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2 **A review on the global soil datasets for earth system modeling**

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15 **Abstract.** Global soil dataset is a pillar to the challenge of earth system modeling. But  
16 it is one of the most important uncertainty sources for Earth System Models (ESMs).  
17 Soil datasets function as model parameters, initial variables and benchmark datasets for  
18 model calibration, validation and comparison. For modeling use, the dataset should be  
19 geographically continuous, scalable and with uncertainty estimates. The popular soil  
20 datasets used in ESMs are often based on limited soil profiles and coarse resolution soil  
21 maps. Updated and comprehensive soil information needs to be incorporated in ESMs.  
22 New generation soil datasets derived by digital soil mapping with abundant soil  
23 observations and environmental covariates are preferred to those by the linkage method  
24 for ESMs. Because there is no universal pedotransfer function, an ensemble of them  
25 may be more suitable to provide secondary soil parameters to ESMs. Aggregation and  
26 upscaling of soil data are needed for model use but can be avoid by taking a subgrid  
27 method in ESMs at the cost of increases in model complexity. Uncertainty of soil data  
28 needs to be incorporated in ESMs.

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## 31 **1 Introduction**

32 Soil or pedosphere is a key component of Earth system, and plays an important  
33 role in the water, energy and carbon balances and biogeochemical processes. An  
34 accurate description of soil properties is essential in advancing the modeling  
35 capabilities of Earth System Models (ESMs) to predict land surface processes at the  
36 global and regional scales. Soil information is required by the land surface models  
37 (LSMs), which is a component of ESMs. With the help of computer-based geographic  
38 systems, many researchers have produced geographical databases to organize and  
39 harmonize large amount of soil information generated from soil surveys during the  
40 last decades (Batjes, 2017; Hengl et al., 2017). However, soil dataset used in ESMs is  
41 not well updated nor well utilized yet. The popular soil datasets used in ESMs are  
42 outdated and with limited accuracy. Some available soil properties such as gravel (or  
43 coarse fragment) and depth to bedrock are not utilized in most ESMs. Meanwhile, it is  
44 needed to change ESMs' schemes and structure to better represent the soil process in  
45 utilizing new soil information (Brunke et al., 2016; Oleson et al., 2010). Better soil  
46 information with high resolution and better representation of soil in models have  
47 improved and will improve the performance in simulating the Earth system (Kearney  
48 and Maino, 2018).

49 ESMs require detailed information on the soil physical and chemical properties.  
50 Site observations (called soil profiles) from soil surveys include soil properties such  
51 as soil depth, soil texture (sand, silt and clay fractions), organic matter, coarse  
52 fragments, bulk density, soil colour, soil nutrients (carbon (C), nitrogen (N),  
53 phosphorus (P), potassium (K) and sulfur (S)), etc. However, soil hydraulic and  
54 thermal parameters as well as biogeochemical parameters are usually not observed in  
55 soil surveys, which need to be estimated by pedotransfer functions (PTFs) (Looy et  
56 al., 2017). This review focus on the soil data (usually time-invariant) from soil  
57 surveys, while variables such as soil temperature and soil moisture are beyond this  
58 paper's scope.

59 Soil properties are functioned in three aspects in ESMs:

60 1) Model parameters. The soil thermal (soil heat capacity and the thermal  
61 conductivity) and hydraulic characteristics (empirical parameters of soil water  
62 retention curve and hydraulic conductivity) are usually obtained by fitting equations  
63 (PTFs) to easily measured and widely available soil properties, such as sand, silt and  
64 clay fractions, organic matter content, rock fragments and bulk density (Clapp and  
65 Hornberger, 1978; Farouki, 1981; Vereecken et al., 2010; Dai et al., 2013). Soil  
66 albedos are significantly correlated with Munsell soil color value (Post et al., 2000).

67 2) Initial variables. The nutrient (C, N, P, K, S, etc.) amounts and the nutrients  
68 associated parameters (pH, cation-exchange capacity, etc.) in soils can be used to  
69 initialize the simulations. Generally, their initial values are assumed to be at steady  
70 state by running model over thousands of model years (i.e., spin-up) until no trend of  
71 change in pool sizes (McGuire et al., 1997; Thornton and Rosenbloom, 2005; Doney  
72 et al., 2006; Luo et al., 2016). To initialize nutrient amounts using the reliable soil  
73 data as background field could largely reduce the times of model spin-up, and also  
74 could avoid the possibility of the non-linear singularity evolution of the modeling, and



75 then provide better estimate of the true terrestrial nutrient state.

76 3) Benchmark data. Soil data, as observations, could serve as a reference for  
77 modeling calibration, validation and comparison. Soil carbon stock is one of the most  
78 frequently used soil properties as benchmark data (Todd-Brown et al., 2013).

79 Soil properties are of great spatial heterogeneity both horizontally and vertically.  
80 As a result, ESMs usually incorporate soil property maps for multiply layers rather  
81 than a global constant. ESMs, especially LSMs, are evolving towards hyper-  
82 resolutions of 1km or finer with more detailed parameterization schemes to  
83 accommodate the land surface heterogeneity (Singh et al., 2015; Ji et al., 2017). So  
84 spatially explicit soil data at high resolutions are necessary to improve land surface  
85 representation and simulation. Because soil properties are observed at individual  
86 locations, soil mapping or spatial prediction model is needed to derive the 3D  
87 representation of soil distribution. The traditional way (i.e., the linkage method) is to  
88 link soil profiles and soil mapping units on soil type maps, sometimes with ancillary  
89 maps such as topography and land use (Batjes, 2003). In the past decades, various  
90 digital soil mapping technologies were proposed by finding the relationships between  
91 soil and environmental covariates (usually remote sensing data) such as climate,  
92 topography, land use, geology and so on (McBratney et al., 2003).

93 Soil datasets are usually not ready for the use of ESMs and some upscaling  
94 issues need to be addressed. The soil datasets produced by the linkage methods are  
95 polygon-based and need to be converted to fit the grid-based ESMs. This conversion  
96 can be done by either subgrid method or spatial aggregation. The up-to-date soil data  
97 are provided at a resolution of 1km or finer, while the LSMs are mostly ran at a  
98 coarser resolution. So upscaling of soil data is necessary before it can be used by  
99 ESMs. Proper upscaling methods need to be chosen carefully to minimize uncertainty  
100 in the modeling results introduced by them (Hoffmann and Christian Biernath, 2016;  
101 Kuhnert et al., 2017).

102 This paper is organized in the following sections. In section 2, we first introduce  
103 soil datasets at global and national scales produced by the linkage method and digital  
104 soil mapping technology and then the soil datasets that have already been  
105 incorporated in ESMs. Section 3 presents PTFs that are used in ESMs to estimate soil  
106 hydraulic and thermal parameters. Section 4 describes how to deal with soil data  
107 derived by the linkage methods. Section 5 introduces the upscaling of high resolution  
108 soil data to the coarse resolution of ESMs. Section 6 gives the summary and an  
109 outlook of further improvements.

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## 111 **2 Soil datasets used in ESMs**

### 112 **2.1 Global and national soil datasets**

113 Two kinds of soil data are generated from soil surveys: soil polygon maps  
114 representing distribution of soil types and soil profiles with observations of soil  
115 properties. ESMs usually require the spatial distribution of soil properties, or soil  
116 property maps rather than soil classification information. Two kinds of methods, i.e.  
117 the linkage method and the digital soil mapping method, are used to derive soil  
118 property maps.



119 Soil maps show the geographical distribution of soil types, which are compiled  
120 under a certain soil classification system. At the global level, there is only one  
121 generally accepted global soil map, i.e., the FAO-UNESCO Soil Map of the World  
122 (SMW) (FAO, 1971-1981). It was made based on soil surveys conducted between the  
123 1930s and the 1970s, and technology available in 1960s. Several versions exist in the  
124 digital format (FAO, 2003b, 1995; Zöbler, 1986). At the regional and national level,  
125 there are many soil maps based on either national or international soil classifications.  
126 Here are some examples of major soil maps available in digital formats: the Soil and  
127 Terrain Database (SOTER) databases (Van Engelen and Dijkshoorn, 2012) for  
128 different regions, the European Soil Database (ESB, 2004), the 1: 1 million Soil Map  
129 of China (National Soil Survey Office, 1995), the U.S. General Soil Map (GSM), the  
130 1:1 million Soil Map of Canada (Soil Landscapes of Canada Working Group, 2010)  
131 and the Australian Soil Resource Information System (ASRIS) (Johnston et al., 2003).

132 Soil profiles are composed of multiply layers called soil horizons. For each  
133 horizon, soil properties are observed. At the global level, several soil profile databases  
134 exist. Here we only discuss the two most comprehensive ones. The World Inventory  
135 of Soil Emission Potentials (WISE) database was developed as a homogenized set of  
136 soil profiles (Batjes, 2008). The newest version (WISE 3.1) contains 10,253 soil  
137 profiles and 26 physical and chemical properties. The soil profiles database of World  
138 Soil Information Service (WoSIS) contains the most abundant profiles (about  
139 118,400) from national and global databases including most of the databases  
140 mentioned below, though only a selection of important soil properties are included  
141 (Batjes, 2017). At the regional and national level, there are many soil profile  
142 databases, usually with soil classifications corresponding to the local soil maps. Here  
143 are some examples: the USA National Cooperative Soil Survey Soil Characterization  
144 database (<http://ncsslabdatamart.sc.egov.usda.gov/>), profiles from the USA National  
145 Soil Information System (<http://soils.usda.gov/technical/nasis/>), Africa Soil Profiles  
146 database (Leenaars, 2012), the Australian Soil Resource Information System  
147 (Karssies, 2011), the Chinese National Soil Profile database (Shangguan et al., 2013),  
148 soil profile archive from the Canadian Soil Information System (MacDonald and  
149 Valentine, 1992), soil profiles from SOTER (Van Engelen and Dijkshoorn, 2012), the  
150 soil profile analytical database for Europe (Hannam et al., 2009), the Mexico soil  
151 profile database ( Instituto Nacional de Estadística y Geografía, 2016), and the Brazilian  
152 national soil profile database (Cooper et al., 2005).

153 The linkage method (called the taxotransfer rule-based method) is to link soil  
154 mapping units or soil polygons and soil profiles according to taxonomy-based  
155 pedotransfer (taxotransfer) rules (Batjes, 2003). The criteria used in the linkage could  
156 be one or many factors as following: soil class, soil texture class, depth zone,  
157 topographic class, distance between soil polygons and soil profiles and so on  
158 (Shangguan et al., 2012). Each soil type is represented by one or a group of soil  
159 profiles that meet the criteria, and usually the median or mean value of a soil property  
160 is assigned to the soil type. There are many sources of uncertainty in the linkage  
161 method (Shangguan et al., 2012). The major source is spatial errors of soil maps, i.e.  
162 the location of soil types, as the estimation relies heavily on the soil map and the



163 purity of soil map units is likely to be around 50 to 65%. Because the linkage method  
164 assigned only one value or a statistical distribution to a soil type in soil polygons, the  
165 intra-polygonal variation is not taken into account. At the global level, many  
166 databases were derived by the linkage method: the FAO Soil Map of the World with  
167 derived soil properties (FAO, 2003a), the Soil and Terrain Database (Van Engelen and  
168 Dijkshoorn, 2012) for multiply regions and countries, the ISRIC-WISE derived soil  
169 property maps (Batjes, 2006), the Harmonized World Soil Database (HWSD)  
170 (FAO/IIASA/ISRIC/ISS-CAS/JRC, 2012), and the Global Soil Dataset for Earth  
171 System Model (GSDE) (Shangguan et al., 2014). Two most recent ones are HWSD  
172 and GSDE. HWSD was built via combining the existing regional and national updates  
173 of soil information. GSDE as an improvement of HWSD incorporated more soil maps  
174 and more soil profiles related to the soil maps, with more soil properties. GSDE  
175 accomplished the linkage based on the local soil classification, which required no  
176 correlation between classification systems and avoided the error brought by taxonomy  
177 reference. In addition, GSDE provided estimation of eight layers to the depth of 2.3  
178 m, while HWSD provided estimation of two layers to the depth of 1 m. Many national  
179 and regional agencies around the world have organized their soil surveys by linking  
180 soil maps and soil profiles, including the USA State Soil Geographic Database  
181 (STATSGO2) (Soil Survey Staff, 2017), Soil Landscapes of Canada (Soil Landscapes  
182 of Canada Working Group, 2010), the ASRIS (Johnston et al., 2003), the Soil-  
183 Geographic Database of Russia (Shoba et al., 2008) the European Soil Database  
184 (ESB, 2004), the China dataset of soil properties (Shangguan et al., 2013) and so on.

185 Digital soil mapping (McBratney et al., 2003) is the creation and the population  
186 of a geographically referenced soil database, generated at a given resolution by using  
187 field and laboratory observation methods coupled with environmental data through  
188 quantitative relationships (<http://digitalsoilmapping.org/>). Usually, the soil datasets  
189 derived by digital soil mapping provide grid-based spatial continuous estimation  
190 while the soil datasets derived by the linkage method provide estimations with abrupt  
191 changes at the boundary of soil polygons. The uncertainty could be estimated  
192 quantitatively by methods such as geostatistical methods and quantile regression  
193 forest (Vaysse and Lagacherie, 2017). The GlobalSoilMap is a global consortium that  
194 aims to create global digital maps for key soil properties (Sanchez et al., 2009). This  
195 global effort takes a bottom-up framework and will produce the best available map of  
196 soil at a resolution of 3 arc sec (about 100 m) along with the 90% confidence of  
197 predictions. Soil properties will be provided for six soil layers (i.e. 0–5, 5–15, 15–30,  
198 30–60, 60–100, and 100–200 cm). Many countries have produced soil maps  
199 following the GlobalSoilMap specifications (Odgers et al., 2012; Viscarra Rossel et  
200 al., 2015; Mulder et al., 2016; Ballabio et al., 2016; Ramcharan et al., 2018; Arrouays,  
201 al., 2018). The Soilgrids system (<https://www.soilgrids.org>) is another global soil  
202 mapping project (Hengl et al., 2014; Hengl et al., 2015; Hengl et al., 2017). The  
203 newest version (Hengl et al., 2017) at a resolution of 250 m was produced by fitting  
204 an ensemble of machine learning methods based on about 150,000 soil profiles and  
205 158 soil covariates, which is currently the most detailed estimation of global soil  
206 distribution.



207           The new generation soil dataset produced by digital soil mapping method gave a  
208 quite different distribution of soil properties from those produced by the linkage  
209 method. Figure 1 shows soil sand and clay fraction at the surface 0-30 cm layer from  
210 Soilgrids, IGBP-DIS (Data and Information System of International Geosphere-  
211 Biosphere Programme) and GSDE. Figure 2 shows soil organic carbon and bulk  
212 density at the surface 0-30 cm layer from Soilgrids and GSDE. Significant differences  
213 are visible in these datasets. This will lead to different modelling results in ESMs.  
214 (Marwa et al., 2018) found that the global soil organic carbon stocks at 1m depth  
215 is 3,400 Pg estimated by Soilgrids while it is 2500 Pg by HWSO, and the estimates by  
216 Soilgrids are closer to the observations.

217

## 218 **2.2 Soil dataset incorporated in ESMs**

219           Table 1 shows several most popular ESMs (specifically, their land surface  
220 models) and the input soil datasets. Land surface models (LSMs) are key tools to  
221 predict the dynamic of land surface under climate change and land use. Five datasets  
222 are widely used, e.g., the datasets by Wilson and Henderson-Sellers (1985), Zöbler  
223 (1986), Webb et al. (1993), Reynolds et al. (2000), Global Soil Data Task (2000), and  
224 Miller and White (1998). Except HWSO and STATSGO (Miller and White, 1998) for  
225 USA, these datasets were derived from the Soil Map of the World (FAO, 1971-1981)  
226 and limited soil profile data (no more than 5,800 profiles), which gained popularity  
227 because its simplicity and ease of use. But they are outdated and should no longer be  
228 used because much better soil information as introduced in Section 2.1 can be  
229 incorporated.

230           In recent years, efforts were taken to improve the soil data condition in ESMs.  
231 This was started by the Land-Atmosphere Interaction Research Group at Beijing  
232 Normal University (BNU, now at Sun Yat-sen University). Shangguan et al. (2012,  
233 2013) developed a China dataset of soil properties for land surface modeling based on  
234 8,979 soil profiles and the Soil Map of China using the linkage method. Dai et al.  
235 (2013) derived soil hydraulic parameters using pedotransfer functions based on the  
236 soil properties by Shangguan et al. (2013). Shangguan et al. (2014) further developed  
237 a comprehensive global dataset for ESMs. The above soil datasets were widely used  
238 in the ESMs. Soil properties from these soil datasets, including soil texture fraction,  
239 organic carbon, bulk density and derived soil hydraulic parameters, were implemented  
240 in the Common Land Model Version 2014 (CoLM2014, <http://land.sysu.edu.cn/>). Li  
241 et al. (2017) shows that CoLM2014 was more stable than the previous version and  
242 had comparable performance to that of CLM4.5 which may be attributed in part to the  
243 new soil parameters as input. Wu et al. (2014) shows that soil moisture values are  
244 closer to the observations when simulated by CLM3.5 with the China dataset than  
245 those simulated with FAO. Zheng and Yang (2016) estimated effects of soil texture  
246 datasets from FAO and BNU on regional terrestrial water cycle simulations with the  
247 Noah-MP land surface model. Tian et al. (2012) used the China soil texture data in a  
248 land surface model (GWSiB) coupled with a groundwater model. Lei et al. (2014)  
249 used the China soil texture data in CLM to estimate the impacts of climate change and  
250 vegetation dynamics on runoff in the mountainous region of the Haihe River basin.



251 Zhou et al. (2015) estimated age-dependent forest carbon sink with a terrestrial  
252 ecosystem model utilizing the soil carbon data of China. Dy and Fung (2016) updated  
253 the soil data for the Weather Research and Forecasting model (WRF).

254 Researchers have also put efforts to update ESMs with other soil data. Lawrence  
255 and Chase (2007) used MODIS data to derive soil reflectance, which was used as a  
256 soil colour parameter in Community Land Model 3.0 (CLM). De Lannoy et al. (2014)  
257 updated the Catchment land surface model of the NASA with soil texture and organic  
258 matter data from HWSO and STATSGO2. Livneh et al. (2015) evaluated the  
259 influence of soil textural properties on hydrologic fluxes by comparing the FAO data  
260 and STATSGO2. Folberth et al. (2016) evaluated the impact of soil input data on  
261 yield estimates in a global gridded crop model. Slevin et al. (2017) utilized the HWSO  
262 to simulate global gross primary productivity in the JULES land surface model. Trinh  
263 et al. (2018) proposed an approach that can assimilate coarse global soil data by finer  
264 land use and coverage dataset which improved the performance of hydrologic  
265 modeling at watershed scale. Kearney and Maino (2018) incorporated the new  
266 generation of soil data produced by digital soil mapping method into a climate model  
267 and found that, compared to the old soil information, this improved the simulation of  
268 soil moisture at fine spatial and temporal resolution over Australia. A global gridded  
269 hydrologic soil groups (HYSOGs250m) was developed based on soil texture and  
270 depth to bedrock of Soilgrids (Hengl et al., 2017) and groundwater table depth (Fan et  
271 al., 2013) for curve-number based runoff modeling of U.S. Department of Agriculture  
272 (Ross et al., 2018).

273 Except soil properties, the estimation of underground boundaries including the  
274 groundwater table depth, the depth to bedrock (DTB) and depth to regolith and its  
275 implementation in ESMs is also a new focus. Fan et al. (2013) compiled global  
276 observations of water table depth and inferred the global patterns using a groundwater  
277 model. Pelletier et al. (2016) developed a global DTB dataset by using process based  
278 models for upland and an empirical model for lowland. This dataset was implemented  
279 in the CLM4.5 and found that there were significant influences on water and energy  
280 simulations compared to the default constant depth (Brunke et al., 2015). Shangguan et  
281 al. (2017) developed a global DTB by digital soil mapping based on about 1.7 million  
282 observations from soil profiles and water wells, which has a much higher accuracy than  
283 the dataset by Pelletier et al. (2016). Vrettas and Fung (2016) shows that the weathered  
284 bedrock stores a significant fraction (more than 30%) of the total water despite its low  
285 porosity. Jordan et al. (2018) estimated global permeability of the unconsolidated and  
286 consolidated earth for groundwater modelling. However, due to the lack of data, an  
287 accurate global estimation of depth to regolith is not feasible. Caution should be paid  
288 to use of the products of so-called soil depth in ESMs. Soil depth maps are usually  
289 estimated based on observations from soil survey, and soil depth (or depth to the R  
290 horizon) is assumed to be equal to DTB. However, these observations are usually less  
291 than 2 meters and usually do not meet the depth to bedrock (Shangguan et al., 2017).  
292 Thus, soil depth maps based on soil profiles only are significantly underestimated (one  
293 order of magnitude lower) compared to the actual depth to bedrock and should not be  
294 taken as the lower boundary of ESMs.



295 For the convenience of ESMs' application, we present basic descriptions about the  
296 new soil datasets in Table 2 and 3. As described in section 2.1, three available global  
297 soil datasets, i.e. HWSD, GSDE and Soilgrids, have been developed in the last several  
298 years (Table 2). Table 3 shows the available soil properties of these soil datasets.  
299 Though all three databases do not contain uncertainty estimation, Soilgrids is  
300 considered to be the most accurate one. The explained variance of soil properties in  
301 Soilgrids is between 56% and 83%, while HWSD and GSDE do not offer quantitative  
302 accuracy assessment. GSDE has the largest number of soil properties, while Soilgrids  
303 contains only ten primary soil properties.

304

### 305 **3 Estimating secondary parameters using pedotransfer functions**

306 Earth system modellers have employed different pedotransfer functions (PTFs)  
307 to estimate soil hydraulic parameters (SHP), soil thermal parameters (STP), and  
308 biogeochemical parameters (Looy et al., 2017; Dai et al., 2013). Almost all ESMs  
309 incorporated SHPs and STPs estimated by PTFs but not biogeochemical parameters.  
310 PTFs are the empirical functions that account for the relationships between these  
311 secondary parameters and more easily obtainable soil property data. Direct  
312 measurement of these parameters is difficult, expensive and in most cases impractical  
313 to take sufficient samples to reflect the spatial variation. Thus, most soil databases do  
314 not contain these secondary parameters. PTFs provide the alternative to estimate  
315 them. In ESMs, SHPs and STPs are usually derived using simple PTFs taking only  
316 soil texture data as the input. As more soil properties become available globally,  
317 including gravel, soil organic matter and bulk density, more sophisticated PTFs using  
318 additional soil properties can be utilized in ESMs.

319 PTFs can be expressed as either numerical equations or by machine learning  
320 methodology which is more flexible to simulate the highly nonlinear relationship in  
321 analysed data. PTFs can also be developed based on soil processes. Most researches  
322 did not indicate where the PTFs can potentially be used, and the accuracy of a PTF  
323 outside of its development dataset is essentially unknown McBratney et al. (2011).  
324 Therefore, they should never be considered as an ultimate source of parameters in soil  
325 modelling. Looy et al. (2017) reviewed PTFs extensively in earth system science and  
326 emphasized that PTF development has to go hand in hand with suitable extrapolation  
327 and upscaling techniques such that the PTFs correctly represent the spatial  
328 heterogeneity of soils in ESMs. Though the PTFs were evaluated, it is not clear which  
329 are the best set of PTFs for global applications. Due to these limitations, a better way  
330 to estimate the secondary parameters may be to use an ensemble of PTFs, which can  
331 give the variability of parameters. Dai et al. (2013) derived a global soil hydraulic  
332 parameters using the ensemble method. Selection of PTFs was carried out based on  
333 the following rules, including the consistent physic definition, large enough training  
334 sample and positive evaluations in comparison with other PTFs. The PTFs selected  
335 included not only those in equations but also PTFs of machine learning. As a result,  
336 the modellers could use these parameters as inputs instead of calculating them in  
337 ESMs every time running the model.

338 The new generation soil information has already been utilized to derive SHPs





339 and STPs in some researches. Montzka et al. (2017) produced a global map of SHPs  
340 at a resolution of  $0.25^\circ$  based on the SoilGrids 1km dataset. Tóth et al. (2017)  
341 calculated SHPs for Europe with the EU-HYDI PTFs (Tóth et al., 2015) based on  
342 SoilGrids 250 m. Wu et al. (2018) used an integrated approach that ensembles PTFs to  
343 map field capacity of China based on multi-source soil datasets.

344 The performance of PTF in ESMs is evaluated in many researches, though PTFs  
345 has not been fully exploited and integrated into ESMs (Looy et al., 2017). Here are  
346 some examples. Chen et al. (2012) incorporated soil organic matter to estimate soil  
347 porosity and thermal parameters for the use of land surface models. Zhao et al.  
348 (2018a) evaluated PTFs performance to estimate SHPs and STPs for land surface  
349 modelling over the Tibetan Plateau. Zheng et al. (2018) developed PTFs to estimate  
350 the soil optical parameters to derive soil albedo for the Tibetan Plateau, and the PTFs  
351 incorporated into an eco-hydrological model which improved the model simulation of  
352 surface energy budget. Looy et al. (2017) envisaged two possible approaches to  
353 improve parameterization of Earth system models by PTFs. One is to replace constant  
354 coefficients in the current ESMs with spatially distributed values by PTFs. The other  
355 is to develop spatially exploitable PTFs to parameterize specific processes using  
356 knowledge of environmental controls and variation of soil properties.

357

#### 358 **4 Model use of soil data derived by the linkage method**

359 In the soil map, a soil mapping unit (SMU) is composed of more than one  
360 component in most cases, and thus a one-to-many relationship exists between the  
361 SMU and the profile attribute. This condition makes representing attributes  
362 characterizing a SMU a non-trivial task. To keep the whole variation of soil in a  
363 SMU, the best way is using the subgrid method in ESMs (Oleson et al., 2010), i.e.  
364 aggregate values of soil properties and provide the area percentage of each value.  
365 However, this will increase the computing time and the complexity of ESMs'  
366 structure, which needs to implement the soil processes over each subgrid soil column  
367 within a grid instead of the entire model grid.

368 Usually, the ESMs uses grid data as input and each grid cell has one unique  
369 value of a soil property. Three spatial aggregation methods were proposed to  
370 aggregate compositional attributes in a SMU to a representative value (Batjes, 2006;  
371 Shangguan et al., 2014). The area-weighting method (method A) takes area-weighting  
372 of soil attributes. The dominant type method (method D) takes the soil attribute of the  
373 dominant type. The dominant binned method (method B) classifies the soil attribute  
374 into several preselected classes and takes the dominant class. All three methods can be  
375 applied to quantitative data, while the method D and the method B can be applied to  
376 categorical data. The advantages and disadvantages of these methods were discussed  
377 (Batjes, 2006; Shangguan et al., 2014). The choice should be made according to the  
378 specific applications (Hoffmann and Christian Biernath, 2016). The method B  
379 provides binned classes, which are not convenient for modelling, though method B is  
380 considered more appropriate to represent a grid cell. The method A keeps mass  
381 conservation, which can meet most demands of model applications. However, the  
382 method A may be misleading in cases when extreme values appeared in a SMU. For



383 the linkage method, the uncertainty is usually estimated by giving the 5 and 95  
384 percentile soil properties of the soil profiles that linked to a SMU. Because the  
385 frequency distribution of soil properties within a SMU is usually not a normal  
386 distribution or any other typical statistic distribution, the application of statistic such  
387 as standard deviation in model use is not proper. This means that the uncertainty of  
388 soil dataset derived by the linkage method can not be incorporated into ESMs in a  
389 straight forward way.

390 The basic soil properties are often used to derive secondary parameters including  
391 SHPs and STPs by PTFs and soil carbon stock or other nutrient stocks by certain  
392 equations (Shangguan et al., 2014). This procedure could be done either before or  
393 after the aggregation (here referred to “aggregating after” and “aggregating first”).  
394 Because the relationship between the soil basic properties and the derived soil  
395 parameters is usually nonlinear, the “aggregating first” method should be taken. This  
396 was also proved by case studies (Romanowicz et al., 2005; Shangguan et al., 2014).  
397 However, some researchers (Hiederer and Köchy, 2012) were not aware of this and  
398 used the “aggregating after” method producing misleading results.

399 The aggregation smooths the variation of soil properties between soil  
400 components within a given SMU (Odgers et al., 2012). To avoid the aggregation, the  
401 spatial disaggregation of soil type maps can be used to determine the location of the  
402 SMU components, though the location error may be high in some cases (Thompson et  
403 al., 2010; Stoorvogel et al., 2017). This method depends on high density of soil  
404 profiles to establish soil and landscape relationships. Folberth et al. (2016) shows that  
405 the correct spatial allocation of the soil type to present cropland was very important in  
406 global crop yield simulations. Currently, aggregation is still the pragmatic way at the  
407 global scale due to lack of data.

#### 408 **5 Upscaling detailed soil data for model use**

409 The updated soil datasets derived by both the linkage method and digital soil  
410 mapping are usually at a high resolution from 1 km to 100 m, and upscaling or  
411 aggregation is required to derive lower resolution datasets for model use. The  
412 aggregation methods mentioned above can be used. Moreover, there are plenty of  
413 upscaling methods such as the window median, variability-weighted methods (Wang et  
414 al., 2004), variogram method (Oz et al., 2002), fractal theory (Quattrochi et al., 2001)  
415 and Miller–Miller scaling approach (Montzka et al., 2017). However, few studies have  
416 been devoted to test out which upscaling methods are suitable for soil data. A  
417 preliminary effort was done by (Shangguan, 2014). Five upscaling methods compared  
418 were the window average, widow median, widow modal, arithmetic average  
419 variability-weighted method and bilinear interpolation method. Differences between  
420 aggregation methods varied from 10% to 100% for different parameters. The upscaling  
421 methods affected the data derived by the linkage method more than the data by digital  
422 soil mapping. The window average, window median and arithmetic average variability-  
423 weighted method performed similar in upscaling. The root mean square error increased  
424 rapidly when the window size was less than 40 pixels. Similar to the aggregation of  
425 SMUs, the “aggregating first” method is recommended when secondary soil  
426 parameters are derived. Again, alternative to avoid the aggregation into one single value



427 for a grid cell is to use the subgrid methods in ESMs.

428 The upscaling effect of soil data on model simulation has been investigated in  
429 previous studies with controversial conclusions. For example, Melton et al. (2017) used  
430 two linked algorithms to provide tiles of representative soil textures for subgrids in a  
431 terrestrial ecosystem model and found that the model is relatively insensitive to subgrid  
432 soil textures compared to a simple grid-mean soil texture at a global scale. However,  
433 the treatment without soil subgrid structure in JULES resulted in soil-moisture  
434 dependent anomalies in simulated carbon flux (Park et al., 2018). Further researches  
435 are necessary to investigate the upscaling effect on models

## 436 **6 Summary and outlook**

437 This paper reviews the status of soil datasets and their usage in ESMs. Soil  
438 physical and chemical properties served as model parameters, initial variables or  
439 benchmark datasets in ESMs. Soil profiles, soil maps and soil datasets derived by the  
440 linkage method and digital soil mapping are reviewed at national, regional and global  
441 levels. The soil datasets derived by digital soil mapping are considered to provide more  
442 realistic estimation of soils than those derived by the linkage method.

443 The popular soil datasets used in ESMs are outdated and there are soil datasets  
444 available for the updates. In the recent several years, efforts were taken to update the  
445 soil data in ESMs. The effects of updated soil properties which are used to estimate soil  
446 hydraulic and thermal parameters were evaluated. Other major updates include soil  
447 reflectance, ground water tables and depth to bedrock.

448 Pedotransfer functions (PTFs) are employed to estimate secondary soil parameters,  
449 including soil hydraulic and thermal parameters, and biogeochemical parameters. PTFs  
450 can take more soil properties (i.e., soil organic carbon, bulk density etc.) as input in  
451 addition to soil texture data. An ensemble of PTFs may be more robust to provide  
452 secondary soil parameters as direct input to ESMs.

453 Soil data derived by the linkage methods and high resolution data can be  
454 aggregated by different methods to fit the use in ESMs. The aggregation should be done  
455 after the secondary parameters are estimated. However, the aggregation will omit the  
456 variation of soil properties. To avoid the aggregation, the subgrid method in ESMs is  
457 an alternative which increases the model complexity. The effect of different upscaling  
458 methods on the performance of ESMs needs to be investigated further.

459 Because digital soil mapping has many advantages compared to the traditional  
460 linkage method, especially in representing spatial heterogeneity, the new generation soil  
461 datasets derived by digital soil mapping needs to gain popularity in ESMs. As a data-  
462 driven method, digital soil mapping requires soil profiles observations and  
463 environmental covariates (in which the importance of soil maps is low), and including  
464 more these data in mapping will improve the global predictions (Hengl et al., 2017).  
465 The temporal variation of global soil is quite challenging due to lack of data. Soil image  
466 fusion is also needed to merge the local and global soil maps. Mapping the soil depth  
467 and depth to bedrock separately at the global level is also still challenging due to lack  
468 of data and the understanding of relevant processes. Uncertainty estimation should be  
469 included in the soil datasets developed in the future.

470 The gap between soil data existence and data availability is huge. The soil profiles



471 included by global soil databases such as WoSIS make up a very small fraction of the  
472 soil pits dug by human beings. For example, there are more than 100,000 soil profiles  
473 from the second national soil survey of China (Zhang et al., 2010) and no more than  
474 9,000 were used to produce the national soil property maps freely available (Shangguan  
475 et al., 2013). In the last century, national soil survey was accomplished widely, majorly  
476 for agriculture purpose. However, most of these legacy data are not digitalized and they  
477 are usually not made available to the science community even if digitalized. How to  
478 flush out these hidden soil data requires some mechanism such as government  
479 mandatory regulations and investing money on making them available. In addition,  
480 investments on new soil samplings should be made, especially in the under-represented  
481 areas. A good example is the US, which has the most abundant soil data freely available  
482 like many other data. Data compatibility of different analysis methods and different  
483 description protocols including soil classifications is also an important issue and data  
484 harmonization is necessary when the data are made available to public.

485 The gap between the soil data availability and data usage in ESMs is still large.  
486 Most popular ESMs have not utilized the recent available global soil datasets yet.  
487 Another challenge may be to incorporate the spatial uncertainty of soil properties and  
488 the statistical distribution of soil properties in a grid cell in ESMs.

489

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917 Table 1. Lists of the soil dataset used by land surface models (LSM) of Earth System Models (ESM) or climate models (CM)

ESM or CM	LSM	Input soil data	Dataset Used	Resolution
<b>CESM</b> <b>CCSM</b>	<b>CLM</b> (Oleson, 2013)	Soil texture (sand, clay)	IGBP-DIS (Global Soil DataTask, 2000)	5'
		Soil organic matter	ISRIC-WISE (Batjes, 2006) combined with NCSO (Hugelius et al., 2013)	5'; 0.25°
		Soil color class	dataset derived from MODIS (Lawrence and Chase, 2007)	0.05°
<b>MPI-ESM</b> <b>ICON-ESM</b>	<b>JSBACH</b> (Giorgetta et al., 2013)	Volumetric heat capacity and thermal diffusivity prescribed for 5 soil types OF FAO soil map	Dataset by Hagemann et al. (1999)	0.5°;
		Field capacity, Plant-available soil water holding capacity and wilting point prescribed for ecosystem type	Dataset by Hagemann (2002) based on Patterson (1990) and Hagemann et al. (1999)	0.5°
		Soil albedo	Dataset by Hagemann (2002)	0.5° (8km over Africa)
<b>HadGEM2-ES</b> <b>QUEST</b>	<b>JULES/MOSES</b> (Best et al., 2011; Clark et al., 2011)	Soil texture (Cox et al., 1999) (Blyth, 2006)	Dataset by Wilson and Henderson-Sellers (1985)	1°
			HWSD (FAO/IIASA/ISRIC/ISS-CAS/JRC, 2012)	30"
<b>RegCM</b>	<b>BATS</b> (Dickinson et al., 1993) or <b>CLM3.5</b>	Soil texture classes Soil color classes	Prescribed for BATS vegetation/land cover type (Elguindi et al., 2014).	
<b>GFDL ESM</b>	<b>GFDL LM4</b> (Zhao et al., 2018b)	soil texture type	HWSD (FAO/IIASA/ISRIC/ISS-CAS/JRC, 2012)	30"



<b>GISS GCM ModelE</b>	<b>GISS-LSM</b> (Rosenzweig and Abramopoulos, 1997)	soil textures	Dataset by Webb et al. (1993) and Zöbler (1986)	1°
<b>WRF</b>	<b>Noah</b> (Chen and Dudhia, 2001)	Soil texture	FAO (outside Conterminous US)	5'
<b>CWRF</b>	<b>Noah-MP</b> (Niu et al., 2011)		STATSGO (Miller and White, 1998)	30''
	<b>CLM4</b>		GSDE (Shangguan et al., 2014)	30''
	Other LSMs			
<b>CAS_ESM</b>	<b>CoLM</b> (Dai et al., 2003)	Soil texture, gravel, soil organic carbon, bulk density	GSDE (Shangguan et al., 2014)	30''
<b>BNU_ESM</b>	<b>SiB</b> (Sellers et al., 1996; Gurney et al., 2008)	Soil texture classes	Dataset by Zöbler (1986)	1°
<b>GRAPES</b>				
<b>GLDAS</b>	<b>Mosaic</b> (Koster and Suarez, 1992)	Soil texture classes	Dataset by Reynolds et al. (2000)	5'
	<b>CLM2</b>			
	<b>Noah</b>			
	<b>VIC</b> (Liang et al., 1994)			
<b>ACCESS-ESM</b>	<b>CABLE</b>	Soil texture classes	Dataset by Zöbler (1986)	1°

918 CLM = Community Land Model. The current released version is CLM4.5.

919 CCSM = Community Climate System Model.

920 CESM = Community Earth System Model.

921 IGBP-IDS = Data and Information System of International Geosphere-Biosphere Programme

922 ISRIC-WISE = World Inventory of Soil Emission Potentials of International Soil Reference and Information Centre

923 NCSD = Northern Circumpolar Soil Carbon Database

924 MPI-ESM = The Max Planck Institute for Meteorology Earth System Model





925 ICON-ESM = icosahedral non-hydrostatic Earth System Model  
926 JSBACH = Jena Scheme of Atmosphere Biosphere Coupling in Hamburg  
927 HWSD = Harmonized World Soil Database  
928 FAO = the Food and Agriculture Organization (FAO-UNESCO) digital Soil Map of the World (SMW) at 1:5 million scale.  
929 HadGEM2-ES = Hadley Global Environment Model 2 - Earth System  
930 QUEST = Quantifying and Understanding the Earth System  
931 JULES/MOSES= Joint UK Land Environment Simulator/Met Office Surface Exchange Scheme  
932 RegCM = Regional Climate Model  
933 BATS = Biosphere-Atmosphere Transfer Scheme  
934 GFDL = Geophysical Fluid Dynamics Laboratory  
935 GISS = Goddard Institute for Space Studies  
936 STATSGO = the State Soil Geographic Database  
937 WRF = Weather Research and Forecasting Model  
938 Noah-MP = Noah-multiparameterization  
939 GSDE = Global Soil Dataset for Earth System Model  
940 CAS\_ESM = Chinese Academy of Sciences Earth System Model  
941 BNU\_ESM = Beijing Normal University Earth System Model  
942 GRAPES = Global/Regional Assimilation Prediction System  
943 CoLM = Common Land Model. The current version is CoLM2014.  
944 SiB = Simple Biosphere Model  
945 GLDAS = Global Land Data Assimilation System  
946 ACCESS = Australia Community Climate and Earth System Simulator  
947 CABLE = Community Atmosphere Biosphere Land Exchange



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Table 2 Three new global soil datasets for the updates of ESMS.

Dataset	Resolution	Number of layers	Number of properties	depth to the bottom of a layer (cm)	Mapping method
HWSD	1km	2	22	30, 100	Linkage method
GSDE	1km	8	39	0, 4.5, 9.1, 16.6, 28.9, 49.3, 82.9, 138.3, 229.6	Linkage method
Soilgrids	250m	6	7	5, 15, 30, 60, 100, 200	Digital soil mapping

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952 Table 3 Available soil properties of three global soil datasets.

Soil property*	HWSD	GSDE	Soilgrids	Soil property*	HWSD	GSDE	Soilgrids
Drainage class	√	√		Total carbon		√	
AWC class	√	√		Total nitrogen		√	
Soil phase	√	√		Total sulfur		√	
Impermeable layer	√	√		pH(KCL)		√	√
Obstacle to roots	√	√		pH(CaCl <sub>2</sub> )		√	
Additional property	√	√		Exchangeable Ca		√	
Soil water regime	√	√		Exchangeable Mg		√	
Reference soil depth	√	√		Exchangeable K		√	
Depth to bedrock			√	Exchangeable Na		√	
Gravel	√	√	√	Exchangeable Al		√	
Sand, Silt, Clay	√	√	√	Exchangeable H		√	
Texture class**	√			VWC at -10 kPa		√	
Bulk density	√	√	√	VWC at -33 kPa		√	
Organic Carbon	√	√	√	VWC at -1500 kPa		√	
pH(H <sub>2</sub> O)	√	√	√	Phosphorous by Bray method		√	
CEC (clay)	√			Phosphorous by Olsen method		√	
CEC (soil)	√	√		Phosphorous by New Zealand method		√	
Base saturation	√	√		Water soluble phosphorous		√	
TEB	√			Phosphorous by Mechlich method		√	
Calcium Carbonate	√	√		Total phosphorous		√	
Gypsum	√	√		Total Potaasium		√	
Sodicity (ESP)	√			Salinity (ECE)	√	√	

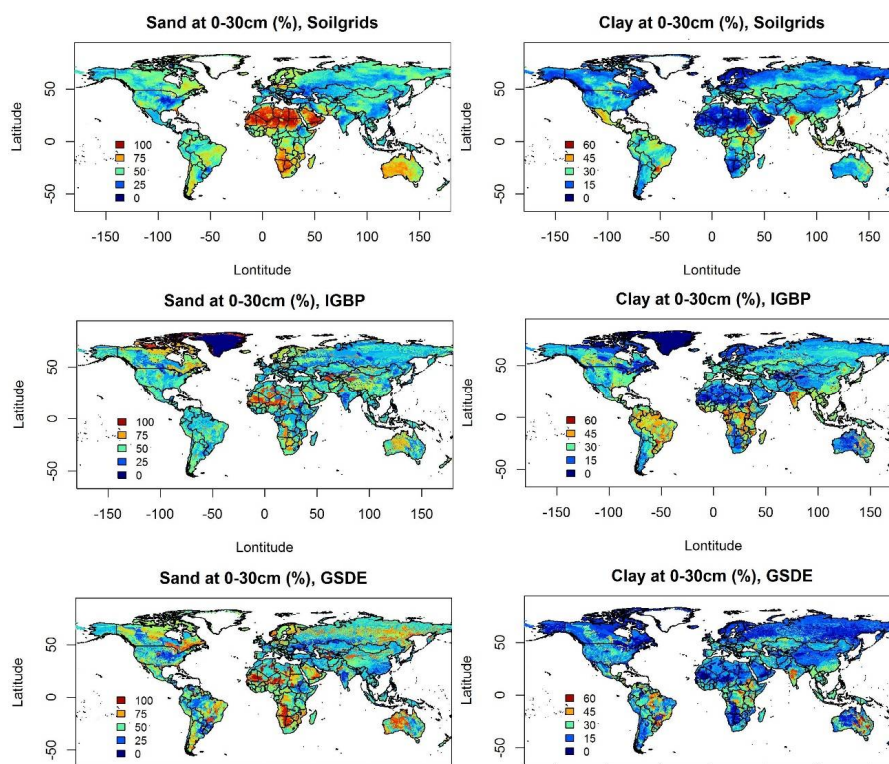
953 \*CEC is cation exchange capacity. The base saturation measures the sum of



954 exchangeable cations (nutrients) Na, Ca, Mg and K as a percentage of the overall  
955 exchange capacity of the soil (including the same cations plus H and Al). TEB is total  
956 exchangeable base including Na, Ca, Mg and K. ESP is exchangeable sodium percentage,  
957 which is calculated as  $Na * 100 / CEC_{soil}$ . ECE is electrical conductivity. AWC is the  
958 available water storage capacity. The first 9 soil properties on the left including drainage  
959 class, AWC class and so on are available for soil types, while the other properties are  
960 available for each layer.  
961 \*\*texture class can be calculated using sand, silt and clay content  
962



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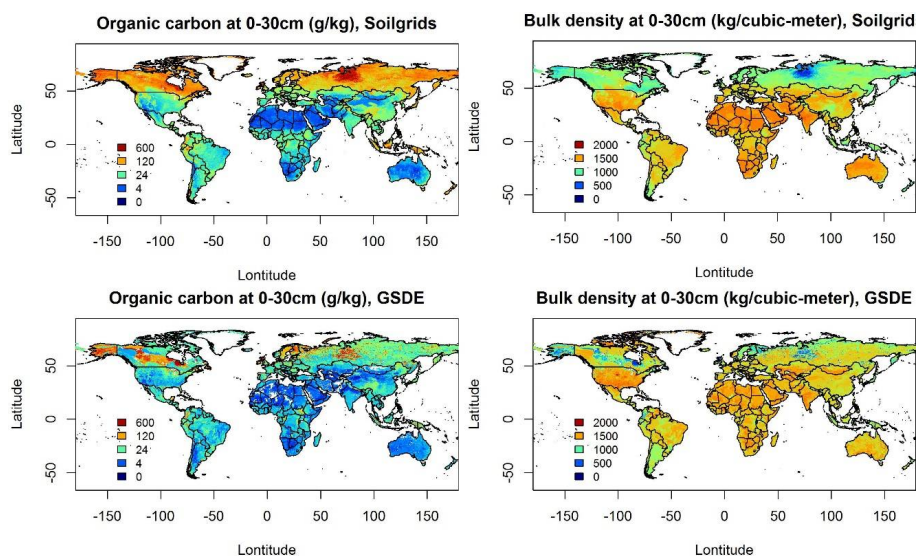
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Figure 1 Soil sand and clay fraction at the surface 0-30 cm layer from Soilgrids, IGBP-DIS and GSDE. The difference among them will lead to different modeling results for ESMs. IGBP-DIS is Data and Information System of International Geosphere-Biosphere Programme, and GSDE is Global Soil Dataset for Earth System Model.



970  
971 Figure 2 Soil organic carbon and bulk density at the surface 0-30 cm layer from Soilgrids  
972 and GSDE.  
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