in the C₄ photosynthesis model, there are four combinations of limitation
163 states (as Yin et al., 2011b, Fig. 1): RuBP carboxylation and PEP carboxylation limited
164 assimilation (AEE), RuBP carboxylation and PEP regeneration limited assimilation (ATE),
165 RuBP regeneration and PEP carboxylation limited assimilation (AET) and RuBP
166 regeneration and PEP regeneration limited assimilation (ATT). Since the C₄ cycle operates
167 before the C₃ cycle and provides substrates for the C₃ cycle, the determination process of A_n
168 is as follows:

169 If ($V_{pc} < V_{pr}$), $A_c = AEE$, $A_j = AET$, otherwise $A_c = ATE$, $A_j = ATT$ (1)

170 $A_n = \min(A_c, A_j)$, (2)

171 which we used for our estimation method.

172

173 2.2 Plant Material

174 We performed intensive A/C_i curves on nine different C₄ species to develop and examine the
175 efficacy of our estimation tools: *Zea mays* L., *Eragrostis trichodes* (Nutt.) Alph. Wood,
176 *Andropogon virginicus* L., *Schizachyrium scoparium* (Michx.) Nash, *Panicum virgatum* L.,
177 *Panicum amarum* Elliott, *Setaria faberi* Herrm., *Sorghastrum nutans* (L.) Nash
178 and *Tripsacum dactyloides* (L.) L. The intensive A/C_i curves contain more sample points
179 under more CO₂ concentrations than the default curve used for C₃ species. Here we set the
180 CO₂ concentrations as 400, 200, 50, 75, 100, 125, 150, 175, 200, 225, 250, 275, 300, 325,

181 350, 400, 500, 600, 700, 800, 1000, 1200, 1400 ppm under light intensity of $1500 \mu\text{molm}^{-2}\text{s}^{-1}$
182 ¹ (light intensity encountered by the plants in greenhouse). At each point, data was recorded
183 when the intercellular CO_2 concentration equilibrated within 2-5 minutes. The datasets were
184 obtained using a standard $2 \times 3 \text{ cm}^2$ leaf chamber with a red/blue LED light source of LI-
185 6400 (LI-COR Inc., Lincoln, NE, USA). If the stomatal conductance of a species does not
186 decrease quickly at high CO_2 , then the sample points at the high CO_2 level can be increased.
187 Fluorescence was measured along with A/C_i curves for seven C_4 species (CO_2 concentration
188 is similar with above). After each change of CO_2 concentration and A reached steady state,
189 the quantum yield was measured by multiphase flash using a 2 cm^2 fluorescence chamber
190 head (Bellasio et al., 2014). All the measurements are conducted at 25°C and VPD is
191 controlled at 1-1.7kPa. The cuvette was covered by Fun-Tak to avoid and correct for the
192 leakiness (Chi et al., 2013).

193

194 **2.3 Estimation Protocol**

195 We implemented the estimation methods using the non-linear curve-fitting routine in MS
196 Excel (Supplementary Material I, II, III) and independently in R (“C4Estimation”) to get
197 solutions that minimize the squared difference between observed and predicted assimilation
198 rates (A). Five (or six when considering carbonic anhydrase) parameters will be estimated by
199 fitting the A/C_i curve: V_{cmax} , J , R_d , V_{pmax} , g_m , and k_{CA} . Other input parameters for C_4 are in
200 Table S1.

201

202 **Input data sets and preliminary calculations.** The input data sets are the leaf temperature
203 during measurements, atmosphere pressure, two CO_2 bounds (CaL and CaH discussed in the

204 following section), and the assimilation rates (A) and the C_i s (in ppm) in the A/C_i curve.

205 Also, reasonable initial values of output parameters need to be given in the output section to

206 initiate the non-linear curve fitting (Supplementary Material IV). C_i will be adjusted from

207 the unit of ppm to the unit of Pa inside the program as suggested by Sharkey et al. (2007).

208

209 **Estimating limitation states.** We set upper and lower limits to the value of C_i between

210 which the assimilation rates are freely determined by limitation states. Also, we can avoid

211 over-parameterization by pre-assigning limitation states at the lower and upper ends of the

212 C_i range. We assumed that under very low C_i (CaL), CO_2 is the limiting substrate; thus, V_p is

213 limited by V_{pc} and A is given by A_c (AEE); under very high C_i (CaH) electron transport is

214 limiting, thus, V_p is limited by V_{pr} and A is given by A_j (ATT) (Fig. 1). The points between

215 CaL to CaH are freely determined by AEE, ATE, AET or ATT from eq. (16) and (17) to

216 minimize the cost function. We suggest setting CaL as 10 Pa initially, then adjusting based

217 on the preliminary results. The points of constant A at high C_i end can initially be set as

218 being limited by ATT primarily (based on the three points, we can CaH) or use 65 Pa as the

219 first trial. The range of freely determined points can be adjusted by users by setting

220 appropriate CaL and CaH . In the column of “Estimate Limitation”, whether the data points

221 are limited by AEE (represented by “1”), ATT (represented by “4”) or freely vary

222 (represented by “0”), all the assignments of “1”, “4” and “0” are determined automatically

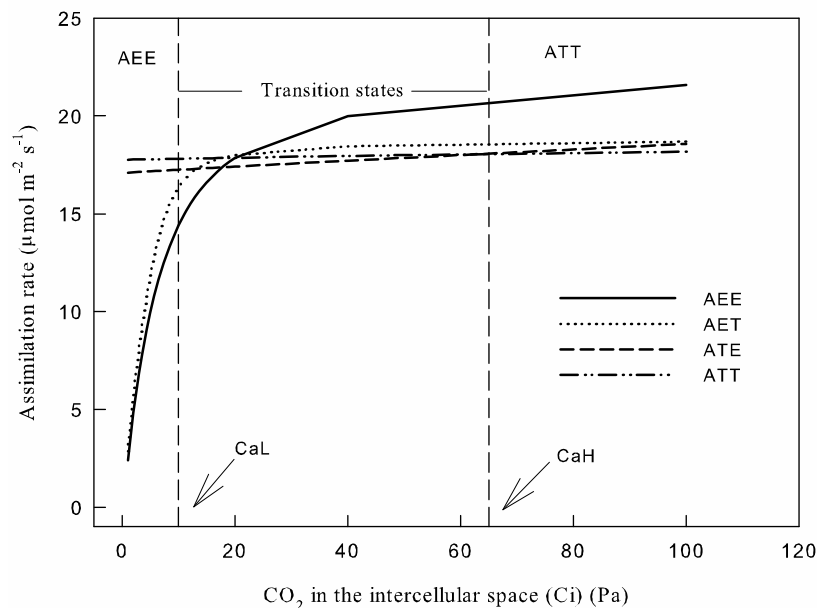
223 by the given values of CaL and CaH . One can input “-1” to disregard a data pair. Users can

224 adjust limitation states according to how many points and the range of C_i they have in their

225 A/C_i curves.

226

227 We assume different processes in the C_4 photosynthesis are coordinated with each other and
228 co-limit the assimilation rate (Sharkey et al., 2007; Yin et al., 2011b; Ubierna et al., 2013;
229 Bellasio et al., 2015). Thus, the estimation parameters allow the limitation states to be
230 compactly clustered with each other (Fig. 1). However, if there were only a few points under
231 CaL , the estimation results will depend heavily on the given initial values and unbalanced
232 results would be more likely. Fig. S1 shows an example of unbalanced estimation results by
233 deleting some points under 10 Pa or setting a very low CaL : in the estimation results, A_n is
234 limited by AEE at very low C_i and is mostly limited by A_j (shown by AET and ATT) in the
235 C_3 cycle. In this case, A_c (shown by AEE and ATE) has a clear redundancy at higher C_i .
236 Unbalanced results happened when there are not enough constraints points under CaL or
237 above CaH . Such results explain why intensive A/C_i curves are preferred, especially more
238 measuring points under the lower end and higher end of C_i . However, existing A/C_i data
239 with 14 points might be used in the current estimation method if there are at least four points
240 below CaL and three points above CaH .



242 **Fig. 1** An introduction of how our estimation methods assign transition points between limitation
243 states. AEE represents RuBP carboxylation, and PEP carboxylation limited assimilation rate, ATT
244 represents RuBP regeneration and PEP regeneration limited assimilation rate. Transition states
245 indicate assimilation could be limited by AEE, ATT, ATE (RuBP carboxylation and PEP
246 regeneration) and AET (RuBP regeneration and PEP carboxylation). Our algorithm allows the
247 transition states to be freely limited by the above four conditions from a lower bound (CaL , 10 Pa for
248 instance) and a higher bound (CaH , 65 Pa for example), indicated by the dashed vertical lines in the
249 figure.

250

251 **Estimation algorithm and fitting procedures.** The objective of our estimation methods is
252 to minimize the following joint cost function (eq. 3 and 4) by varying the above five or six
253 output parameters (V_{cmax} , J , R_d , V_{pmax} , g_m , and k_{CA}):

$$f = \sum_{i=1}^n (A_i - A_{mi})^2. \quad (3)$$

254

$$A_i = [If(C_i \leq CaL), AEE; If(C_i \geq CaH), ATT; IF(CaL \leq C_i \leq CaH), \min(A_{ci}, A_{ji})] \quad (4)$$

255

256 n is the total number of observations, A_{ci} is determined by AEE and ATE and A_{ji} is
257 determined by AET and ATT from eq. (1), A_{mi} is the observed net assimilation rate.

258 In this calculation, we take Michaelis-Menten constant of Rubisco activity for CO_2 (K_c),
259 Michaelis-Menten constant of Rubisco activity for O_2 (K_o), the specificity of Rubisco (γ^*),
260 Michaelis-Menten constants of PEP carboxylation for CO_2 or HCO_3^- (K_p), the fraction of O_2
261 evolution occurring in the bundle sheath (α) and bundle sheath conductance (g_{bs}) as given
262 (input parameters), similar to Sharkey et al. (2007). We conduct further sensitivity analyses
263 in the following section to determine the effects of variability of these inputs parameters on
264 the estimation results.

265

266 We used two fitting procedures in the current study: one was from Sharkey et al. (2007),
267 which is an implicit minimization of error (Supplementary Material I, III), and the other one
268 was based on the explicit calculations given by Yin et al. (2011b) (Supplementary Material
269 II). For the method of Sharkey et al. (2007), "estimated" A_n was calculated using the above
270 equations and observed A_n values. We call them "estimated", because when we calculate A_n ,
271 observed A_n is used to calculate intermediate parameters, for example, the CO_2
272 concentration in mesophyll cells (C_m), the CO_2 concentration in bundle sheath (C_{bs}), which
273 we then use to calculate A_c and A_j . The objective function is to minimize the sum of square
274 errors between "estimated" A_n and observed A_n (Simulation Error in Supplementary Material
275 I, III). For the model without carbonic anhydrase, Yin et al. (2011b) gave explicit solutions
276 for AEE, ATE, AEE, and ATT). "Explicit" here means the assimilation rates are totally
277 calculated by the estimated parameters without calculating the intermediates with observed
278 A_n . These calculations give us the real estimation error of our fitting procedure for models
279 without carbonic anhydrase and thus provide a validation for the goodness of fit ("True
280 Error" in Supplementary Material I-III).

281

282 **Checking inadmissible fits.** We made it possible to check the inadmissible fits for
283 limitation states in our estimation method. After the estimation process finishes, the
284 limitation states based on the estimated parameters will be calculated in the last column. If
285 the calculated limitation states are inconsistent with the assigned ones in the estimation
286 method, one needs to readjust the assignment of the "Estimate Limitation" (adjust CaL or
287 CaH) and rerun the estimation method, until they are consistent with each other.

288

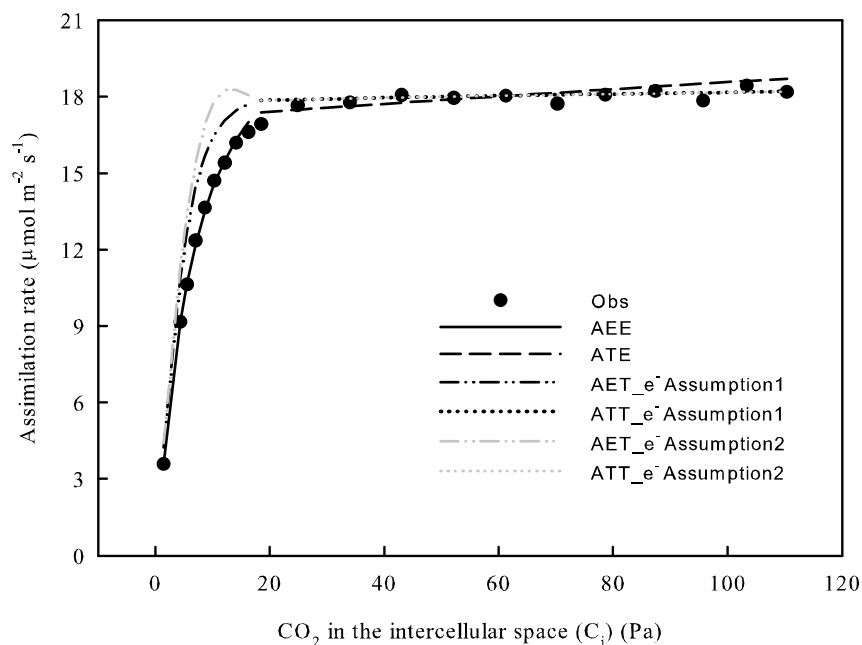
289 **3. RESULTS**

290 **3.1 Estimation results and assumptions**

291 Estimation methods based on assumptions with and without carbonic anhydrase yield
292 similar results (Supplementary material V). In Supplementary material III, carbonic
293 anhydrase indeed shows limitation to V_{pc} , which confirms its potential role as a limiting step
294 in the C_4 cycle. However, V_{pc} calculated from CO_2 are only a little higher than V_{pc} calculated
295 from HCO_3^- , which resulted in the similar estimation results. In addition, the estimation
296 errors and true errors from Yin's equations are quite small (average < 1), and also similar
297 between models with and without carbonic anhydrase.

298

299 Estimation methods based on the two equations of different assumptions about electron
300 transport between RuBP regeneration and PEP regeneration yield consistent parameter
301 estimates and assimilation- CO_2 response curves (Fig. 2), but there were minor differences.
302 The second assumption that ATP, resulting from electron transport, is freely allocated
303 between PEP carboxylation-regeneration and RuBP regeneration leads to a bump at low
304 CO_2 when estimating ATE. The two assumptions produce different ATE under low CO_2 ; but
305 this is largely inconsequential because, under low CO_2 , assimilation is usually limited by
306 AEE.



307

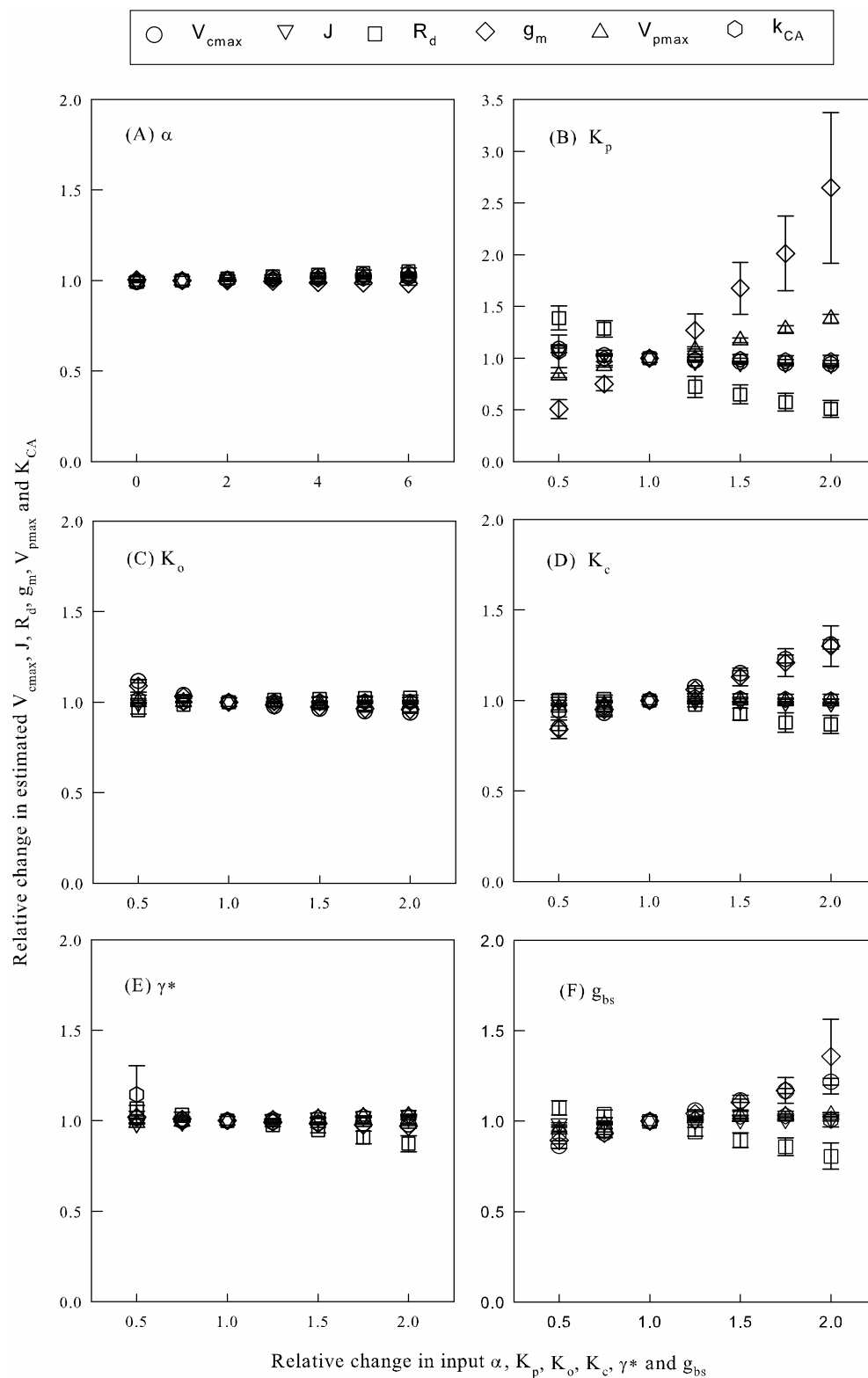
308 **Fig. 2** Assimilation- CO_2 response curves (A/C_i) generated using C_4 photosynthesis of two different
 309 assumptions about electron transport. Photosynthetic parameters (V_{cmax} , J , R_d , V_{pmax} , and g_m) are the
 310 same for both assumptions. AET_{e^-} Assumption1 and ATT_{e^-} Assumption1 represent results of the
 311 assumption that no matter how much electron transport is used for PEP carboxylation/regeneration, a
 312 certain amount (xJ) is confined for this use. AET_{e^-} Assumption2 and ATT_{e^-} Assumption2 represent
 313 results of the assumption that electron transport can be freely distributed between PEP
 314 carboxylation/regeneration and RuBP regeneration. Parameters are estimated from A/C_i curve of *T.*
 315 *dactyloides* under the light intensity of $1500 \mu\text{mol m}^{-2} \text{s}^{-1}$. AEE and ATE are the same for both
 316 assumptions.

317

318 3.2 Sensitivity analysis

319 The parameters K_c , K_o , γ^* , K_p , α , and g_{bs} can vary among species in nature (Cousins et al.,
 320 2010) and it is therefore important to know how sensitive our results are to variation in these
 321 parameters. We conducted a sensitivity analysis for variation in these parameters on the

322 estimated V_{cmax} , J , R_d , V_{pmax} , g_m and k_{CA} (Fig. 3). This analysis shows all the estimated
323 parameters are robust under the variation of α (Fig. 3A) and showed little variation
324 responding to the change of γ^* (Fig. 3E) and K_o (Fig. 3C); however, the estimated
325 parameters are dependent on the other input parameters to different extents (Fig. 3B, D, F).
326 We calculate the average percentage change of estimated parameters along with the 50 %
327 decrease and 100 % increase of the input parameters. V_{cmax} showed some medium extent of
328 sensitivity for K_c , K_p , and g_{bs} with the average percentage change of 23.11, 7.54 and 17.69 %
329 respectively. J is robust in the variations of K_c , and g_{bs} (the average change is less than 2%)
330 and with a medium 6.96 % change for K_p . k_{CA} is robust in the variations of K_c , K_p , and g_{bs}
331 (average change less than 5%). V_{pmax} is sensitive for K_p with the average change of 27.34%,
332 moderately sensitive to the change of g_{bs} with 4.01 % and 13.38% change and is robust for
333 K_c . R_d is sensitive to K_c , K_p , and g_{bs} with the change of 6.73, 43.88 and 13.38%. g_m is
334 strongly sensitive to K_c , K_p , and g_{bs} with the average percentage changes of 22.95, 107.04
335 and 23.19 %. This results suggest that V_{cmax} , J , V_{pmax} , and k_{CA} estimated using our method
336 are relatively robust.



337

338 **Fig. 3** Sensitivity analysis of six estimation parameters to the variation in six input parameters using

339 the model with carbonic anhydrase. Relative changes in the estimated V_{cmax} , J , R_d , V_{pmax} , g_m and k_{CA}

340 in response to the relative change of six input parameters [(A) α , (B) K_p , (C) K_o , (D) K_c , (E) γ^* and
341 (F) g_{bs}] from the initial values in Table S1. The relative change of estimated parameters refers to the
342 ratio of estimated values at a changed input parameter to the estimated value at the initial value of
343 that input parameter. The symbols represent the average change of the nine C_4 species and error bars
344 represent standard error.

345

346 **3.3 Physiological significance for assimilation rate of the input parameters**

347 In addition to the sensitivity analysis, we performed a simulation analysis to illustrate the
348 physiological importance of input parameters further, and to indicate further the importance
349 of physiological properties in maintaining the efficiency of C_4 photosynthesis pathway. We
350 chose the estimation parameter set of *T. dactyloides* as an example, held photosynthetic
351 parameters constant V_{cmax} ($28 \mu\text{mol m}^{-2} \text{s}^{-1}$), J ($134 \mu\text{mol m}^{-2} \text{s}^{-1}$), R_d ($0.78 \mu\text{mol m}^{-2} \text{s}^{-1}$), g_m
352 ($30.00 \mu\text{mol m}^{-2} \text{s}^{-1} \text{Pa}^{-1}$) and V_{pmax} ($41.91 \mu\text{mol m}^{-2} \text{s}^{-1}$), while changing the values of α , γ^* ,
353 g_{bs} , and K_p (as half or twice of the original parameters) to see their effects on the
354 assimilation rate, C_{bs} and the O_2 concentration in bundle sheath (O_{bs}) (Fig. 4, Table 1).

355 Using photosynthetic parameter sets of other species to perform the simulation analysis
356 yielded similar results (data not shown). The change of α did not lead to changes in
357 assimilation rate (Fig. 4A) and led to small changes in O_{bs} (Table 1). The decrease of γ^* to
358 half of the current value led to a small change of C_{bs} and assimilation rate (less than 0.5
359 $\mu\text{mol m}^{-2} \text{s}^{-1}$) while doubling γ^* led to a larger, but still not significant, change (less than 1
360 $\mu\text{mol m}^{-2} \text{s}^{-1}$) (Fig. 4B, Table 1). Importantly, the changes of assimilation rates were less
361 than $0.3 \mu\text{mol m}^{-2} \text{s}^{-1}$ when C_i was less than 20 Pa, which is the regular range of C_i under
362 current ambient CO_2 . However, the change of g_{bs} significantly changed the assimilation rate

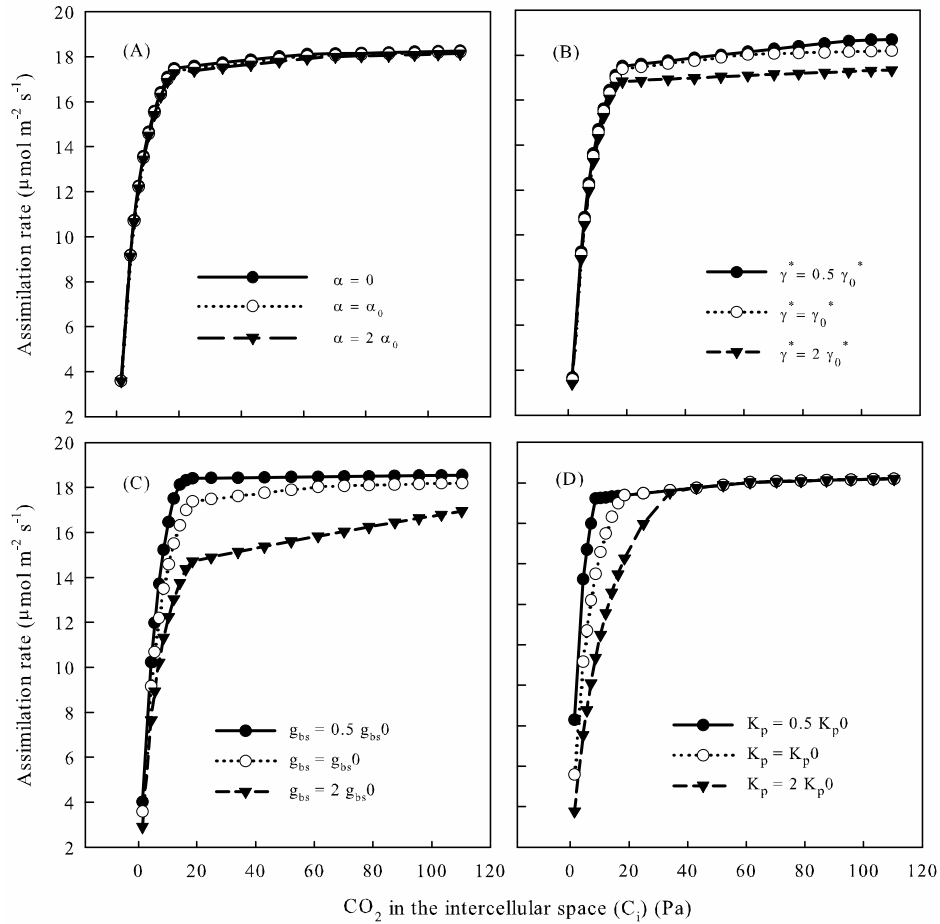
363 and C_{bs} (Fig. 4C, Table 1). The change of K_p significantly affected the assimilation rate and
 364 C_{bs} to a large degree under low C_i (Fig. 4D, Table 1).

365

366 **Table 1** The average change of percentage of CO_2 concentration (C_{bs}) and O_2 concentration at
 367 bundle sheath (O_{bs}) compared to the reference value of α_0 , γ^*_0 , g_{bs0} and K_p . Simulation results are
 368 obtained by using the original parameter set of *T. dactyloides* with $V_{cmax} = 28 \mu\text{mol m}^{-2} \text{s}^{-1}$, $J = 134$
 369 $\mu\text{mol m}^{-2} \text{s}^{-1}$, $R_d = 0.78 \mu\text{mol m}^{-2} \text{s}^{-1}$, $g_m = 30.00 \mu\text{mol m}^{-2} \text{s}^{-1} \text{Pa}^{-1}$ and $V_{pmax} = 41.91 \mu\text{mol m}^{-2} \text{s}^{-1}$. The
 370 values represent average change of percentage of 21 values from 0-120 Pa of intercellular CO_2 (C_i)
 371 (data show mean (standard error)).

Parameters	$\alpha = 0$	$\alpha = 2 \alpha_0$	$\gamma^* = 0.5 \gamma^*_0$	$\gamma^* = 2 \gamma^*_0$
Chang of C_{bs} (%)	-0.91(0.06)	0.97(0.06)	-2.96(0.28)	5.05(0.49)
Chang of O_{bs} (%)	-6.07(0.30)	6.01(0.30)	0.07(0.01)	-0.21(0.02)
Parameters	$g_{bs} = 0.5 g_{bs0}$	$g_{bs} = 2 g_{bs0}$	$K_p = 0.5 K_{p0}$	$K_p = 2 K_{p0}$
Chang of C_{bs} (%)	56.99(3.03)	-29.48(0.41)	43.12(10.75)	-36.57(4.07)
Chang of O_{bs} (%)	6.77(0.29)	-3.41(0.16)	0.91(0.18)	-1.18(0.14)

372



373

374 **Fig. 4** Simulation results of assimilation rate along with different intercellular CO₂ concentration (C_i)

375 with the known photosynthetic parameters, but with the change of (A) α , (B) γ^* , (C) g_{bs} and (D) K_p .

376 The original data set are $V_{cmax} = 28 \mu\text{mol m}^{-2} \text{s}^{-1}$, $J = 134 \mu\text{mol m}^{-2} \text{s}^{-1}$, $R_d = 0.78 \mu\text{mol m}^{-2} \text{s}^{-1}$, $g_m =$

377 $30.00 \mu\text{mol m}^{-2} \text{s}^{-1} \text{Pa}^{-1}$ and $V_{pmax} = 41.91 \mu\text{mol m}^{-2} \text{s}^{-1}$. The reference value of changing parameters at

378 25°C : $\alpha(25) = 0.15$, $\gamma^*(25) = 0.000244$, $g_{bs}(25) = 0.0295$ and $K_p(25) = 8.55 \text{ Pa}$.

379

380 **3.4 Validating the estimation methods**

381 In order to test our estimation methods, we first conducted a simulation test with

382 manipulated error terms. We use the estimated results of the nine species as known

383 parameters (the known values in Fig. 5) to generate new datasets using the C₄

384 photosynthesis equations based the first assumption of electron transport and adding error
385 terms to the assimilation rates. The error terms were randomly drawn from a normal
386 distribution of mean zero and standard deviation of 0.1 or 0.2 in an effort to simulate the
387 inevitable random errors in the real measurements. Estimating simulated data sets gave us an
388 idea about how likely we can capture the real parameters of the species given unavoidable
389 errors in measurements. The results show that robust estimation results for V_{cmax} , J , V_{pmax} ,
390 and R_{d} can be obtained (Fig. 5A, B, C, D). However, some estimation results of g_{m} and k_{CA}
391 show some deviation from the real values (Fig. 5E, F).

392

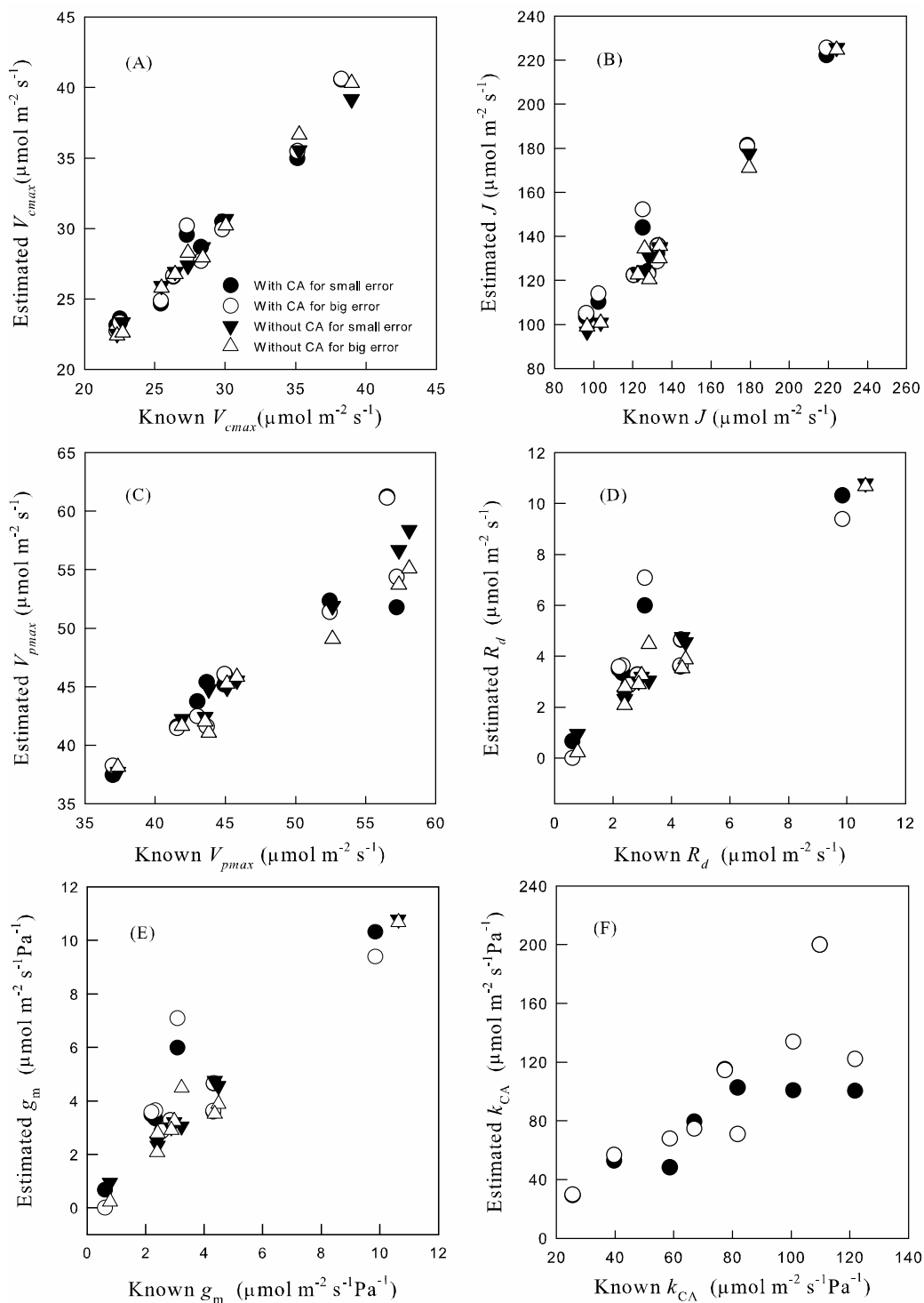
393 To test whether our estimation method could give accurate predictions across typical
394 prediction scenarios, (CO_2 ranging from 20 Pa to 60 Pa), we performed out of sample tests
395 for our nine target species. To perform these tests, we removed five points of CO_2
396 concentrations between 20 and 60 Pa range out of the A/C_i curves and used the rest of the
397 A/C_i curves to estimate parameters. And then we used these parameters to predict the
398 assimilation rate under the CO_2 concentrations we took out before and calculated the
399 estimation errors. In general, the estimation errors for all our species were small (Table 2).

400

401 **Table 2** Out of sample test results. Five measured points from 20 Pa-60 Pa were taken out when we
402 conducted the estimation process. Then the calculated assimilation rates under these five CO_2
403 concentrations were compared with the measured ones. The data shows estimated error between the
404 calculated and measured assimilation rates (data show mean (standard error)).

Species	<i>A. virginicus</i>	<i>Z. mays</i>	<i>E. trichodes</i>	<i>P. virgatum</i>	<i>P. amarum</i>
Model without CA	0.069(0.036)	0.150(0.056)	0.035 (0.017)	0.193(0.063)	0.055(0.034)
Model with CA	0.066(0.043)	0.154(0.057)	0.111 (0.058)	0.195 (0.061)	0.054(0.033)

Species	<i>S. scoparium</i>	<i>S. faberi</i>	<i>S. nutans</i>	<i>T. dactyloides</i>
Model without CA	0.023(0.010)	0.114(0.055)	0.258(0.080)	0.199(0.090)
Model with CA	0.105(0.034)	0.068(0.040)	0.263(0.133)	0.200(0.090)



408

409 **Fig. 5** Simulation tests for the estimated parameters ((A) V_{cmax} , (B) J , (C) V_{pmax} , (D) R_{d} , (E) g_{m} and
410 (F) k_{CA}) using estimation methods with and without carbonic anhydrase reaction (With CA and
411 Without CA). Datasets are generated by adding random errors for the modeling results using the
412 known photosynthesis parameters of nine species. These known photosynthesis parameters are the
413 true values in the x-axis and are used to compare with the newly estimation parameters. The small
414 error refers to error term randomly chosen with mean 0 and standard deviation of 0.1 and the bigger
415 error refers to error term with randomly chosen mean 0 and standard deviation of 0.2.

416

417 We tried to compare our estimation methods with in vitro measurements or other estimation
418 methods using isotopic analysis, especially for *Zea*. Our estimation results for *Zea* obtained
419 similar V_{cmax} with the in vitro estimated Rubisco activity of Pinto et al. (2014); however, the
420 estimated value for V_{pmax} is a little lower than the in vitro PEPC activity measurement with a
421 difference of around $10 \mu\text{mol m}^{-2} \text{s}^{-1}$. For species of the Panicum family with NAD-ME
422 subtype, *P. virgatum* and *P. amarum* in the current study and *P. coloratum* in Pinto et al.
423 (2014), the estimated V_{cmax} and V_{pmax} are quite consistent with the in vitro measurements.
424 Ubierna et al. (2017) reported the g_{m} for *Zea* ranged from 1.69 ± 0.17 to $8.19 \pm 0.80 \mu\text{mol}$
425 $\text{m}^{-2} \text{s}^{-1} \text{Pa}^{-1}$ using ^{18}O and in vitro V_{pmax} . Our estimation method fitted a g_{m} for *Zea* of 7.34
426 $\mu\text{mol m}^{-2} \text{s}^{-1} \text{Pa}^{-1}$, which falls into the range of their measurements. Barbour et al. (2016)
427 reported a little lower mesophyll conductance for *Zea* using ^{18}O measurements.

428

429 **3.5 Validating transition point range**

430 We used chlorophyll fluorescence measurements from seven C_4 species to test whether the
431 upper and lower boundary CO_2 concentrations, *CaL* and *CaH*, are reasonable (Table 3). The
432 apparent quantum efficiency of PSII electron transport was calculated with $\Delta F/F_{\text{m}'} = (F_{\text{m}'} -$

433 F_s) F_m' (Genty, Briantais & Baker 1989). Fluorescence analysis (Baker et al. 2007) is a
434 powerful tool for identifying the limitation states of C_3 species (Sharkey et al. 2007). If
435 Chlorophyll fluorescence is increasing with increasing CO_2 , A_n is limited by Rubisco
436 carboxylation limited; when Chlorophyll fluorescence stays constant with increasing CO_2 ,
437 A_n is limited by RuBP regeneration. For C_4 species, however, the situation is more
438 complicated. Since V_p could be limited by V_{pr} and V_{pc} (eq. (9)). Part of the RuBP
439 carboxylation limited condition and RuBP regeneration limited condition for the C_3 cycle
440 will mix together, leading to a linear increase of fluorescence with increasing of CO_2 , but of
441 a small slope (Fig. S2). Thus, we can only obtain two boundaries of CO_2 concentrations.
442 Below the lower boundary, A and fluorescence increases with increasing C_i with a steep
443 slope and A is RuBP carboxylation and PEP carboxylation limited (AEE); above the higher
444 boundary, A and fluorescence is relatively constant along with the increase of C_i and A is
445 RuBP regeneration and PEP regeneration limited (ATT). We measured fluorescence to test
446 whether the upper and lower boundary CO_2 concentrations, CaL and CaH , are reasonable. It
447 seems all the CaL are above 14 Pa and all the CaH are below 65 Pa (Table 3). These results
448 suggest that 10Pa-65Pa is a reasonable range for the transitional point.

449

450 **Table 3** CO_2 concentration boundaries result for assimilation-limited conditions from fluorescence
451 measurements for seven species. Low: CO_2 concentration under which assimilation rate increases
452 greatly with increasing CO_2 (potentially assimilation is limited by PEP carboxylation and RuBP
453 carboxylation). High: CO_2 concentration above which assimilation rate no longer increases with
454 increasing CO_2 (potentially assimilation is limited by PEP regeneration and RuBP regeneration).
455 Data show the mean (standard error).

Species	<i>P. virgatum</i>	<i>P. amarum</i>	<i>S. scoparium</i>	<i>S. nutans</i>
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Low(Pa)	14.1(1.12)	18.0(1.09)	17.8(1.09)	17.6(0.28)
High(Pa)	34.1(1.78)	55.5(1.40)	53.1(1.10)	63.1(2.07)
Species	<i>T. dactyloides</i>	<i>T. flavus</i>	<i>B. mutica</i>	
Low(Pa)	13.8(0.35)	14.9(2.35)	15.8(1.13)	
High(Pa)	46.1(0.20)	41.4(1.73)	42.3(1.24)	

456

457 **4. DISCUSSION**

458 The photosynthetic parameters from the estimation method are good indicators for the
459 biochemical and biophysical mechanisms underlying the photosynthesis processes of plants.
460 Together with photosynthesis models, they can provide powerful information for
461 evolutionary and ecological questions in both physiological and ecosystem response to
462 natural environmental variation and climate change, to illustrate evolutionary trajectory of
463 C₄ pathway, as well as in efforts to improve crop productivity (Osborne & Beerling, 2006;
464 Osborne & Sack, 2012; Heckmann et al., 2013). Photosynthetic parameters represent
465 different physiological traits, and comparison of these parameters within a phylogenetic
466 background could help us to understand the further divergence of lineages and species
467 through evolutionary time. Additionally, the response of productivity and carbon cycle of
468 vegetation towards the future climate change depends heavily on photosynthesis parameter
469 estimation as input parameters.

470

471 Each of the two different fitting procedures has advantages and disadvantages. Yin's method
472 (Supplementary material II) uses the explicit calculation of assimilation rate and
473 consequently gives lower estimation error. However, it needs a more accurate assignment of
474 limitation states, especially at the lower end. Thus, Yin's method will be preferable if one

475 has additional support (e.g. fluorescence measurement) to define the limitation states;
476 otherwise, the Yin's method may give unbalanced results (Fig. 3). However, Sharkey's
477 method (Supplementary material I) usually can avoid unbalanced results even without
478 ancillary measurements. Thus, it is better to use both procedures to support each other to
479 find more accurate results. For example, one can first use Sharkey's method to get
480 estimation results and limitation states, and then use them as initial values for Yin's method.

481

482 Our estimation methods yielded similar results when using models with and without
483 carbonic anhydrase reaction processes. Although carbonic anhydrase activity may well be a
484 limiting step for C₄ cycle (von Caemmerer et al., 2004; Studer et al., 2014; Boyd et al.,
485 2015; Ubierna et al., 2017), its limitation did not greatly affect assimilation rates in this
486 study. Including the carbonic anhydrase reaction makes the model more complex and
487 difficult to get an explicit solution; therefore, the model without carbonic anhydrase could
488 be used as a simplified form yielding flawed but 'nearly correct' predicted values as a part
489 of larger models. However, carbonic anhydrase limitation of C₄ photosynthesis needs the
490 further assessment from physiological or biochemical perspectives, and our estimation
491 method provides another way to derive carbonic anhydrase parameters, which were
492 comparable with *in vitro* measurements (Boyd et al., 2015). In addition, our results for
493 models with and without carbonic anhydrase activity support the proposition of Cousins et al.
494 (2007) that carbonic anhydrase activity may not be a limiting factor for A/C_i curves of C₄
495 plants.

496

497 Our results show that despite a clear difference between the assumptions of how the

498 products of electron transport are distributed, the results were similar and comparable with
499 studies using different models under measurements of high light intensity. The bump in the
500 second model happens in AET. In AET, assimilation is limited by RuBP regeneration and
501 PEP carboxylation; therefore, PEP regeneration is not reaching V_{pr} , and the extra electron
502 transport in PEP regeneration could be freely assigned to RuBP regeneration. This effect
503 will weaken as PEP carboxylation increases. However, under lower photosynthetic photon
504 flux density, assimilation rate will be limited more by electron transport, and the separate
505 assumptions concerning electron transport may start to show divergent results.

506

507 The photosynthetic parameters from the estimation method used together with
508 photosynthesis models can provide information and inspiration about the evolutionary and
509 physiological importance of different aspects of the C_4 syndrome (Osborne & Sack, 2012;
510 Heckmann et al., 2013), which can be investigated by empirical measurements. Several
511 examples emanate from our simulation analysis: (1) α represents the fraction of O_2
512 evolution from photosynthesis occurring in the bundle sheath cells (eq. (4)) and any $\alpha > 0$
513 means that O_2 will accumulate in the bundle sheath cells, due to low g_{bs} . Both the sensitivity
514 analysis and the simulation analysis showed the change of α did not affect the estimated
515 parameters and assimilation rates, because the high C_{bs} created by C_4 carbon concentrating
516 mechanism overcame any increase of O_{bs} and did not lead to high photorespiration. Thus,
517 the compartmentation of O_2 evolution may not have played an important role in the
518 evolution of C_4 photosynthesis. (2) A lower Rubisco specificity factor (γ^* ; eq. (11)) means
519 lower specificity for O_2 , higher specificity for CO_2 , and lower photorespiration. In C_3
520 species, selection for Rubisco with lower specificity to O_2 and high specificity of CO_2 can

521 increase the carbon gain. However, there is a trade-off between the specificity of Rubisco
522 for CO₂ and its catalytic rate (Savir et al., 2010; Studer et al., 2014). Based on this trade-off,
523 we can hypothesize that since C₄ elevates CO₂ around Rubisco relative to the O₂
524 concentration, maintaining low specificity might be optimal, in order to get high catalytic
525 rate of the enzyme to reach higher assimilation rate as shown by the empirical measurements
526 of Sage (2002) and Savir et al. (2010). Our simulation analysis showed the increase of
527 specificity for CO₂ (decrease of γ^*) did not increase the assimilation rate much, which
528 indicates the selection upon Rubisco specificity in C₄ plants should be relaxed. (3) g_{bs}
529 represents CO₂ leakage from bundle sheath to the mesophyll cell, and changes in g_{bs}
530 significantly change the assimilation rate and C_{bs}. Therefore, avoiding CO₂ leakage was of
531 great importance for the evolution and efficiency of C₄ photosynthesis pathway (Brown and
532 Byrd, 1993; Ubierna et al., 2013; Kromdijk et al., 2014).

533

534 Although we have shown that parameter estimation can be achieved solely with A/C_i curves,
535 it is easy to combine our methods with ancillary measurements to yield more accurate
536 estimation results by defining the parameters as estimated or known or add additional
537 constraints (Supplementary Material IV). Yin et al. (2011b) proposed a method to obtain R_d
538 from the fluorescence-light curve, since the method used for C₃ species, the Laisk method, is
539 inappropriate (Yin et al., 2011a). Additional measurement of dark respiration could be an
540 approximation for R_d or could help to provide a constraint for estimating R_d in our
541 estimating method. Ubierna et al. (2017) discussed the estimation method of g_m using
542 instantaneous carbon isotope discrimination. With external measurement results, one can
543 change estimated parameters (such as R_d, g_m and J) as input parameters, instead of output

544 parameters, in this curve fitting method (Supplementary material IV). Additional methods,
545 such as in vitro measurements (Boyd et al., 2015; Pedomo et al., 2015) and membrane inlet
546 mass spectrometry (Cousins et al., 2010) of V_{cmax} , V_{pmax} , and carbonic anhydrase activity can
547 also provide potential parameter values. Furthermore, if some output parameters are
548 determined in the external measurements, one can also relax the input parameters (such as
549 g_{bs}) and make them estimated parameters (Supplementary material IV).

550

551 **5. Conclusion**

552 We have developed new, accessible estimation tools for extracting C_4 photosynthesis
553 parameters from intensive A/C_i curves. Our estimation method is based on an established
554 estimation protocol for C_3 plants and makes several improvements upon C_4 photosynthesis
555 models. External measurements for specific parameters will increase the reliability of
556 estimation methods and are summarized independently. We developed estimation methods
557 with and without carbonic anhydrase activity. The comparison of these two methods allows
558 for an estimation of carbonic anhydrase activity, and further shows that the method that did
559 not consider carbonic anhydrase activity was a sufficient simplification for C_4
560 photosynthesis. We tested two assumptions related to whether the electron transport is freely
561 distributed between RuBP regeneration and PEP regeneration or certain proportions are
562 confined to the two mechanisms. They show similar results under high light, but they may
563 diverge under low light intensities. Simulation test, out of sample test, fluorescence analysis,
564 and sensitivity analysis confirmed that our methods gave robust estimation especially for
565 V_{cmax} , J , and V_{pmax} .

566

567 **Author contributions**

568 HZ, EA and BH conceived the ideas, designed methodology, analyzed the data and led the
569 writing of the manuscript; HZ collected the data; HZ and BH coordinate the study. All the
570 authors contributed to the critical review of the manuscript and approved its final version.

571

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