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Light May Have Triggered a Period of Net Heterotrophy in Lake Superior

Soren Brothers Utah State University

Paul Sibley University of Guelph

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4	Light may have triggered a period of net heterotrophy in Lake Superior
5	Soren Brothers ¹ *, Paul Sibley
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7	School of Environmental Sciences, University of Guelph, Bovey Building, Gordon St., Guelph,
8	Ontario, N1G 2W1, Canada.
9	¹ Current address: Department of Watershed Sciences and Ecology Center, Utah State
10	University, 5210 Old Main Hill, Logan, Utah, 84322-5200, USA
11	*Corresponding Author: Soren Brothers, Tel: 435-797-4152, E-mail: soren.brothers@usu.edu
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18	Running Head: Light influences heterotrophy in a large lake
19	Keywords: Lake Superior, carbon, oxygen, metabolism, DOC, light, oligotrophic

20 Abstract

21 Recent studies of Lake Superior, the Earth's largest freshwater lake by surface area, describe it as net heterotrophic (primary production < community respiration), making it a net 22 source of carbon dioxide (CO_2) to the atmosphere. This conclusion is largely based on 23 24 measurements made between 1998 and 2001. We present a long-term (1968 to 2016) analysis of ice-free (April to November) surface oxygen (O₂) saturation data collected by monitoring 25 agencies. These data indicate that Lake Superior's surface waters are typically supersaturated 26 with dissolved O₂ from May to September (May-September mean is $103.5 \pm 0.6\%$; pooled mean 27 from April, October, and November is $97.6 \pm 1.1\%$, standard error of the mean). However, these 28 29 data also support prior studies which describe a state of net heterotrophy from 1998 to 2001. We 30 investigated potential triggers for a transient heterotrophic period, and discuss the sources of organic carbon necessary to fuel net heterotrophy in a large oligotrophic lake. We conclude that 31 32 net heterotrophy likely resulted from an increase in light period and penetration driven by declines in cloud cover, increases in water clarity, and a reduction of winter ice cover following 33 the 1997-98 El Niño. Together, these could have depleted a pre-existing pool of dissolved 34 organic carbon (DOC) via photomineralization and/or photochemical degradation. Our results 35 indicate that Lake Superior is typically net autotrophic (calculated annual CO_2 influx = ~0.4 Tg 36 C). These results highlight how water clarity and aquatic DOC pools may interact to induce net 37 38 metabolic shifts in large oligotrophic aquatic ecosystems.

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42 Introduction

Given the important role that the Earth's hydrosphere plays in regulating global carbon 43 dioxide (CO₂) concentrations, one of the most important questions facing aquatic scientists today 44 is whether aquatic environments are net CO_2 sources or sinks relative to the atmosphere. Inland 45 waters tend to be net heterotrophic, meaning that they are net sources of CO₂ to the atmosphere 46 (Cole and others 1994; Tranvik and others 2009). However, this condition is generally associated 47 48 with a steady supply of allochthonous (terrigenous) organic carbon (OC) from their watersheds (Cole and others 2007), and the CO_2 emitted to the atmosphere results from the combined 49 mineralization of autochthonous (in-lake gross primary production, GPP) and allochthonous OC 50 51 (Cole and others 2002). The degree of heterotrophy in an aquatic ecosystem is thus expected to 52 decrease as the trophic status increases (boosting autochthonous OC production) or as the 53 catchment-to-lake area (CA:LA) ratio decreases, reducing the relative inputs of allochthonous 54 OC (Kelly and others 2001; Balmer and Downing 2011). When both trophic status and allochthonous inputs are extremely low, such as in the oligotrophic subtropical ocean gyres, 55 arguments persist as to the predominant directional flow of CO₂ between the water and 56 atmosphere (del Giorgio and Duarte 2002; Duarte and others 2013; Williams and others 2013). 57 Lake Superior has a large surface area $(82,103 \text{ km}^2)$ and a low CA:LA ratio (1.55). 58 59 Combining this with relatively minor anthropogenic influences, it is a highly oligotrophic system whose biogeochemical processes have been compared to those of oceans (Parkos and others 60 1969; Johnson and others 1982; Cotner and others 2004). A suite of studies published in the 61 early 2000s found that measured community respiration (CR) rates tended to be higher than GPP 62 63 rates, indicating a state of net heterotrophy (Cotner and others 2004; Russ and others 2004; Urban and others 2004a). A state of net heterotrophy was further suggested by full-lake carbon 64

65	budgets (Cotner and others 2004; Urban and others 2005), and studies measuring and/or
66	modelling surface dissolved oxygen (O_2) or CO_2 emissions from the lake to the atmosphere
67	(Atilla and others 2011; Bennington and others 2012; Matsumoto and others 2015). However,
68	prior studies describe Lake Superior as net autotrophic, being typically super-saturated with O_2
69	and under-saturated with CO ₂ relative to the atmosphere (Dobson and others 1974; Weiler 1978;
70	Kelly and others 2001). In Lake Superior, the supply of terrestrial OC from watershed erosion
71	and runoff is minor (~0.4 to 0.9 Tg C y^{-1} ; Urban and others 2005 and references therein), and
72	significantly lower than autochthonous phytoplankton production (~10 Tg C y ⁻¹ ; Sterner 2010).
73	Even combined, allochthonous and autochthonous inputs are too low to sustain reported CR rates
74	(13 to 81 Tg C y ⁻¹ ; Urban and others 2005). Such high CR rates could be overestimates due to
75	near-shore biases in measurements (Baehr and McManus 2003; Russ and others 2004;
76	Bennington and others 2012), but updated models of full-lake CO ₂ emissions which have
77	attempted to balance the carbon budget still conclude that Lake Superior is net heterotrophic,
78	falling short of explaining why O ₂ supersaturation dominated in earlier studies.
79	Lake Superior is situated in a region of North America which is believed to be strongly
80	affected by teleconnections from the El Niño Southern Oscillation (ENSO) and the Pacific
81	Decadal Oscillation (PDO) (Hoerling and others 1997; Rodionov and Assel 2003). These
82	oscillations work together to influence the climate affecting Lake Superior, shaping trends in
83	precipitation, water circulation, and air temperatures, with the effects of ENSO events being
84	typically greatest during "warm" PDO phases (Rodionov and Assel 2003). The teleconnections,
85	combined with the longer-term effects of climate change on Lake Superior (including gradual
86	but significant reductions of cloud cover and increases in wind speed and solar radiation; Austin
87	and Colman 2007; Desai and others 2009; O'Reilly and others 2015), caused winter lake ice

88	cover to drop dramatically in the winter of 1997-98, and remain low in subsequent years (Assel
89	and others 2003; Wang and others 2012; Van Cleave and others 2014). This has led to the
90	suggestion that Lake Superior underwent a "regime shift" in 1998, precipitated by the El Niño of
91	the previous winter (Van Cleave and others 2014).
92	The metabolic balance of an aquatic environment, whether net autotrophic or
93	heterotrophic, is often determined by its GPP and CR rates, which can be influenced either
94	directly or indirectly by climate-driven factors such as temperature, light supply,
95	circulation/mixing, and precipitation (Kosten and others 2010; White and others 2012). Given its
96	strong link to cyclical climatic forces, its large size, and low anthropogenic impact, Lake
97	Superior is an ideal ecosystem for studying the effects of climate and water physical
98	characteristics on the metabolic balance of large oligotrophic aquatic environments. While
99	disagreements concerning the net heterotrophy of the oligotrophic subtropical gyres largely
100	revolve around the different methodologies being adopted (Williams 1998; Duarte and others
101	2013; Williams and others 2013), differing reports of Lake Superior's net heterotrophy appear to
102	follow a timeline where studies using data from the late 1990s onwards tend to report or assume
103	a state of net heterotrophy (e.g., Urban and others 2005; Bennington and others 2012;
104	Matsumoto and others 2015), while earlier reports imply a state of net autotrophy (Weiler 1978;
105	Kelly and others 2001). Such disagreements might result from gradual improvements in our
106	understanding of the biogeochemistry of Lake Superior, though we instead predict that the long-
107	term condition and potential short-term shifts in the lake have likely been overlooked, as they
108	remain unaddressed in the literature. We therefore analyzed all available monitoring datasets for
109	surface dissolved O ₂ saturation measurements to test whether Lake Superior tends to be net
110	autotrophic or heterotrophic, and also to determine whether Lake Superior's net metabolic

balance has possibly shifted over time. In the event of an identifiable shift, we aimed to
determine whether natural variability (teleconnections) and/or anthropogenic climate change
might be responsible for inducing such a shift, and identify the most likely mechanism
facilitating a supersaturation of CO₂ which annual allochthonous OC inputs could not support.

116 Methods

Historical climatic, chemical, and physical data for Lake Superior are available from the 117 118 literature and government monitoring agencies. Regularly sampled and recent surface values are 119 from the U.S. Environmental Protection Agency (EPA) sampling campaigns (1996 to 2016), 120 which were obtained directly from the agency. These provide lake surface water temperatures, dissolved O₂ concentrations, and conductivity (measured by Sea-Bird sensors; Sea-Bird 121 122 Scientific, USA), as well as water clarity (Secchi depths; Z_{secchi}). EPA sampling campaigns were 123 carried out twice a year (spring, typically April, and summer, typically August), including 19 124 stations distributed across the entire lake. Springtime oxygen data from 2005 and summertime 125 oxygen data from 2001 were significantly lower than data provided by separate Winkler 126 titrations carried out concurrently at a subset of the same stations. Due to an apparent error in 127 those monitoring data (J. May, EPA, pers. comm.), O₂ saturation values from those periods were removed from analyses. 128

Long-term surface dissolved O₂ concentrations for Lake Superior were also available from monitoring campaigns made by Environment Canada (EC), from 1971 to 2013 (data available for 19 years across the 42 year period). EC monitoring campaigns typically sampled up to 221 permanent stations established across the entire lake, with surface temperatures measured

by an electronic bathythermograph and dissolved O₂ concentrations measured using the modified 133 Winkler iodometric method (Philbert and Traversy, 1973). Sampling campaigns across the lake 134 often lasted from spring (typically May) until fall (typically October). Additional data were 135 136 retrieved from the National Ocean and Atmospheric Administration's (NOAA) Great Lakes Environmental Research Laboratory dataset (GLERL; Bell 1980a, b). These data were taken 137 138 from approximately 120 stations across the lake, each station being resampled during the course of six cruises from late May to late November, 1968. Other pre-2000 data for Lake Superior 139 either focused exclusively on CO_2 (Parkos and others 1969; Kelly and others 2001) or only 140 141 presented data for the hypolimnion (Dobson and others 1974; earlier EPA monitoring data) and could thus not be used in our analysis. Some water clarity data was only available as light 142 attenuation (K_d) values, in which case Secchi depths were calculated using a standard equation 143 $Z_{secchi} = 1.7 / K_d$, which has been validated in both freshwater and marine environments (Poole 144 and Atkins 1929; Idso and Gilbert 1974). The shallowest measurements from each station 145 (typically 0 to 3 m below the surface) are here considered "surface" values. Annual ice extent 146 147 data were applied from Wang and others (2012), which were calculated from the National Ice Database. As most datasets provided dissolved O_2 concentrations only in mg L⁻¹, O_2 saturation 148 149 (%) relative to the atmosphere for these data was calculated for the water temperature at those sampling depths and locations. 150

151 Comparing the various monitoring datasets, there were only six overlapping months of 152 data from which the agreement between data sources could be examined (May and August 1996, 153 May and August 1997, May 2008, and August 2011). Of these, all mean EPA May values were 154 significantly lower than EC values for the same month, as well as EPA August values in 1997 155 (there was no significant difference between datasets in August 1996 or August 2011). EPA and 156 EC May sampling campaigns in these years contained no overlapping dates, with EPA campaigns always occurring earlier in the month than EC campaigns. The significant difference 157 between these datasets thus likely reflects a rapid increase in dissolved O₂ levels across this 158 159 month. August 1997 EPA and EC sampling campaigns also did not contain overlapping dates, with the EPA campaign occurring later in the month than the EC campaign. Although overall 160 means were significantly different between campaigns for this month (EPA mean = $104.6 \pm$ 161 1.1%, EC mean = $108.6 \pm 0.8\%$), measured values were (unlike in May campaigns) generally 162 overlapping the same range of values, and thus indicate that the difference between values in this 163 164 month may be attributed to a more minor within-month variability (data not shown). It is therefore reasonable to conclude that all datasets accurately represent Lake Superior's O_2 165 saturation at the time of their sampling, and we therefore pooled all available data in our 166 analyses. 167

168 We examined relationships between dissolved O_2 data and long-term patterns in potential drivers to determine whether potential shifts in O₂ saturation may be linked to specific drivers. 169 Air and surface water temperatures, precipitation records, watershed runoff, cloud cover, and 170 wind speed for our full study period were drawn from the online U.S. NOAA GLERL database 171 172 (https://www.glerl.noaa.gov/pubs/tech_reports/glerl-083/UpdatedFiles/). These values represent modeled full-lake characteristics based on measured data, with assumptions and associated data 173 sources provided within individual online files. Studies have shown that phytoplankton 174 production in Lake Superior can be phosphorus limited (Rose and Axler 1998), but is more 175 176 commonly limited by light availability (Nalewajko and others 1981). The lake has nevertheless 177 experienced a slight long-term decline in total phosphorus (TP) despite no change in soluble reactive phosphorus concentrations (Dove and Chapra 2015), and we thus included TP 178

concentration trends as well in our discussions. Oxygen fluxes between Lake Superior's surface 179 180 waters and the atmosphere are linked to metabolic processes, with an undersaturation with O₂ typically aligning to a supersaturation of CO_2 (representing a state of net heterotrophy), and vice 181 versa (Russ and others 2004). Data were tested for normality of distribution and equality of 182 variance. When these assumptions were met, or high-*n* non-normal datasets were being 183 compared, Student's t-tests or ANOVA tests were adopted. When equality of variance was not 184 met, an unequal variance t-test was applied. All statistical tests were carried out using JMP 185 (Version 7; SAS Institute, Cary, N.C., U.S.A.). Standard errors of the mean are provided for data 186 187 unless otherwise specified.

188

189 **Results and Discussions**

Surface O2 saturation of Lake Superior varied widely and systematically between months 190 (Fig. 1). A strong seasonality in Lake Superior's dissolved O₂ concentrations has previously been 191 192 described, with the greatest saturation typically occurring in mid-summer (Weiler 1978; Russ 193 and others 2004). Pooling all available values, April featured the lowest (96.6 \pm 0.3%) and July featured the highest mean O_2 saturation (106.7 \pm 0.3%). Mean monthly O_2 saturation values were 194 195 above 100% from May to September (total mean of monthly means is $103.5 \pm 0.6\%$, pooled mean from April, October, and November monthly means is $97.6 \pm 1.1\%$; Fig. 1). The average of 196 197 all monthly means (April to November, pooling data from 1968 to 2016) is 102.5%, indicating a 198 net supersaturation of surface O₂ in Lake Superior during the ice free months.

199 *Historical variability in oxygen saturation relative to the atmosphere*

200 Prior *in situ* studies have described Lake Superior as net heterotrophic, based on data 201 collected from 1998 to 2001 (Russ and others 2004; Urban and others 2004a). The only months for which there were long-term monitoring data before, during, and after this set of years were 202 203 May and August. Mean monthly surface O₂ values in May were not significantly different during the 1998-2001 period compared to earlier or later measurements (ANOVA, p = 0.99, Fig. 2a), 204 205 though mean August values were significantly lower and net undersaturated during these years $(99.6 \pm 2.1\%)$ compared to pre-1998 (106.9 ± 1.8%) and post-2001 values (105.3 ± 1.2%, p = 206 0.04, Fig. 2b). Although earlier (pre-1998) April data were not available, an analysis of all 207 208 available April O₂ saturation measurements also found O₂ saturation to be significantly lower 209 during the 1998-2001 period (94.9 \pm 0.5%) compared to later years (96.9 \pm 0.2%, p = 0.0002). Long-term monitoring data show that May surface O₂ saturation values can vary widely, 210 211 occasionally falling below saturation (Fig. 3a). As May is a transitionary month in Lake Superior between April (typically undersaturated in O₂) and June (typically supersaturated; Fig. 1), May 212 saturation values likely depend largely on the sampling time within the month. Long-term 213 214 monitoring data for the summer months (July and August) are more constrained than those in May, with mean values typically falling between 100 and 110% (Fig. 3b). In showing a general 215 216 state of O_2 supersaturation in Lake Superior, these data loosely support an *in situ* study which determined Lake Superior to be net autotrophic in 1989 (May to October) and 1990 (August to 217 October), when surface pCO_2 concentrations were undersaturated relative to the atmosphere 218 219 (Kelly and others 2001). The seasonal resolution provided by the monitoring data in insufficient to alone determine whether Lake Superior was net heterotrophic during any individual year, yet 220 221 the data show that prior studies supporting net heterotrophy in Lake Superior (Russ and others 222 2004; Urban and others 2004a) occurred during a period (1998 to 2001) including at least two

years (1998 and 2000), and the only known years since 1968, in which the lake was undersaturated in O_2 during the summer months (Fig. 3b).

It has been suggested that the high heterotrophy measured in these studies may be partly 225 due to their proximity to the near-shore environment (as many of the data come from 0 to 21 km 226 227 of Lake Superior's Keweenaw Peninsula; Bennington and others 2012), yet our analysis of all 228 available measurements found only one month (September) to feature a significant positive relationship (as a linear regression) between the maximum site depth and surface O₂ saturation (p 229 < 0.0001), indicating a prevalence of near-shore heterotrophy. For May, June, and July the 230 231 relationship between O₂ and site depth was always significant and negative, indicating that near-232 shore zones were likely more autotrophic than off-shore zones during these months. There was 233 no significant relationship for the remaining months for which data was available (data not shown). 234

235 It is also worth noting that the monitoring data do not indicate a consistently 236 heterotrophic period 1998 to 2001. Instead, mean August surface O₂ saturation fluctuated widely across these four years, ranging from $92.8 \pm 7.1\%$ (1998) to $112.5 \pm 7.1\%$ (1999). We were 237 unable to verify whether the especially high O₂ saturation in 1999 was a natural occurrence, or 238 the result of faulty data (neither EC data nor independent Winkler titrations from the EPA were 239 240 available for that year). However, planktonic CR rates measured in July and August were significantly lower in 1999 than in 1998 (p = 0.001; Table 1 in Urban and others 2004a), which 241 could have resulted in higher O₂ saturation in 1999 if there was no similar decline in GPP rates. 242 On the other hand, an analysis of surface CO₂ emissions across this period described peak spring 243 244 (April) CO₂ emissions in 1999, and potential net heterotrophy in both April and August (as a net 245 CO₂ supersaturation relative to the atmosphere) extending from 2001 to 2003 (Atilla and others

2011). Although the absence of O_2 data from winter months means that an accurate full-year 247 mean O_2 balance with respect to the atmosphere cannot be determined, we conclude that more 248 detailed *in situ* studies may be correct in describing Lake Superior as being net heterotrophic 249 during this period (1998-2001). The long-term monitoring data indicate, however, that this may 250 be the most, and possibly only, net heterotrophic period in Lake Superior's recent history. A 251 further analysis of the potential interannual variability within this period is impossible with the 252 available monitoring data, and is beyond the scope of this study.

253 Climatic and in-lake factors influencing metabolic balance

The possible existence of a net heterotrophic period in Lake Superior from 1998 to 2001, as indicated by *in situ* studies and long-term monitoring data, aligns temporally with a reported "regime shift" which Lake Superior underwent following the 1997-98 El Niño (Van Cleave and others 2014). We therefore examine a range of climatic and in-lake factors which may have influenced Lake Superior's metabolic balance during this period.

Wind speed (Fig. 4a) and cloud cover (Fig. 4b) did not appear to be strongly linked to the 259 260 1997-98 El Niño, pre- and post-El Niño linear slopes being similar to the full-period slopes. Air temperature and ice cover, however, exhibited a large shift in 1998, and were more stable before 261 and after that date (Fig. 5; Van Cleave and others 2014). It is thus possible that these latter 262 factors (air temperature and ice cover) were strongly influenced by the ENSO and PDO, while 263 changes in the former (wind speed and cloud cover) may be more broadly linked to climate 264 change. Lake Superior's mean annual surface water temperatures increased over the full study 265 period (Fig. 6a). Even though surface temperatures have exhibited a downward trend since the 266 1997-98 El Niño (Fig. 6a), mean values since 1997 (14.85 \pm 0.66°C, n = 19) remain significantly 267

higher than pre-1997 values (mean = 9.44 ± 0.63 °C, n = 21; unequal variances *t*-test, p < 0.0001). The apparent slight decline in post-1997 lake surface temperatures agrees with a moderate decline in air temperatures over the lake across this same time period. Secchi depths have also increased significantly since the late 1960s, despite an apparent downward trend since 1998 (Fig. 6b), and spring TP concentrations have declined (data not shown), supporting previous studies which have described increases in Lake Superior's water clarity (Dove and Chapra 2015; Brothers and others 2016).

In considering a possible heterotrophic period from 1998 to 2001, August surface water 275 temperatures associated with the monitoring station data are significantly higher during that 276 277 period $(16.6 \pm 0.4^{\circ}\text{C})$ than in earlier $(13.2 \pm 0.2^{\circ}\text{C})$ or later years $(14.7 \pm 0.2^{\circ}\text{C}) = (0.0001)$. However, no broader significant relationship was apparent between surface O₂ saturation and 278 either the occurrence of El Niño events since 1968, or whether the PDO was in a warm or cold 279 280 phase. Our analysis of climatic factors thus supports previous research marking the 1997-98 El 281 Niño as an important event for Lake Superior (Van Cleave and others 2014). Since 1997, air temperatures over Lake Superior have remained warmer (Fig. 5), and cloud cover has remained 282 reduced and continues to decline relative to previous recent decades (Fig. 4b). These climatic 283 284 drivers correspond to an overall increase in water temperatures (Fig. 6a) and a reduced winter ice cover (Fig. 5). As ice cover had previously rebounded after El Niño events (1972-73, 1982-83, 285 1986-87, 1991-92, Fig. 5), it is possible that the effects of climate change (warmer air 286 temperatures coupled with wind speeds which have continued to rise since 1998, likely due to a 287 288 reduced air-water temperature gradient; Desai and others 2009) have reduced the resilience of 289 this system (i.e. its ability to return to full-ice winters following El Niño events), prolonging warm, ice-free conditions (Van Cleave and others 2014). As none of the examined climatic 290

drivers differed significantly between the 1998-2001 heterotrophic and 2002-2016 net
autotrophic periods, we argue that the generally higher O₂ saturation in the current autotrophic
period is not caused by any more recent (2001 to 2003) shift in external drivers. It thus appears
likely that the 1997-98 El Niño partially triggered the observed period of relative heterotrophy,
while a return to more autotrophic conditions by 2002 does not appear to be linked to further
changes in climatic drivers.

In order for a period of net heterotrophy to be established in a large oligotrophic lake 297 such as Lake Superior, a surplus or novel source of OC must be supplied as additional fuel for 298 299 bacterial respiration, and/or an existing pool of OC must be liberated through changes in 300 environmental conditions, such as water temperature or light availability. Dark-bottle incubations 301 in Lake Superior's western arm identified bacteria as being responsible for ~98% of the planktonic CR (Biddanda and others 2001), and measurements from 2000 and 2001 confirmed 302 303 that surface gas fluxes were determined by metabolic ratios (GPP:CR; Russ and others 2004). 304 We therefore first consider the possibility of an increase in OC transported into the lake from its watershed. The highest CR rates in the lake are in near-shore zones (< 5 km off-shore), and at 305 shallow depths (Urban and others 2004a; Bennington and others 2012). However, even though 306 307 watershed runoff is generally an important driver of heterotrophy in aquatic systems and DOC concentrations in Lake Superior tend to be highest near shore (Urban and others 2005), shoreline 308 309 transects found no relationship between CR rates and proximity to watershed inputs in Lake Superior (Urban and others 2004a). Furthermore, watershed runoff has been significantly lower 310 311 since 1997 (n = 17 years) than in previous years (1973-1996; unequal variance t-test, p = 0.01, 312 data not shown), and thus changes in terrigenous OC loading cannot explain the lake-wide heterotrophic period. Atmospheric deposition of OC is also unlikely to have increased, as there 313

was no significant difference between pre- and post-1997 precipitation over Lake Superior (Student's *t*-test, p = 0.87), and the concentration of OC in precipitation is not known to have changed over this period. Finally, the relationship between maximum site depth and surface O₂ saturation (described above) from this study does not support a general state of near-shore heterotrophy, and instead suggests that near-shore GPP may be equivalent to or greater than near-shore CR throughout most of the ice-free period, perhaps indicative of a high degree of near-shore benthic algal production (Brothers and others 2016).

321 Planktonic OC mineralization rates can also be boosted by internal resuspension. 322 Resuspension can be an important seasonal source of OC for bacteria in the Great Lakes 323 (Biddanda and Cotner 2002), and Lake Superior's circulation rates and currents increased in 324 strength from 1979 to 2006 (Bennington and others 2010), making the benthic zone susceptible to higher resuspension. Furthermore, 10 to 30% of the materials collected in off-shore sediment 325 326 traps in the hypolimnion were resuspended, and likely of near-shore origin (Urban and others 327 2004b). However, increasing resuspension is often associated with reduced water clarity (e.g., Brothers and others 2017), which does not appear to be the case in Lake Superior, whose water 328 329 clarity has increased in recent decades (Dove and Chapra 2015; Brothers and others 2016; this study). Furthermore, volumetric hypolimnetic CR rates tend to be lower than those closer to the 330 lake surface (Urban and others 2004a), and circulation rates potentially driving resuspension are 331 332 not known to have declined since 2001. Resuspension is therefore unlikely to explain the observed heterotrophic period of Lake Superior. 333

As we could not identify any surplus terrigenous or benthic source of OC which might support a heterotrophic period in Lake Superior, it appears likely that a pre-existing pool of OC was liberated through changes in water temperature and/or light availability after the 1997-98 El 337 Niño. Given that the low August O_2 saturation defining the 1998-2001 heterotrophic period aligns with elevated August surface water temperatures, it is likely that temperature played an 338 important mechanistic role in shifting Lake Superior's metabolic balance. Higher surface water 339 340 temperatures have been broadly associated with higher degrees of heterotrophy in lakes (Biddanda and Cotner 2002; Kosten and others 2010), and rising temperatures in lakes are 341 342 expected to shift lakes towards more heterotrophic conditions by promoting an increase in CR rates relative to GPP rates (Yvon-Durocher and others 2010). However, despite higher predicted 343 warming rates, the response of ecosystem metabolism to warming in higher-latitude lakes (such 344 345 as Lake Superior) may be lower than those in lower latitudes (Kraemer and others 2017). Within the Great Lakes specifically, neither phytoplankton production (measured in Lake Michigan, 346 1998 to 2000; Lohrenz and others 2004) nor water column CR rates (measured in Lake Superior, 347 1998 and 1999; Urban and others 2004a) are significantly temperature dependent. A summertime 348 relationship between temperature and R:P ratios was found in the central and western (but not 349 eastern) basins of Lake Superior, but this relationship was negative (Russ and others 2004). It is 350 351 therefore unlikely that high temperatures alone played a significant direct role in shifting Lake 352 Superior to a period of heterotrophy by selectively increasing CR rates over GPP rates. It 353 remains likely, however, that temperature played an indirect role, via its effects on light availability in the water column. 354

355 Effects of light availability on heterotrophy

Cloud cover (Fig. 4b) and light attenuation (Fig. 6b) both declined prior to the 1997-98 El
Niño (the latter possibly being linked to reductions in TP concentrations; Dove and Chapra 2015;
Brothers and others 2016), yet the sudden and sustained increase in surface water temperatures
from 1997 onwards could also interact positively with water column light availability by

360 substantially reducing the ice cover period (Wang and others 2012; Van Cleave and others 361 2014), thus expanding the annual duration of light exposure in the water column. Mean (spring and summer) Secchi depths of ~13 m since 1997 (compared to 11 m pre-1998) indicate that the 362 363 lake's photic zone currently extends roughly 27 m below the surface, although photic zone depths of up to 43 m have been recorded (Cotner and others 2004). Light thus penetrates well 364 into the hypolimnion (which in the summer of 1998 typically began ~10 m below the surface), 365 and possibly as far as the subsurface chlorophyll a maximum (typically peaking at roughly 25 m 366 below the surface, but ranging from 20 to 40 m; Barbiero and Tuchman 2001). Increased light 367 368 could influence Lake Superior's metabolic balance either by fueling nearshore benthic GPP (potentially supplying more OC to the pelagic environment), or by promoting direct biotic or 369 abiotic mineralization of the pre-existing pelagic DOC pool. 370

Benthic GPP can play an important ecological (e.g., fish nutrition) and biogeochemical 371 372 (e.g., hypoxia formation) role, even in large lakes (Vadeboncoeur and others 2011; Vander 373 Zanden and others 2011; Sierszen and others 2014; Brothers and others 2017), and it has been suggested that littoral benthic production can fuel off-shore water column heterotrophy in 374 375 oligotrophic lakes (Coveney and Wetzel 1995). Warmer temperatures and reduced ice cover 376 could favor phytoplankton primary production (White and others 2012), yet Lake Superior has likely experienced a minor, long-term (1970s to 2000s) decline in phytoplankton production 377 (Brothers and others 2016), although the interannual algal dynamics since 1997 are unknown. In 378 contrast to declining off-shore phytoplankton GPP, light-saturated periphyton production rates 379 380 measured in Lake Superior are higher than those typical in smaller lakes (Stokes and others 1970), and benthic GPP may currently represent as much as 36% of the lake's total areal GPP 381 (Brothers and others 2016). Our analysis of the negative relationship between site depth and 382

383 surface O_2 saturation from May to July (described above) further supports the suggestion that benthic GPP may play an important, driving role in Lake Superior's near-shore metabolism. In 384 shallow lakes, elevated benthic GPP can increase sediment oxygen demand (SOD) and reduce 385 carbon burial efficiency (carbon burial rate / carbon deposition rate; Brothers and others 2013). 386 One potential explanation for such a situation could be a "priming effect", whereby an increase 387 in benthic algal production liberates older, more recalcitrant OC in the surface sediments for 388 bacterial mineralization (Guenet and others 2010). Research on priming effects in freshwater 389 lakes is relatively novel (Guenet and others 2010; Kuehn and others 2014), and its occurrence in 390 391 these systems remains controversial (Bianchi and others 2015; Catalán and others 2015). However, the presence of a priming effect is well established in terrestrial environments (Guenet 392 and others 2010) as well as in oceans, where the experimental addition of algae to sediments can 393 boost SOD by up to 30% (van Nugteren and others 2009). Although SOD has been considered to 394 be a minor contributor to hypolimnetic O₂ depletion rates in Lake Superior (McManus and others 395 2003), any potential benefit of benthic GPP to CR rates would be limited to near-shore zones 396 397 with water column depths less than ~40 m, or off-shore reefs (Edsall and others 1991). To our knowledge, no studies have examined such effects in the shallow zones of Lake Superior, but it 398 399 seems unlikely that near-shore benthic processes would exert a strong influence on the net heterotrophy of the off-shore sampling sites included in this analysis. 400

Light can also directly and indirectly influence off-shore pelagic OC mineralization.
When exposed to sunlight, Lake Superior's DOC becomes more labile, making it more easily
mineralized by bacteria (Biddanda and Cotner 2003). Although exposure to solar UV-B radiation
can produce refractory forms of DOC (Benner and Biddanda 1998), this does not seem to be a
significant process in Lake Superior (Biddanda and Cotner 2003; Minor and Stephens 2008).

406 Given a gradually deepening light penetration, and suddenly longer exposure periods to light 407 after 1997 (due to prolonged ice-free seasons), the pool of DOC being exposed to light would increase significantly, potentially boosting bacterial growth in these zones by ~ 150 to 260% 408 409 (Biddanda and Cotner 2003). Although UV radiation is attenuated more rapidly than photosynthetically-active radiation, in August 1999 it extended approximately 10 m into Lake 410 Superior's water column (Ma and Green 2004), overlapping much of the water column area 411 likely featuring the highest bacterial abundance and production rates (Biddanda and Cotner 412 2003). UV radiation can also directly convert DOC to CO₂ via abiotic photomineralization 413 (Granéli and others 1996; Ma and Green 2004). Photomineralization rates in Lake Superior are 414 highly variable, and can produce as much as 1.6 mg DIC L⁻¹ in a 10 hour day, though more often 415 fall in the range of 0.03 to 0.06 mg DIC $L^{-1} d^{-1}$, which is similar to rates measured in oceans (Ma 416 417 and Green 2004 and references therein). Scaled up to the full lake (assuming a 10 m UV photic zone) and ice-free period (estimated as 250 days), even the low end of these rates would produce 418 ~6 Tg C y⁻¹, which is greater than the CO₂ fluxes to the atmosphere measured during the 419 heterotrophic period (~3 Tg C y⁻¹, Urban and others 2005). UV radiation penetration into the 420 421 water column can furthermore be negatively related to DOC concentrations (Scully and Lean 422 1994), with high DOC photodegradation rates due to longer ice-free seasons resulting in deeper UV penetration into the water column. Although likely too deep to experience the direct 423 influence of solar UV radiation, hypolimnetic O₂ consumption rates at sites in Lake Superior's 424 425 western arm were five to ten times greater than could be explained by local SOD rates and the settling rates of particulate organic carbon, implying a localized drawdown of DOC (McManus 426 and others 2003). 427

428 The concept of a long-term (decades to centuries) DOC drawdown linked with elevated 429 temperatures is not new, and has previously been suggested as a potential cause of Lake Superior's carbon budget imbalance (Cotner and others 2004). In addition to facilitating a 430 431 transient heterotrophic period, a DOC drawdown triggered by the major changes linked to the 1997-98 El Niño could also explain why subsequent El Niño events (2002-03, 2009) did not 432 produce similar heterotrophic conditions, given that the available DOC pool may have been 433 effectively altered or depleted by then. As for earlier El Niño events within the studied 434 timeframe, being of lower intensities than the 1997-98 event, they did not produce the same 435 436 sustained effect on Lake Superior's water temperature and light climate (Van Cleave and others 2014), and thus may not have been able to liberate the lake's DOC pool. Still, for DOC-light 437 interactions to be responsible for the net heterotrophic period there must be a sufficient pre-438 439 existing pool of DOC to draw upon. Lake Superior's DOC concentrations in 1998 averaged ~1.3 mg L⁻¹ (Biddanda and others 2001; Biddanda and Cotner 2003; Urban and others 2005), 440 providing a total DOC pool of ~17 Tg C (Urban and others 2005). While DOC drawdown rates 441 442 in 1998 were sufficient to explain hypolimnetic O₂ depletion rates measured in 2000 and 2001, only 5 to 10% of the DOC pool was being mineralized by bacteria within the average stratified 443 period (Biddanda and others 2001; McManus and others 2003). A rough annual carbon deficit 444 during the heterotrophic period of 0.9 Tg C can be calculated as the difference between total 445 estimated carbon losses (surface CO_2 emissions = 1.3 Tg C y⁻¹; Atilla and others 2011; OC burial 446 = 0.5 Tg C y⁻¹; outflows = 0.1 Tg C y⁻¹; Fig. 7 in Urban and others 2005; total out = 1.9 Tg C y⁻¹) 447 and gains (precipitation = 0.1 Tg C y^{-1} , inflows = 0.9 Tg C y^{-1} ; Fig. 7 in Urban and others 2005; 448 total in = 1 Tg C y^{-1}). This annual deficit would amount to a loss of 3.6 Tg C over a period of 4 449 450 years (1998 to 2001). For DOC drawdown to support such a deficit would require DOC

concentrations to drop by roughly 0.30 mg L^{-1} in the lake. Although we are unaware of any study 451 specifically comparing DOC concentrations across recent decades, reported mean DOC 452 concentrations in 1990 were roughly 1.8 mg L^{-1} (Kelly and others 2001), 0.5 mg L^{-1} higher than 453 the mean value of those measured during the heterotrophic period (1.3 mg L^{-1} , Biddanda and 454 others 2001; Biddanda and Cotner 2003; Urban and others 2005). More recently, offshore mean 455 DOC concentrations measured in spring and summer 2010 were lower still, at ~1.1 mg L^{-1} 456 457 (Zigah and others 2014). These different concentrations cannot be standardized for full-lake representation, and interannual differences within the heterotrophic period are high, but the 458 overall apparent decline over time is likely greater than would be explained by seasonal 459 drawdown (~ $0.03 - 0.2 \text{ mg C L}^{-1}$, Cotner and others 2004; Urban and others 2005). An apparent 460 increase in DOC concentrations from 1998 (~1.35 mg L^{-1}) to 1999 (~1.45 mg L^{-1} ; Fig. 2a, Urban 461 and others 2005) indicates that DOC concentrations in Lake Superior are annually recharged to 462 some extent, and a long-term drawdown of DOC may not be immediately apparent from 463 comparisons between any individual two years. However, these data show that Lake Superior's 464 DOC pool is volatile and may have undergone the drawdown necessary to explain the observed 465 heterotrophic period. 466

467 Summary of Natural and Anthropogenic Factors

In the above sections, we have explored the primary natural and anthropogenic drivers which might conceivably be responsible for producing temporary heterotrophic conditions in Lake Superior from 1998 to 2001. These drivers included changes in OC transport to the water column (from watershed loading or internal resuspension), teleconnections (PDO, ENSO), and climatic factors influencing temperature and light availability. Environmental records show that precipitation declined after 1997, making it unlikely that the heterotrophic period was fueled by 474 novel terrigenous OC imports. Historical dissolved O₂ concentrations in Lake Superior do not respond regularly to PDO phases and ENSO events, and so these factors are excluded as 475 dominant or solitary drivers. We argue that potential increases in resuspension and/or increasing 476 benthic metabolism are unlikely to influence distant surface O₂ concentrations measured at 477 monitoring stations, most of which are at sites with maximum depths of over 100 m. Previous 478 479 studies of plankton communities in the Great Lakes have not been able to establish a significant temperature dependence of the metabolic rates or balance of these communities, and so changes 480 in water temperature alone do not appear to be responsible for this period of net heterotrophy. 481 482 We therefore argue that a change in light availability is the most likely primary driver of net heterotrophy. 483

An increase in light supply and availability in Lake Superior occurs at the nexus of many 484 of the above factors. Both increases in light attenuation and warmer waters may have been 485 486 influenced by the 1997-98 El Niño, given their non-linear trends before and after that event (Fig. 487 6a, b). Warmer surface waters are further associated with reduced ice cover (Fig. 5) as well as higher wind speeds (Fig. 4b), which may in turn be linked to lower cloud cover (Fig. 4a), 488 489 although the latter two factors do not appear to have been influenced by the 1997-98 El Niño (given no change in their trends before and after that year), and are thus more likely linked to 490 climate change. A number of biological and abiotic mechanisms by which light could have 491 liberated a pre-existing pool of DOC within the lake are presented. Below, we re-examine the 492 carbon budget of Lake Superior, taking a temporary light-mediated DOC drawdown into 493 494 consideration.

495 *Carbon budget revisions*

496 Previous attempts at balancing the carbon budget of Lake Superior based on direct measurements have been unsuccessful (Cotner and others 2004; Urban and others 2005). Recent 497 estimates calculated annual OC inputs of 2.4 to 7.7 Tg C, compared to annual outputs of 13 to 81 498 499 Tg C (Table 2 in Urban and others 2005). Although this imbalance may be partly explained by the lake's spatial heterogeneity, with carbon budgets being largely derived from near-shore 500 measurements (Bennington and others 2012), it has also been suggested that underestimated 501 phytoplankton GPP or a tightly coupled microbial production loop may be responsible for the 502 imbalance (Cotner and others 2004; Urban and others 2005). Updated phytoplankton GPP 503 504 measurements are higher than previous estimates (Sterner 2010), and the inclusion of (previously 505 unconsidered) benthic GPP may further boost total GPP estimates (Brothers and others 2016). Still, OC inputs fall short of balancing the carbon budget. We argue that previous carbon budgets 506 507 were made during a period in which Lake Superior's carbon outputs may have outpaced its inputs, meaning that the basic assumption of the lake being at steady-state equilibrium was not 508 met during the 1998-2001 period. The magnitude of the imbalance may thus be partly linked to 509 510 the fact that many key measurements were made from relatively few years within the heterotrophic period. For instance, measurements from 1998 to 2000 produced net CO₂ emission 511 estimates of roughly 3 Tg C y⁻¹ (Urban and others 2005) while investigations along a longer 512 timespan (1996 to 2006) produced lower CO₂ emission estimates of 1.3 ± 3.2 Tg C y⁻¹ (Atilla 513 and others 2011). 514

Previous ecosystem-level carbon inputs and outputs may be compared to provide a rough estimate of current surface CO_2 fluxes with the atmosphere (Table 1). Estimated carbon mass inputs (precipitation, inflows, and erosion) range from 0.44 to 1.02 Tg C y⁻¹ (Table 2 in Urban and others 2005 and references therein). Carbon outflow rates are estimated to be 0.1 Tg C y⁻¹,

519	while measured carbon burial rates range from 0.06 to 2 Tg C y^{-1} (Table 2 in Urban and others
520	2005 and references therein). The difference between these values indicates that Lake Superior
521	surface emissions may range from a CO ₂ efflux of 0.86 Tg C y^{-1} to the atmosphere, to an influx
522	of 1.66 Tg C y ⁻¹ from the atmosphere to the lake (mean = 0.4 Tg C y ⁻¹ net CO ₂ influx; Table 1).
523	These values fall between previous CO ₂ emissions estimates for the heterotrophic period (efflux
524	of 1.3 ± 3.2 Tg C y ⁻¹ , Atilla and others 2011) and the earlier autotrophic period (influx of 1.9 Tg
525	C y ⁻¹ , Kelly and others 2001, assuming 250 ice free days in a year). It is furthermore possible to
526	solve for CR, applying phytoplankton GPP estimates of 9.73 Tg C y^{-1} (Sterner 2010) and
527	periphyton GPP estimates of 1.15 Tg C y ⁻¹ (Brothers and others 2016). Total annual OC inputs to
528	Lake Superior (GPP, precipitation, river inputs, and erosion) are thus roughly 11.62 – 12.20 Tg
529	C, while annual OC outputs (burial and outflow, excluding CR) range from 0.16 to 2.1 Tg C
530	(Urban and others 2005). The difference between these provides CR rates of roughly $9.5 - 12.0$
531	Tg C y ⁻¹ (mean = 10.78 Tg C y ⁻¹), or ~2.4 μ g C L ⁻¹ d ⁻¹ , which is at the low end of the range of
532	CR rates measured in 1998 and 1999 (Urban and others 2004a). Such CR rates may more
533	reasonably reflect the typical conditions of Lake Superior, and the additional effects of DOC
534	photodegradation on CR, as well as the role of direct DOC photomineralization (which is not
535	included in this budget) may have produced the carbon budget imbalance measured during the
536	heterotrophic period.

537 *Conclusions*

In our examination of data from 1968 to 2016, we found that Lake Superior's surface waters tended to be supersaturated with dissolved O_2 during most of its ice-free period. However, we also identified a possible period of net heterotrophy from 1998 to 2001, in agreement with *in situ* studies made during this period, which appeared to be associated with the El Niño of 1997542 98. A return to previous metabolic conditions by 2002 appeared to occur naturally, without any major corresponding change in climatic conditions. We argue that an increase in water clarity, in 543 association with the climate change and teleconnection effects of higher water temperatures and 544 reduced ice and cloud cover, is likely to be the strongest driver of this heterotrophy, causing the 545 drawdown of the deep-water DOC pool by direct photomineralization and/or photodegradation 546 547 of recalcitrant DOC. Both in situ (Weiler 1978, Russ and others 2004) and modeling studies (Bennington and others 2012; Matsumoto and others 2015), as well as this study (Fig. 1), 548 describe the tendency for Lake Superior to be more autotrophic during the ice-free season and 549 550 indicate that its most heterotrophic period occurs during the winter months. Although prior 551 studies do not reveal what sources of carbon could potentially drive an annual net heterotrophy in the lake, they do highlight the existence of a bias towards a calculated net autotrophy when 552 553 considering measurements made only during ice-free months, and further underscore the importance of winter sampling in fully understanding the biogeochemistry of Lake Superior. 554 The question of heterotrophy vs. autotrophy in the subtropical ocean gyres largely 555 focuses on the accuracy of *in vitro* experiments vs. *in situ* measurements (Williams 1998; Duarte 556 and others 2013; Williams and others 2013). However, there is also a fundamental theoretical 557 558 component to the debate, being whether terrigenous materials can access these remote environments at a sufficient rate to elevate CO₂ emissions (argued by the heterotrophists), or 559 whether autochthonous phytoplankton GPP is the only possible steady supply of OC in these 560 regions, and must therefore limit bacterial production and respiration rates (argued by the 561 562 autotrophists). Lake Superior is not the oligotrophic ocean, but many of the characteristics 563 involved in its biogeochemical cycling carry these same fundamental principles of low

allochthonous OC inputs and low autochthonous OC production. This overview of the available

565 literature and monitoring data indicates that shifts in light availability may have influenced the 566 biogeochemical cycling of this large aquatic ecosystem, with more light availability (from both longer open-water seasons and deeper-penetrating euphotic zones) leading to a reversal of the 567 568 lake's fluxes, from being a net sink of atmospheric CO₂ to a temporary net source. The effects of increased light availability on DOC lability, and the overall role DOC photodegradation plays on 569 the oceanic carbon cycle, are well documented in marine environments (Mopper and others 570 1991; Benner and Biddanda 1998). Water clarity in the oligotrophic ocean can also be variable 571 (Falkowski and Wilson 1992), and given current reductions of the Arctic Ocean ice cover (Walsh 572 573 and others 2017), similar effects on the net metabolic balance of oceans may be expected. DOC in aquatic ecosystems represents as much as 20% of the planet's OC, and is roughly equivalent 574 to the amount of carbon in the atmosphere (Hedges 1992). These results underline the volatility 575 576 of such DOC pools, and the role that light can play in transforming large quantities of this pool into atmospheric CO₂ within a relatively short timeframe, with potentially major implications for 577 climate change-induced positive feedback mechanisms between the atmosphere and 578 hydrosphere. 579 580 581

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787 Figure Legends

Figure 1. Mean monthly surface dissolved O_2 saturation (%) from all available datasets for all years. Boxes represent the upper quartile, median, and lower quartile, with whiskers representing the 5th and 95th percentiles. Centered squares represent the mean value, and crosses designate minimum and maximum values in the dataset (excluding outliers, which are denoted by short horizontal lines). A dotted horizontal line indicates 100% saturation with respect to the atmosphere.

Figure 2. Monthly means of surface dissolved O_2 saturation (%) before, during, and since the identified heterotrophic period. Boxes are calculated by pooling mean annual values for May (a) and August (b) measurements. Early data include 13 years for May, and 5 years for August. Recent data include 7 years for May and 15 years for August. Boxes represent the upper quartile, median, and lower quartile, with whiskers representing the 5th and 95th percentiles. Centered squares represent the mean value, and crosses designate minimum and maximum values in the dataset. A dotted horizontal line indicates 100% saturation with respect to the atmosphere.

Figure 3. Mean May (a) and summertime (b, July and August measurements) surface dissolved O₂ saturation (%) from all available datasets for all available years. Boxes are calculated by pooling data from all stations. Boxes represent the upper quartile, median, and lower quartile, with whiskers representing the 5th and 95th percentiles. Centered squares represent the mean value, and crosses designate minimum and maximum values in the dataset (excluding outliers, which are denoted by short horizontal lines). All data are included, and only years for which both spring and summer data were available are shown. A dotted horizontal line indicates 100%

808	saturation with respect to the atmosphere, and the apparent transient heterotrophic period is
809	shaded in gray.

810	Figure 4. Annua	l means for (a)	wind speed a	ind (b) cloud co	over over Lake Superior.	Dotted lines
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- show linear regressions of data before (1968 to 1997) and after (1998 onwards) the 1997-98 El
- 812 Niño, and solid lines represent linear regressions for the full period.
- 813 Figure 5. Winter ice coverage (columns) and air temperature over Lake Superior (circles). A
- vertical broad-dashed line marks the 1997-98 El Niño, while two horizontal fine-dashed lines
- 815 denote the mean air temperatures before and after the El Niño event.
- **Figure 6.** Annual means for (a) water surface temperature and (b) Secchi depth. Dotted lines
- show linear regressions of data before (1968 to 1997) and after (1998 onwards) the 1997-98 El
- 818 Niño, and solid lines represent linear regressions for the full period.
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827 <u>Tables</u>

828 **<u>Table 1.</u>** Summary of C fluxes in and out of Lake Superior.

Inputs / Outputs	C flux (Tg C y^{-1})	Reference
Shoreline erosion	0.02	Urban and others 2005, and
		references therein
Rivers	0.4 - 0.9	Urban and others 2005
Precipitation	0.02 – 0.1	Urban and others 2005, and
		references therein
Total OC loading	0.44 - 1.02	Calculated as sum of above
Lake outflow	0.1	Urban and others 2005
Sediment burial	0.06 – 2.0	Urban and others 2005, and
		references therein
Total OC export	0.16 – 2.1	Calculated as sum of above
CO ₂ exchange with	-1.66 - 0.86 (mean = -0.40)	This study, calculated from
atmosphere (negative values		difference between OC
indicate an influx to the lake)		loading and exports
Gross primary production	10.88	Sterner 2010 for
		phytoplankton, Brothers and
		others 2016 for periphyton
		(see text for details)
Community respiration	9.5 – 12.0 (mean = 10.78)	This study, calculated as the
		difference between OC

		inputs (GPP + total OC
		loading) and total OC
		exports
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853 Fig. 3



857 Fig. 4





871 Fig. 6