

On inclusion of water resource management in Earth System models - Part 2: Representation of water supply and allocation and opportunities for improved modeling

Revision summary and point-to-point reply to the reviewers' comments

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I. Letter to the editor and revision summary

Dear Dr. Buytaert

Many thanks for handling our submitted manuscript (hess-2014-257). We revised our manuscript and provided a point-to-point reply to the reviewers' comments. We found the comments extremely constructive. We took all necessary steps to provide a reasonable response to reviewers' comments and incorporate their suggestion into our revision. We believe that the revised manuscript is substantially improved by reviewers' suggestions as well as the comments we received from algorithm developers.

To summarize the revisions made, we revised Section 1 to focus on the main objective of our paper, according to comments made by anonymous reviewer #1. Section 2.1 was extended to include a discussion on natural lakes according to a comment made by anonymous reviewer #1. Section 2.3 was extended and revised according to comments made by anonymous reviewer #1. Section 3.1 was revised according to comments made by both reviewers. Section 3.2 was modified based on a comment made by anonymous reviewer #1. Sections 3.3.1 and 3.3.2 were minorly revised based on suggestions made by algorithms developers, namely Drs Hanasaki and Hadelland, respectively. Section 4 was majorly revised and restructured based on the comments received from both reviewers. Section 5.1 extended based on the suggestions made by both reviewers. Section 5.2 was majorly revised and restructured based on the comment made by both reviewers. Discussions in Section 5.4 were extended and revised based on comments made by both reviewers. Section 5.6 was extended majorly by a new set of discussions as well a new figure and a new table based on comments received from anonymous reviewer #2. Finally, 18 new references have been used and added to the reference list to appropriately address the reviewers' comments.

Below, we first provide a point-to-point reply to the reviewers' comments and then include a marked up revised manuscript. Although the marked up version include most of our revisions, it has some minor differences with the final revised manuscript. Accordingly, we prepared our response to the reviewers comments based on the final revised manuscript attached separately, not the marked up version below this letter. Many thanks for considering our revisions.

II. Point-to-point reply to Anonymous Reviewer #1

We greatly appreciate Anonymous Reviewer #1 for their positive, constructive and thoughtful comments, which led to substantial improvements in the revised version of our manuscript. In the following, the issues raised are addressed point-by-point in the order they are asked. The reviewers' comments are numbered; our reply to each comment is shown immediately below the comment in blue.

1- Although well surveyed, I found some errors in text which misrepresent some formulations or concepts of models (please see below for detail). It is quite challenging for non-developers, if not impossible, to describe models perfectly by only literature review. Here I would like to suggest the authors to make a simple survey of models: contact the main developers of major models and ask to check whether the descriptions on their models are correct.

Many thanks for your suggestion and heads-up on some of the misrepresentations in the submitted manuscript. We corrected all points you highlighted and contacted the main developers to take all reasonable steps to ensure accurate representation of the scheme. Some of the developers have kindly came back to us and we included their comments into the revised version.

2- I found considerable overlaps in contents within this article. It could be attributed to its structure. Actually, the titles of chapters 2-4 read "Available representations of water sources in large-scale models", "Available representation of water allocation in large-scale models", and "Current large-scale modeling applications". In each section, both the reservoir operation and groundwater models are discussed citing the same papers repeatedly. I wonder the overlaps might be drastically reduced if the authors reorganize them into two sections, the reservoir operation and groundwater models.

Many thanks for your comment. We thought a lot on this and tried different variations to organize the content. This was not as easy task and took us a long time, considering the fact that we needed to somehow link the content of Part 1 and Part 2 papers together and keep the same narration style

in both papers. The main objective in both papers is to breakdown different aspects of water resource management and describes briefly how various elements are included in large-scale models. This is mainly to inform non-familiar readers about how the big problem of representing water resource management can be divided in to rather stand-alone pieces, which can be then represented through a specific suite of algorithms. In the Part 1 paper, we defined water resource management as an integration of water demand with water supply and allocation, in which water allocation links water demand and supply together. Therefore in this paper, we first breakdown water sources and then focused on algorithms available for representing water allocation. As the main papers cited in this paper include both water supply and allocation (and some also water demand, which are cited in Part 1 paper), such overlaps as you indicated become somehow unavoidable, even if we consider a section solely on surface water and another one only to groundwater supply and allocation. This is due to the fact that most of the cited papers include discussion on both groundwater and surface water. We believe that organizing our discussion in the present form can help non-familiar readers to understand how a specific paper deals with various issues around the representation of water resource management. Indeed, further consultation with original papers is required for further understanding of the algorithms reviewed in this review.

3- The objective of review is a bit unclear. As the title of this paper says, the authors may intend to make use of this review to develop an ESM including human activities based on an atmospheric model and conduct online simulations to study landatmosphere interactions. If this is the case, the paper in the current form might pay too much attention to the application of offline simulations and too less to the problems inherent to ESMs and online simulation (low spatial resolution, biases in atmospheric and hydrological variables, small signal to noise ratio due to large internal variation, etc).

Many thanks for your comment. We noticed that both offline and online effects of water resource management are important and relevant to ESMs, in particular GHMs and LSMs. We do agree that both papers have more discussion related to offline applications; however, this is wholly a reflection of the current literature. In fact, most of the available studies are mainly offline (with exception of irrigation that discussed in Part 1 paper) and we are not aware of any study that incorporates ESMs with full consideration of water resource management for online simulations at the regional or global scale. Nonetheless, we suggest that the ultimate need is to move towards

online simulations in a way described in Figure 1. According to your comment, now we have added a substantial discussion on issues around online modelling in Section 5, including incorporating several new references. Please see the revised manuscript (**lines 580 to 696**).

4- The authors partly included discussion on water security in this paper, which confused me. Water security is largely a matter of socio-economic change, policy, institution, and governance, which is out of the scope of this paper. Above all, the review on this topic is insufficient.

Many thanks for your comment. As you truly noted in your comments, our main aim in this paper is to discuss how to represent water supply and water allocation in large-scale models. We highlighted three main practical reasons for this, including quantifying the effect of human-water interactions on terrestrial water cycle and climate as well as addressing the water security concerns at regional and global scales. We did not intend to provide a comprehensive review on water security assessment. Rather, we would like to justify the need of representing water resource management in large-scale models based on emerging issues around water security assessment. From a broader perspective, water resource management and water security are rather interconnected as both are influenced by of socio-economic change, policy, institution, and governance. However as you noted these issues are beyond the scope of this paper. As a result, we modified the discussion related to water security assessment according to your comment to avoid further confusion. Please see the revised manuscript (**lines 87 to 108 and 484 to 557**).

5- P8303, L2, "focus mainly on measuring the annual difference between natural water availability and projected demand as an indicator of water scarcity": I'm wondering this part is of relevance to this review article. This paper basically focuses on the representation of human activities in numerical models rather than its application to water resources assessments. Indeed, dozens of high quality papers have been published on global water scarcity and security, which is largely missing in this article.

Many thanks for your comment. This comment is closely related to the previous comment and comment #14. As we mentioned above we revised the discussion related to water security assessment to keep the focus on the main objective of this paper, which as you mentioned is representation of human water management in large-scale models. Please see the revised manuscript (**lines 87 to 108**)

6- P8304, L19, "10% of the annual runoff": The number may be too small. 8000km³ of storage volume must be accounts for 20% of global annual runoff (approximately 40000 km³/yr).

Many thanks for the heads-up on this. We referred to the original articles as well as Gleick (2000) and you are absolutely right. We highly appreciate your careful reading of our paper. We revised the paper accordingly. Please see the revised manuscript (**lines 147 to 150**).

7- P 8304, L16, "Available representations of water sources in large-scale models": The section includes a subsection "groundwater", while it excludes "surface water". I understand that river and lakes are "natural" processes and do not include explicit human activity, but these are the most fundamental water sources.

Many thanks for the comment. We included a brief discussion about the natural lakes in Section 2.1. Accordingly, Section 2.1 is now titled as "Lakes and reservoirs". Please see the revised manuscript (**lines 142 to 186**). Please note that we already have a brief discussion in Section 2.2 related to river flow abstraction. Please see the revised manuscript (**lines 193 to 215**).

8- P8307, L24, "often groundwater availability is assumed as unlimited local source": Please carefully revisit the original article. For example, Rost et al. (2008) devised a technical term "Nonlocal and nonrenewable blue water (NNBW)" and avoided assuming groundwater is unlimited source.

Many thanks for your comment. You are absolutely right as she did advise that in the 2008 paper. We revised this in the paper. However, from a numerical modelling perspective, these are rather similar. Please see our discussion related to comment #13. Please see the revised manuscript (**lines 235 to 239 and Table 1 in page 55**).

9- P8308, L1, "Wada et al. (2014)": Döll et al. (2014) should be mentioned here as well.

Many thanks for introducing this paper to us. We were not aware of this paper and read it with a lot of interest. Accordingly, we included a brief discussion on this paper. Please see the revised manuscript (**lines 246 to 249**). We also used the reference in some other places of revised manuscript, where applicable.

10- P8310, L14, "Hanasaki et al. (2006) assumed that large reservoirs can supply all downstream demands within 1100km and with lower elevation": When the model of Hanasaki et al. (2006) estimates the monthly release of individual reservoirs, it only uses the information of water demand

in downstream. Released water is not always sufficient to "supply the all downstream demands". This kind of details might be difficult to learn from literature review. Voluntary checking by model developers would substantially improve the accuracy.

Many thanks for your comment. We exactly meant what you indicated but we poorly wrote it. What we meant was large reservoirs consider supplying demands that are located within 1100 km and lower elevation. This does not mean that they can fully supply them. Please see the revised manuscript (**lines 309 to 310 and Table 1 in page 55**).

11- P8310, L28, "Irrigation has often been given the highest priority": At least, Hanasaki et al. (2008a) gave priority to domestic and industrial water over irrigation in abstraction of water from river.

Many thanks for your very careful reading and comment. We checked the article and you are completely right: *"The anthropogenic water withdrawal module withdraws the amount of consumptive water use for domestic, industrial, and agricultural purposes from river channels in that order at each simulation grid cell"*. However later on, it indicates that *"Withdrawn irrigation water was added to the soil moisture in irrigated areas, and domestic and industrial waters were removed from the system"*. We mistakenly took this statement as an indication of priority in the water allocation. Please see the revised manuscript (**lines 320 to 322 and Table 1 in page 55**).

12- P8311, L3, "the deficit is typically shared proportionately to the demands": Because of the reason shown above, the proportion among water sectors is not shared at least in Hanasaki et al. (2008a, 2013a).

Many thanks for the heads-up on this. We corrected this in the paper.

13- P8312, L7, "If the groundwater is considered as an infinite local source (Rost et al. 2008; Hanasaki et al. 2010: :)": This is not the case for Rost et al. (2008) and Hanasaki et al. (2010). What they assumed infinite was Nonlocal Nonrenewable Blue Water (NNBW) which indicates water sources that are not explicitly represented in their models, namely, water diversion, glacier melting, desalination, and others.

Yes, you are completely right. We corrected this in the revisions. However, from modelling perspective, assuming groundwater or NNBW sources as infinite are quite similar. In fact, (1) both do not consider water shortage; (2) both bring water from outside the modelling domain and (3)

the estimation of water withdrawal from either sources wholly depends on how water demand and water supply are estimated at the grid scale. As a result, the errors from these estimations can wholly propagate in to estimation of groundwater or NNBW withdrawals. Please see the revised manuscript (**lines 353 to 359**).

14- P8319, L10, "Impacts assessment and water security studies": It is not very clear what kind of impacts on what are discussed here. For example, the reservoirs influence not only the surface water/energy budget, but also sedimentation (e.g. Syvitsky et al., 2005), ecosystem (Vörösmarty et al., 2010). These issues are not mentioned here.

Many thanks for your comment. In order to avoid further confusions and focus only on the main objective of the paper, we extensively revised this section according to you comment. Please see the revised manuscript (**lines 87 to 108 and 484 to 557**).

15- P8322, L23, "Computational complexities": Personally, I am not very much convinced by this sub-section. It is quite subjective to discuss what is computationally "complex" or "expensive". I am wondering whether this subsection is necessary.

Many thanks for your comment. We removed this subsection; but we modified and incorporated some of the discussion in Section 5.2, which is now dedicated to problems related to online simulations and including groundwater. Please see the revised manuscript (**lines 671 to 681**).

16- P8326, L23, "implement the operation at finer temporal resolution (sub-hourly to few hours rather than daily and monthly)": I am wondering why such finer temporal resolution is needed. The atmospheric processes and reservoirs are primarily connected by the water surface of reservoirs. More specifically, the area and temperature of surface water, if I understood correctly. In most cases, both of them vary slowly, hence the reservoir operation in online modeling might not request such a fine temporal resolution. What I think more important here is that the river inflow to reservoirs by online simulation includes substantial bias compared to offline ones, particularly when it is not assimilated. A fundamental problem here seems to be how to represent reservoirs in a robust manner while the inflow simulation is highly unreliable. An old saying goes "garbage in garbage out".

You are right. This was inaccurate in our discussion and we highly appreciate your careful review of our paper. We revised the discussion accordingly. Please see the revised manuscript (**lines 756 to 769**).

17- Table 1, "Demand-supply dependency": upstream reads downstream.

Many thanks for your comment. We revised the column related to “supply-demand dependency”. Please see the revised manuscript (**Table 1, page 55**).

18- Table 2, "Host model": H07 reads H08 (Hanasaki et al. 2008), and PCR-GLOBW reads PCR-GLOBWB (PCRaster Global Water Balance).

Many thanks for your comment. We corrected these typos. Please see the revised manuscript (**Table 2, page 56**).

19- Table 2 "Discharge data": Does it show the validation data used in earlier studies? It is a bit confusing because many of studies simulated discharge by their models.

Many thanks for your comment. Yes they are mainly for validation except for Wu and Chen (2012) that we indicated that. We added “Validation” before discharge data to avoid confusion. Please see the revised manuscript (**Table 2, page 56**).

III. Point-to-point reply to Anonymous Reviewer #2

We greatly appreciate Anonymous Reviewer #2 for their positive, constructive and thoughtful comments, which led to substantial improvements in the revised version of our manuscript. In the following, the issues raised are addressed point-by-point in the order they are asked. The reviewers’ comments are numbered; our reply to each comment is shown immediately below the comment in blue.

1- I would agree with reviewer #1 that there are a couple of erroneous statements which could be verified by the different modelers.

Many thanks for your suggestion. As indicated in our reply to reviewer #1, we took all reasonable steps to ensure accurate representation of the schemes reviewed. We contacted the main developers. Some of the developers have kindly come back to us and we included their comments into the revised version.

2- the last section suggesting a modeling and testing framework (5.6) seems limited in comparison to the first sections (2,3,4) describing the existing processes. The framework is not put in perspective with respect to the modeling suggestions made in the section 5 subsections. A case study of the suggested framework with one of the example suggested in earlier 5.s section would validate that framework. The point is that if a framework is being suggested in a paper, readers will expect a case study in order to get convinced that this is sound and feasible, even though the paper is already pretty long.

Many thanks for your comment. We try to majorly extend this section using your comments. Please see the revised manuscript (**lines 820 to 928**) In particular, we added a table to summarize the suggested modelling improvements and the spatial and temporal scales at which this is meaningful, and the data required to make it possible in terms of parameterization and validation. We have also added a new figure on how to approach the suggested framework in a sequential manner. We included a very brief discussion on the activities we are currently doing in terms of benchmarking reservoir operation algorithms in the Saskatchewan River Basin, which is a WCRP-RHP. However, we did not provide any detail or simulation results as our investigation is not yet fully finalized and we plan to publish our result in another manuscript.

3- There is a lot of information, which comes in text, and might seem unorganized and sometimes even in opposition to previous call for improvement (especially computational burden and mismatch in space and time scales between LSS, GHS, and management models for example). I would suggest a summary table which specifies for all the suggested improved modeling, the spatial and temporal scales at which this is meaningful, and the data required to make it possible in terms of parameterization and validation at least. I think that this process would make the manuscript easier to properly cite and useful for directions in research.

Many thanks for your comment. We added a new table (**Table 4; see page 58 in the revised manuscript**) in the beginning of Section 5.6 to summarize the suggested modelling improvements and the spatial and temporal scales at which this is meaningful, and the data required to make them possible in terms of parameterization and validation. Please see the revised manuscript (**lines 821 to 837 and Table 4, page 58**).

4- Section 3.3.1: Voisin et al. (2013) actually combines release targets with storage targets, ~ rule curves.

Many thanks for your comment. We consulted with the original article and revised the related discussion accordingly. Please see the revised manuscript (**lines 328 to 334**).

5- Section 3.3.2: Although there are advantages to using optimization-based algorithms, the computational burden and need of forecast demand and inflow makes it inappropriate for full online coupling. It is unclear in the paper how the authors see further research on how to integrate them in their vision of future research.

You are absolutely right and we have also noted this in the manuscript and suggested simulation-based algorithms to move forward, especially towards online simulations. However, we feel that we still need to review the existing algorithms for completeness of our review and discuss the pros and cons of both simulation-based and optimization-based algorithms in detail. Moreover, optimization algorithms would be valuable for offline simulation, particularly for integrated impact assessments. We tried to highlight this throughout the revised text. Please see the revised manuscript (e.g., **lines 388 to 393 and 756 to 759**).

6- Section 4: GHMs are used for hydrological application because their hydrology processes are more complex and allow for some calibration. Reservoirs have fixed characteristics and the main driver of uncertainty for reservoir modeling is the bias in the inflow (Muller Schmied et al. 2014). This would need to be put in perspective in terms of direction of research, in the sense that there is a workflow in the modeling improvement; Some things need to be improved first before we can improve other concepts. The idea of workflow could be introduced in the summary table suggested above.

Many thanks for your comment and the reference you introduced. We have incorporated the reference in Section 4, where we discuss the uncertainty related to the inflow to the reservoir. Please see the revised manuscript (**lines 526 to 529 – please also see lines 530 to 535**). We have also suggested a sequential framework to approach model development and testing framework suggested in Figure 2. More specifically, Figure 3 divides the model development into four sequential steps related to (1) benchmarking individual algorithms, data support and host models; (2) building various settings for offline simulations; (3) further improvements and configuring data, algorithms and host models for online simulations; and (4) building various setting for online simulations. Please see the revised manuscript (**lines 889 to 900 and Figure 3, page 61**).

7- Section 5.4: Even in local see regional operational water resources management, different decision support systems are used for handling events at different time scales: i.e. hydropower with a 5 minute market, floods with subhourly to hourly time step, and monthly seasonal water supply. The suggestion to move large scale water management to a sub hourly time scale seems i) irrelevant and ii) in contrast with the need of data for calibration when operation are driven by the market for example, and in contrast with the need to balance computational needs.

Many thanks for your careful reading of our paper. You are absolutely right and the discussion was irrelevant. We have revised the section and also included your discussion on the decision support system in the following call for investing on system identification frameworks. Please see the revised manuscript (**lines 756 to 769 and 784 to 786**).

8- The demand-supply dependency term of “upstream” is confusing. The dependence links the grid to places where water can be withdrawn, i.e. the grid and a couple of reservoir upstream. But those reservoirs are not defined at “ 5 grid upstream”. Rather, the dependent grid cells are downstream from a reservoir and within 5/10 grid/ 200 km from the impounded river (downstream). Please clarify.

Many thanks for your comment. This issue was noted by reviewer #1 as well. We revised the column to avoid further confusion. Please see the revised manuscript (**Table 1, page 55**).

9- Entries for Voisin et al. are inaccurate: “Dynamic priority in operation” should be changed to irrigation, flood control, hydropowers and others.

Many thanks for careful reading of our paper. We corrected the Table 1 accordingly. Please see the revised manuscript (**Table 1, page 55**).

10- The source of data for Voisin et al. (2013a,b) include USGS, USBR and GRDC as in Haddeland et al. There should be another row for Voisin et al. (2013b) which actually used the Community Land Model (CLM) instead of VIC.

Many thanks for your comment. We included the data sources in the table and added a new row for Voisin et al (2013b). Please see the revised manuscript (**Table 2, page 56**).

1 On inclusion of water resource management in Earth System 2 models – Part 2: Representation of water supply and 3 allocation and opportunities for improved modeling

4
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10 **Abstract**

11 Human water use has significantly increased during the recent past. Water withdrawals, from
12 surface and groundwater sources have, altered terrestrial discharge and storage, with large
13 variability in time and space. These withdrawals are driven by sectoral demands for water, but are
14 commonly subject to supply constraints, which determine water allocation. Water supply and
15 allocation, therefore, should be considered together with water demand and appropriately included
16 in Earth System models to address various large-scale effects, with or without considering possible
17 climate interactions. In a companion paper, we review the modelling of demand in large-scale
18 models. Here, we review the algorithms developed to represent the elements of water supply and
19 allocation in Land Surface Models and Global Hydrologic Models. We noted that some
20 potentially-important online implications, such as the effects of large reservoirs on land-
21 atmospheric feedbacks, have not yet been addressed. Regarding offline implications, we find that
22 there are important elements, such as groundwater availability and withdrawals, and the
23 representation of large reservoirs, which should be improved. Major sources of uncertainty in
24 offline simulations include data support, water allocation algorithms and host large-scale models.
25 Considering these findings with those highlighted in our companion paper, we note that
26 advancements in computation as well as natural and anthropogenic process representations, host
27 models, remote sensing and data assimilation can facilitate improved representations of water
28 resource management at larger scales. We further propose a modular development framework to

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38 consider and test multiple options for data support, algorithms and host models in an integrated
39 model diagnosis and uncertainty assessment framework. We suggest that such a framework is
40 required to systematically improve current representations of water resource management in large-
41 scale models that are relevant to Earth System modeling. A key to this development is the
42 availability of regional scale data. We argue that the time is right for a global initiative, based on
43 regional case studies, to move this agenda forward.

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45 1 Introduction

46 The water cycle is fundamental to the functioning of the Earth System and underpins the most
47 basic needs of human society. However, as noted in our companion paper (hereafter referred to as
48 Nazemi and Wheeler, 2014a), the current scale of human activities significantly perturbs the
49 terrestrial water cycle, with local, regional and global implications. Such disturbances affect both
50 hydrological functioning and land-atmospheric interactions, and therefore, should be explicitly
51 represented in large-scale models. We consider both Land Surface Models (LSMs) and Global
52 Hydrologic Models (GHMs). LSMs generally represent water, energy and carbon cycles, and can
53 be coupled with climate models (i.e. online simulations) for integrated Earth System modeling, or
54 uncoupled from climate models (i.e., offline simulations) for large-scale impact assessment.
55 GHMs are also run in uncoupled mode for impact assessment; however, they have much less detail
56 and focus exclusively on the water cycle. In this pair of papers we focus on the representation of
57 water resources management in these large-scale models, considering water quantity rather than
58 water quality. We note that while historically the effects of water management have largely been
59 neglected in LSMs and GHMs, there has been increasing interest in recent years in their inclusion
60 and a common first step is to estimate the demand for water, in particular associated with irrigation.
61 However, in practice water resource systems are often complex, and associated infrastructure may
62 have competing functional requirements and constraints (e.g. flood protection, water supply,
63 environmental flows, etc.), exacerbated during drought. In this paper, we turn to the issues around
64 water supply and allocation and associated representations in large-scale models.

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65 Major implications are associated with water supply from surface and ground water sources. For
66 instance, large dams and reservoirs can significantly modify downstream streamflow
67 characteristics (e.g., Vörösmarty et al., 2003, 2004; Oki and Kanae, 2006; Wisser et al., 2010;

90 Tang et al., 2010; Tebakari et al., 2012; Lai et al., 2013; Lehner and Grill, 2013) with large regional
91 variability (see e.g., Pokhrel et al., 2012a). Considering that almost all major river systems in the
92 Northern Hemisphere (except for the arctic and sub-arctic regions) are dammed (e.g., Meybeck,
93 2003; Nilsson et al., 2005), it can be argued that accurate simulation of **continental and** global
94 runoff is impossible without considering the effects of reservoirs. Such hydrologic impacts and
95 associated environmental consequences can be studied through offline **LSMs** or GHMs (see e.g.,
96 Döll et al., 2009). There are, however, important implications that require online **simulations**. For
97 instance, it has been argued that large dams can have important footprints on surface energy
98 (Hossain et al., 2012), with associated effects on land-surface boundary conditions and potential
99 interactions with local and regional climate (MacKay et al., 2009). For understanding these effects,
100 online LSMs, coupled with climate models are required to provide quantitative knowledge of the
101 extent of such impacts in time and space.

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102 Groundwater resources have been also exploited during the “Anthropocene”. Every year, a large
103 amount of groundwater is pumped to the land-surface for both irrigative and non-irrigative
104 purposes (e.g., Zektser and Lorne, 2004; Siebert et al., 2010). **Such extractions** **have** already
105 caused large groundwater depletions in some areas (Rodell et al., 2007, 2009; Gleeson et al., 2010,
106 2012; Döll et al., 2014) and changed the surface water balance due to return flows from demand
107 locations to river systems and ultimately to oceans (e.g., Lettenmaier and Milly, 2009; Wada et
108 al., 2010; Pokhrel et al., 2012b). In parallel, a considerable proportion of the surface water, **diverted**
109 into the irrigated lands, **may** recharge groundwater (Döll et al., 2012). Also, from a broader
110 perspective, groundwater aquifers (particularly shallow groundwater) can be also an important
111 control on soil moisture and wetlands, and thus influence atmospheric surface boundary conditions
112 (e.g., Maxwell et al., 2007, 2011; Fan and Miguez-Macho, 2011; Dadson et al., 2013). These online
113 effects are widely unquantified at the global scale, as the sub-surface processes below the root
114 zone have been generally assumed to be disconnected from the atmosphere (see Taylor et al.,
115 2013).

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116 In addition to the importance for simulations of terrestrial runoff and storage as well as **feedbacks**
117 **to** regional and global climate, representing water allocation practice in large-scale models **is**
118 urgently required to address various emerging water security concerns **including human water**
119 **supply** (e.g. Postel, 1996), **ecosystem health** (e.g. Vörösmarty et al., 2010), **sedimentation** (e.g.
120 **Syvitsky et al., 2005) and water quality** (e.g. Skliris and Lascaratos, 2004). These **latter** areas are,

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131 beyond the scope of this paper, but highlight the need for representing human water allocation in
 132 large-scale models for regional and global impact assessments. For instance, the most densely-
 133 populated parts of the globe suffer from extremely fragile water supply conditions (e.g., Grey et
 134 al., 2013; Falkenmark, 2013; Schiermeier, 2014) and this will be amplified under future climate
 135 change and population growth (e.g., Arnell, 2004; Wada et al., 2013b; Rosenzweig et al., 2013).
 136 While population growth directly affects water demand, indirect effects include changing land and
 137 water management, with associated impacts on the aquatic environment. Similarly, climate change
 138 is expected to perturb both water demand and supply, as it also results in greater seasonal and inter-
 139 annual variability with increase in the risk of extreme conditions (e.g., Dankers et al., 2013;
 140 Prudhomme et al., 2013). Looking to the future, Yoshikawa et al. (2013) argued that current
 141 sources can only account for 74 percent of the global net irrigation requirements of the 2050s and
 142 supply/demand imbalance will cause a major increase in global water scarcity (Alcamo et al., 2007;
 143 Hanasaki et al., 2008a, b, 2013a, b; Schewe et al., 2013). In water-scarce condition, competition
 144 for water resources becomes increasingly important and the details of water allocation practice
 145 play a key role in the spatial and temporal distribution of water stress. These issues necessitates
 146 adaptation strategies to mitigate the effects of water stress and extreme conditions and large-scale
 147 models are, therefore, required to assess the effects of various global changes and to examine the
 148 impact of alternative management strategies.

149 Representation of water allocation practice introduces a set of issues associated with management
 150 and societal preferences, local and regional differences in decision making, complexity of water
 151 resources systems (particularly at larger scales), as well as lack of data support. At local and basin
 152 scales, water allocation practice is mainly defined as an optimization problem, in which the aim
 153 is to minimize the adverse effects of water shortage and/or to maximize the economic benefits of
 154 the water resource system. The advent of search algorithms such as Linear Programming (Dantzig,
 155 1965), Dynamic Programming (Bellman, 1952) and Genetic Algorithms (Goldberg, 1989) has
 156 resulted in a wide variety of operational models for water resource management at small basin-
 157 scale (e.g., Rani and Moreira, 2010; Hossain and El-shafie, 2013; see Revelle et al., 1969 for the
 158 early developments). These small-scale water allocation models, however, typically do not include
 159 processes related to water supply and demand and receive these variables as prescribed inputs.
 160 Moreover, small-scale operational models often require detailed information about policy
 161 constraints and operational management. This information is not generally available over larger

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- Deleted: Current impact assessment studies, however, focus mainly on measuring the annual difference between natural water availability and projected demand as an indicator of water scarcity. This is a narrow interpretation as in water-scarce conditions,
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191 regions and at the global scale. Even if all related information were to be available, the level of
192 complexity within small-scale operational models cannot be supported globally due to high
193 dimensionality in decision variables and computational burdens. These restrictions have gradually
194 resulted in the development of macro-scale algorithms to represent water allocation practice and
195 competition among demands at regional and global scales.

196 The main objective of this paper is to overview the current literature and to identify the state of
197 available methods and applications for large-scale representations of water supply and allocation
198 in LSMs and GHMs, with relevance to both Earth System modeling and regional and global water
199 management. Section 2 addresses the representation of surface and ground water sources. Section
200 3 discusses the linkage between available sources and prescribed demands (see Nazemi and
201 Wheater, 2014a) through macro-scale allocation algorithms. Section 4 reviews current large-scale
202 modeling applications and discusses the quality of available simulations. Section 5 merges the
203 findings of Nazemi and Wheeler (2014a) with those obtained in Sections 2 to 4, and highlights
204 current gaps and opportunities from an integrated water resources, hydrology and land-surface
205 modeling perspective. This is finalized by suggesting a systematic framework for model
206 development and uncertainty assessment to guide future efforts in inclusion of water resource
207 management in large-scale models. Section 6 closes our survey and provides some concluding
208 remarks.

209

210 **2 Available representations of water sources in large-scale models**

211 **2.1 Lakes and reservoir**

212 Natural lakes and man-made reservoirs cover more than 2 percent of the global land surface area
213 except for Antarctica and glaciated Greenland (Lehner and Döll, 2004). Lakes and reservoirs are
214 important water sources due to their ability to store and release surface water for human demand.
215 While natural lakes have been historically an important water source for human civilization, man-
216 made reservoirs have been mainly constructed since the last century. Currently, there are more
217 than 16 million reservoirs worldwide (Lehner et al. 2011), retaining around 20 percent of the
218 annual runoff and 10 percent of the total volume of the world's freshwater lakes (Gleick, 2000;
219 Meybeck, 2003; Wood et al., 2011). This makes an important global water resource: Yoshikawa

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228 [et al. \(2013\)](#) estimated that reservoirs allocated 500 cubic kilometers only for irrigation during the
229 [year 2000, worldwide](#).

230 [From the large-scale modeling perspective, lakes and reservoirs](#) introduce heterogeneity into land-
231 [surface parameterizations, with both offline and online implications. To represent these open water](#)
232 [bodies, first they should be identified at the grid and sub-grid scales.](#) The [availability of basic data](#)
233 for larger [lakes and reservoirs](#) is relatively good (see [Lehner and Döll, 2004 for a comprehensive](#)
234 [list of data sources](#)). For instance, [the Global Lakes and Wetlands Database \(GLWD;](#)
235 [http://www.worldwildlife.org/pages/global-lakes-and-wetlands-database\)](#) includes more than 250,000
236 [lakes globally. In addition, the International Commission of Large Dams \(ICOLD;](#)
237 [http://www.icold-cigb.net/\)](#) and Global Reservoir and Dam (GRanD; [http://www.gwsp.org](#)
238 [/products/grand-database.html\)](#) [databases](#) contain information about the location, purpose and
239 capacity of 33,000 and 7000 large dams, [worldwide](#). However, [to estimate evaporation, as well as](#)
240 [storage and release,](#) more specific physical characteristics, [such as,](#) storage-area-depth
241 relationships, [are required.](#) These data are [generally](#) not available [and](#) parametric relationships
242 have been used for approximating these properties based on [various](#) assumptions (e.g., Takeuchi,
243 1997; Liebe et al., 2005). Nonetheless, at this stage of model development, reservoir simulations
244 cannot be directly verified, due to the lack of observations [of](#) reservoir level and storage (Gao et
245 al., 2012). These data limitations may be largely solved in [a](#) relatively near future by upcoming
246 satellite missions – see the discussion of Section 5.3 below.

247 Depending on their size, [lakes and reservoirs](#) can be represented [either](#) within channel or sub-grid
248 routing components of host large-scale models. While larger [lakes and reservoirs,](#) are normally
249 represented within the river routing component and regulate the channel streamflow, smaller
250 [bodies,](#) are mainly considered within sub-grid parameterizations as an additional pond (e.g., [Döll](#)
251 [et al., 2003;](#) [Wisser et al., 2010](#)). [Ideally, natural lakes and reservoirs should differ in their](#)
252 [representation due to human management.](#) If human management is neglected, reservoir releases
253 can be [represented](#) similar to natural lakes using simple parametric equations that link the reservoir
254 release to reservoir storage (or level) (e.g., Meigh et al., 1999; Döll et al., 2003; Pietroniro et al.,
255 2007; Rost et al., 2008). Lake algorithms, however, have [had](#) limited success in highly regulated
256 basins. [This](#) is rather intuitive: for natural lakes, the dynamics of lake storage (and hence discharge)
257 are regulated by climate and inflow variability, whereas the dynamics of reservoir discharge (and
258 hence storage) are mainly controlled by pressures of downstream demands and management

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Deleted: There are more than 16 million reservoirs worldwide (Lehner et al. 2011), retaining around 10-20 percent of the annual runoff and 5-10 percent of the total volume of the world's freshwater lakes (Gleick, 2000; Meybeck, 2003; Wood et al., 2011). Reservoirs are important water supply for supporting global irrigation. Yoshikawa et al. (2013) estimated that 500 cubic kilometers was allocated for irrigation by reservoirs during the year 2000.

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291 decisions. Moreover, reservoirs are often multi-functional and deal with competing demands with
292 varying priority in time; therefore, simple lake routing algorithms are unable to fully describe
293 reservoir functionality. Alternatively, macro-scale algorithms for reservoir operation are
294 suggested, which attempt to link reservoir releases to inflows, storage and prescribed human
295 demands considering water allocation objectives – see Section 3.3.

296 Considering online implications, the effects of dams on near-surface energy and moisture
297 conditions and hence land-atmospheric feedbacks can be important for large reservoirs (Hossain
298 et al., 2012). Addressing this issue using coupled LSMs is currently a major gap in the literature
299 and exhibits a challenging problem at the grid scale, since the contribution of dams on the local
300 climate can be masked by regional climate variability and surrounding land cover (e.g., Zhao and
301 Shepherd, 2011).

302 2.2 Streamflow diversions and inter-basin water transfers

303 Streamflow diversions of any magnitude require dams or barrages. At smaller scales, these include
304 in-basin water transfers from local streams to nearby demands. In-basin diversions are often
305 represented in large-scale models by instantaneous abstractions (e.g., Hanaski et al., 2008a, 2010;
306 Döll et al., 2009). Hydrologic routing can be alternatively considered for improved representation
307 (e.g., Wisser et al., 2010). It should be noted that a proportion of the diverted flow normally returns
308 to the river systems. Heuristic algorithms have been advised to mimic the mechanism of diversion
309 based on returning the excess water to the river with some lag. Biemans et al. (2011) for instance
310 represented the dynamics of diverted/return flows for irrigated areas by making water available
311 for consumption for 5 days; if unused, it is released back to the river. This can have an important
312 implication for differentiating between the actual use and total withdrawals, in case water is over-
313 allocated.

314 Inter-basin water transfers normally involve major infrastructure and can significantly perturb the
315 regional streamflow regime. For instance, proposed South to North water transfer schemes in
316 China (see Liu and Zheng, 2002; Liu and Yang, 2013) would divert 44.8 billion cubic meters of
317 water annually (<http://www.internationalrivers.org/>). The associated hydrological impacts are
318 estimated to be as, or more significant than, land-use and/or land-cover changes (Liu et al., 2013).
319 Inter-basin water transfer can be adequately represented by hydrologic routing. Examples are

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326 available for some regional applications (e.g., Nakayama and Shankman, 2013a, b; Ye et al.,
327 2013); however, efforts to represent long-distance diversions at the global scale are limited. This
328 is mainly due to data issues regarding the location and specification of diversion channels globally.
329 This could be largely resolved in future due to improvements in remote sensing observations – see
330 the discussion of Section 5.3 below.

331 2.3 Groundwater

332 Even large-scale models with detailed water resource management schemes have limited
333 representation of groundwater availability (see Table 1), largely due to the limitations in data
334 related to groundwater storage, withdrawals and sub-surface properties as well as computational
335 difficulties. There have been some efforts to include groundwater in LSMs to describe the aquifer
336 dynamics, land-atmospheric feedbacks and watershed responses, mainly at basin and small
337 regional scales (e.g., Maxwell and Miller, 2005; Maxwell et al., 2005, 2007, 2011; Kollet and
338 Maxwell, 2008; Ferguson and Maxwell, 2010; Miguez-Macho and Fan, 2012). These studies
339 consider a physically-based groundwater store, which can be updated at each modeling time step
340 using a 3D representation of groundwater movement, and linked to land-surface calculations
341 through soil moisture dynamics. Such representations are computationally expensive and limited
342 at the global scale, since temporal and spatial domains should be finely gridded for accurate
343 representations of groundwater movement and soil-moisture interactions, particularly in online
344 studies. To the best of our knowledge, no online study characterizing the feedback effects between
345 groundwater management and climate, is available at the global scale. Offline representation of
346 groundwater management has mainly been performed in the context of GHMs and involves
347 estimation of available groundwater storage, sub-grid groundwater recharge and groundwater
348 withdrawals. In this section, we focus on groundwater availability and recharge and leave the
349 discussion related to groundwater withdrawals to Section 3.2.

350 In current representations, often groundwater availability in general, or the nonrenewable and
351 nonlocal blue water (NNBW) in particular, is assumed as an unlimited local source (e.g., Rost et
352 al., 2008; Biemans et al., 2011; Pokhrel et al., 2012a,b), NNBW is a technical term defined as an
353 "imaginary" source that implicitly accounts for nonrenewable fossil groundwater or other water
354 sources that are not explicitly represented in the model. This can cause major uncertainties in
355 estimation of actual withdrawals (see Section 3.2). Efforts have been made to improve this

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367 assumption. For instance, Strzepek et al. (2012) bounded groundwater availability by considering
368 a threshold for groundwater allocation. Wada et al. (2013a) proposed a conceptual linear
369 groundwater reservoir, parameterized globally based on lithology and topography, to estimate the
370 groundwater availability at the grid-scale using the baseflow proxy. Although this conceptual
371 representation provides an efficient scheme for global simulations, it ignores the baseflow
372 reduction due to groundwater depletion. In a more recent attempt, Döll et al. (2014) continuously
373 simulated the daily groundwater storage using the difference between groundwater recharge and
374 the sum of baseflow and net groundwater abstraction, with base flow declining with decreasing
375 groundwater storage. Both algorithms, however, do not consider inter-grid lateral groundwater
376 movement, which is an important contributor of water availability across various scales. Although
377 lateral groundwater movement is widely studied in aquifer studies at smaller basin and regional
378 scales (e.g., Ye et al., 2013), it is currently a key missing process representation at larger regions
379 and global scales (Taylor et al., 2013).

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380 Groundwater recharge includes the movement of water from the unsaturated soil zone to a
381 saturated groundwater body. There are a number of approaches to represent the vertical water
382 movement in large-scale models, including heuristic methods (e.g., Döll et al., 2003), conceptual
383 “leaky-buckets” (e.g., Wada et al., 2010), or numerical solutions of the physically-based Richards’
384 equation (Best et al., 2011; D. B. Clark et al., 2011). These approaches are based on various
385 assumptions and are subject to large uncertainties. Heuristic schemes relate the recharge rate to
386 surface runoff, using a set of parameters based on catchment, soil and aquifer characteristics. These
387 representations are often simplistic and may result in large estimation errors, particularly in arid
388 and semi-arid regions (Polcher et al., 2011). Conceptual approaches widely assume a steady-state
389 condition and use the unsaturated hydraulic conductivity to represent groundwater recharge with
390 or without considering capillary rise (van Beek and Bierkens, 2008; Wada et al., 2010; van Beek
391 et al., 2011; Wada et al., 2013a; Ye et al., 2013). In a global study, Wada et al. (2012) used this
392 approach to account for additional recharge from irrigated lands based on the unsaturated hydraulic
393 conductivity at the field capacity. This can be important for representing the excess water diverted
394 from both surface and groundwater sources. Although conceptual representations are efficient for
395 large-scale studies, still limitations remain in these schemes due to large heterogeneities in soil
396 characteristics, a common assumption of steady-state recharge rate, as well as the inherent
397 uncertainty associated with soil hydraulic properties. The physically-based approaches remove the

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401 steady-state assumption; nonetheless as discussed above, they require a detailed numerical scheme
402 for solving a highly non-linear partial differential equation. This is subject to various
403 computational difficulties at larger scales, and invariably there is a gap between the scale for which
404 Richards' equation was developed and the scale at which it is implemented in [large-scale](#)
405 groundwater and hydrologic models (Beven, 2006a; Gentine et al., 2012).

406 **2.4 Desalination and water reuse**

407 Water reuse and desalination are currently minor water resources at the global scale and have been
408 widely ignored in large-scale models. Nonetheless, it should be noted that these water sources have
409 local relevance and are important in several water-limited regions (Wade Miller, 2006; Pokhrel et
410 al., 2012a). Wada et al. (2011) estimated that annual desalinated water use is around 15 cubic
411 kilometers globally, of which Kazakhstan uses 10 percent of the total volume. Desalinated water
412 availability can be estimated using a bottom-up approach based on the information available about
413 treatment and water reuse capacity at the grid-scale (Strzepek et al., 2012). These data, however,
414 are limited and uncertain globally. Alternatively, top-down approaches try to downscale the
415 countrywide water reuse data. Wada et al. (2011, 2013a), for instance, downscaled the countrywide
416 data on water reuse and desalination using a gridded population map. Considering that water reuse
417 and desalination will likely be more important in future due to increased water scarcity at the global
418 scale, we suggest more effort in representing these sources, including data collection to support
419 future algorithm developments – [see Section 5.3 below](#).

420

421 **3 Available representations of water allocation in large-scale models**

422 Water allocation distributes the available water sources among competing demands and should
423 typically include a set of management decisions to systematically (1) link the prescribed demands
424 to available sources of water; (2) determine allocation objectives as well as priorities in case of
425 water shortage; and (3) withdraw the available water based on operational objectives and
426 management constraints. At this stage of model development, there are limited examples for
427 representation of water allocation at larger scales. These studies are offline and have multiple
428 sources of uncertainty. Table 1 summarizes some examples from the recent literature. In this

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430 section, we briefly discuss the main requirements and available algorithms for representing the
431 water allocation in large-scale models.

432 3.1 Main requirements

433 The first basic requirement is to identify which sources are available to supply the water demands
434 within each computational grid. The majority of current allocation schemes assume that grid-based
435 demands can be supplied from the sources available within the grid locally. This assumption is
436 intuitive and easy to implement, however, it naturally ignores long distance water transfers.
437 Various modifications have been proposed to overcome this limitation. Relative elevation and
438 travel time of water from source to demand have been used to condition demands to available,
439 sources upstream. For example, Hanasaki et al. (2006) assumed that large reservoirs can supply
440 downstream demands that are located within 1100 km (based on a travel time of 1 month).
441 Similarly, Wada et al. (2011) considered a criterion of approximately 600 km and Biemans et al.
442 (2011) 250 km. These rules are evidently simplistic but can be easily implemented. They also
443 generally assume steady-state conditions, so that the allocated water can be simply abstracted from
444 the source and added at the demand location at the same time step. Alternatively, routing schemes
445 can provide a more accurate basis for representing the water delivery and avoid this limitation –
446 see the discussion of Section 5.5 below.

447 The second important issue is to determine objectives of and priorities for water allocation,
448 particularly during shortage. In the absence of access to local operating rules, this requires defining
449 a set of generic rules to assign the relative preference of each demand and to define the purpose of
450 water allocation. Both Irrigative (e.g., Rost et al., 2008; Döll et al., 2009; Wada et al., 2013a) and
451 non-irrigative demands (e.g., Hanasaki et al., 2008a; Strzepek et al. 2010, 2012; Blanc et al., 2013)
452 have been given the highest priority. In cases where multiple demands with the same priority are
453 derived from a unique source of water, the deficit is typically shared proportionately to the
454 demands (e.g., Biemans et al., 2011). Based on priorities and assumptions made regarding water
455 availability, several allocation objectives have been used (see Table 1). It should be noted that
456 water resource management is commonly multi-purpose and allocation objectives and priorities
457 can change within a typical operational year. For example, many reservoirs are designed for two
458 conflicting objectives, i.e. irrigation supply and flood control. To account for this, Voisin et al.
459 (2013a) used rule curves to specifically drop the reservoir storages before snowmelt starts while

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473 ~~maintaining the storage in the reservoir to provide releases for irrigation, water supply and~~
474 ~~hydropower in the remaining part of the year. More specifically, they developed flood control~~
475 ~~storage targets to complement the irrigation release targets, with mass balance conservation. They~~
476 ~~also allowed for a linear drop in storage as a device to represent the operational balance between~~
477 ~~maintaining storage and releasing flow for hydropower purposes.~~ They showed that this
478 modification can improve the simulation of regulated flow and maintain the spatiotemporal
479 consistency of reservoir levels.

480 Finally, allocation algorithms are required to estimate groundwater abstractions and reservoir
481 releases at each simulation time step based on allocation objectives and priorities. Groundwater
482 abstraction algorithms are generally limited, due to significant gaps in information about
483 groundwater availability and actual groundwater withdrawals at the global scale. Although current
484 data availability for reservoir levels and storages is also poor, runoff data are relatively available
485 regionally and globally, which can be used for algorithm development and performance
486 assessment through comparison of simulated and observed discharges downstream of reservoirs.
487 Apart from local or national data, data of the Global Runoff Data Centre (GRDC;
488 <http://www.bafg.de/GRDC/>) have been widely used for validation of macro-scale reservoir
489 operation algorithms.

490 3.2 Grid-based groundwater abstractions

491 Groundwater abstractions include both sustainable and unsustainable water uses. While
492 sustainability of groundwater withdrawals is a complex issue, in particular related to
493 environmental impacts of abstraction, the distinction between these for large-scale applications is
494 generally based on the grid-based groundwater recharge, as any abstraction exceeding recharge
495 rate results in groundwater depletion, and therefore, can be considered as unsustainable. So far,
496 groundwater withdrawals have been estimated through either bottom-up or top-down algorithms,
497 both subject to large uncertainty.

498 In bottom-up procedures, the groundwater abstraction is identified using grid-based estimates of
499 surface and groundwater availability as well as the water demand. If the groundwater and/or
500 NNBW is considered as an infinite sources (Rost et al., 2008; Hanasaki et al., 2010; Wisser et al.,
501 2010; Pokhrel et al., 2012a,b), then the groundwater or NNBW abstraction is equal to estimated

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515 demand minus estimated water availability at the grid scale. In this case, priorities are not
516 inherently considered; however NNBW has the advantage that it explicitly accounts for the water
517 that should come to the system from outside the modeled domain. If the groundwater availability
518 is bounded at the grid or basin scale, then the maximum groundwater withdrawal cannot exceed
519 the local groundwater availability (e.g. Strzepek et al., 2012; Wada et al., 2013a); however, errors
520 in estimations of surface water availability and water demands can still directly propagate into
521 estimation of groundwater withdrawals.

522 Top-down approaches are based on using recorded regional groundwater withdrawals or
523 downscaling national groundwater abstractions data to finer spatial scales. Siebert et al. (2010)
524 created a global data for irrigation water supply from groundwater abstractions based on FAO-
525 AQUASTAT (<http://www.fao.org/nr/water/aquastat/main/index.stm>) and other census and sub-
526 national data. In an another effort, Wada et al. (2010, 2012) used the data of the International
527 Groundwater Resources Assessment Center (IGRAC; www.igrac.net) to estimate the countrywide
528 groundwater use for year 2000. These estimates were further downscaled to 0.5°×0.5° grids, based
529 on a global map of yearly total water demand. In a countywide study, Blanc et al. (2013) used the
530 groundwater withdrawal data of the USGS for the year 2005 (USGS, 2011) and repeated the data
531 for every year of simulation. These approaches are also limited by the fact that the actual
532 groundwater pumping might be considerably more than the recorded data (e.g., Foster and Loucks,
533 2006; Wada et al., 2012) and groundwater withdrawals can have considerable inter-annual
534 variability. Current and upcoming remote sensing technologies can address some of the issues
535 around groundwater data availability – see Section 5.3 below.

536 3.3 Macro-scale reservoir operation

537 Current macro-scale reservoir operation algorithms are designed for offline applications and
538 included in large-scale models for characterizing the impacts of reservoirs on terrestrial water
539 storage, runoff and water security. These algorithms can be roughly divided into two general
540 categories based on either simulating the reservoir release using a set of prescribed operational
541 rules or using search algorithms to find optimal reservoir release. In brief, simulation-based
542 schemes are based on a set of functional rules that use initial storage as well as inflows and demand
543 pressure during a typical operational period to simulate releases during the operational period. In
544 contrast, optimization-based algorithms search for optimal releases at each time step given an ideal

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550 storage at the end of the operational year, storage at the beginning of the year and forecast inflows
551 and demands during the year. Naturally, optimization-based algorithms are more computationally
552 expensive; nonetheless, they are more suitable for evaluating competition among water demands
553 and effects of policy change, due to the ability to explicitly include multiple allocation objectives
554 to guide the search for optimal releases. In contrast, simulation-based algorithms are more efficient
555 and can be modified to support online simulations – see Section 5.4. Table 2 summarizes some
556 representative examples from the current literature.

557 **3.3.1 Available simulation-based algorithms**

558 Current simulation-based algorithms are heavily influenced by the work of Hanasaki et al. (2006),
559 which was initially proposed for global routing models but extended to GHMs (Hanasaki et al.,
560 2008a, 2010) and LSMs (Pokhrel et al., 2012a,b). The algorithm distinguishes between operational
561 rules for irrigation and non-irrigation purposes. The algorithm also accounts for both inter-annual
562 variability and seasonality in reservoir releases. In simple terms, the total release in a typical
563 operational year is first determined based on the reservoir capacity, initial storage and the annual
564 mean natural inflow to the reservoir. Second, the monthly fluctuations in the reservoir release are
565 parameterized based on annual mean natural inflow, mean annual demand and the prescribed
566 monthly demand. Note that demands are considered as total water withdrawals rather than
567 consumptive uses. Finally, monthly fluctuations are corrected based on inter-annual variability in
568 total reservoir releases (estimated during the first step) to provide actual monthly reservoir
569 releases. The correction, depending on the purpose and size of reservoir, is based on the ratio of
570 initial reservoir storage to total capacity, the ratio of reservoir capacity to annual mean inflow,
571 and/or the monthly mean natural inflows to the reservoir – see Hanasaki et al. (2006) for related
572 formulations.

573 Hanasaki et al.'s algorithm has been widely used in the recent literature as it provides a generic
574 and flexible framework to represent reservoir operation. Döll et al. (2009) implemented this
575 algorithm for representing operation of large reservoirs within the framework of WaterGAP
576 (Alcamo et al., 2003). They considered some modifications to accommodate losses from the
577 reservoir and to characterize the dynamics of demand pressure on reservoirs based on consumptive
578 uses rather than total water withdrawals. Biemans et al. (2011) modified Hanasaki et al.'s
579 algorithm by extracting the reservoir releases using annual and monthly mean regulated inflows

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581 (rather than corresponding natural flows), limiting the demand pressure only to irrigation and
582 changing the release rules during high demand periods. These modifications were further added to
583 the Joint UK Land Environment Simulator (JULES; Best et al., 2011, Clark et al., 2011a) for
584 offline simulations (Polcher et al., 2011). Voisin et al. (2013a) made a regional intercomparison
585 between various simulation-based algorithms [for](#) the Columbia River Basin and concluded that
586 deriving releases based on withdrawals rather than consumptive uses results in improved
587 simulations of downstream flows. They also indicated that the choice of natural or regulated
588 inflows depends on the severity of the demand pressure and water allocation: If the overall water
589 demand is high with respect to mean annual inflow, it would be better to drive the algorithm with
590 mean monthly regulated inflow; otherwise it is better to use the natural flow, due to large
591 uncertainties associated with water demand estimates, and therefore, regulated flows. Although
592 this study is limited to one region, it provided an assessment of uncertainties in estimating the
593 reservoir releases due to uncertainties in estimating both inflows and water demand – see the
594 discussion of Section 4.

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595 Existing simulation-based schemes are not limited to [the](#) above algorithms. Efforts have been made
596 to simulate the reservoir releases using parametric functions, in which the parameters can be
597 calibrated using observed downstream flows. For example, Wisser et al. (2010) advised a set of
598 functional rules to parameterize the release from large reservoirs using the actual inflow and the
599 long-term mean inflow to the reservoirs. More recently, Wu and Chen (2012) proposed a new
600 algorithm by explicit consideration of operational rule curves, locally specified for each reservoir.
601 In brief, rule curves are a set of pre-defined reservoir levels that divide the total reservoir capacity
602 into different storage zones. These storage zones can be further associated with demands
603 conditioned on the reservoir using various assumptions. The algorithm considers the reservoir
604 operation at a given day as a deviation from mean releases at that day and represents this by a
605 weighted sum of individual variations as the result of allocation for each individual water demand.
606 Demand-specific allocations can be therefore characterized based on rule curves, the available
607 storage, total capacity as well as the history of inflow to the reservoir. Accordingly the total release
608 at any given day can be defined as a parametric function, in which the parameters can be tuned
609 using observed downstream flows. Although, they noted that the operational parameters are
610 inherently time-varying, as the purpose of dam can change with time, a systematic scheme for

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614 dealing with non-stationary parametric estimation has not been provided. This remains for future
615 efforts – see Section 5.4.

616 3.3.2 Available optimization-based algorithms

617 Optimization-based schemes were initially proposed by Haddeland et al. (2006a) and implemented
618 further in Haddeland et al. (2006b, 2007). These algorithms are heavily inspired by small-scale
619 reservoir operation algorithms within the engineering literature, particularly Dynamic
620 Programming (see Voisin et al., 2013a), and strongly rely on estimates of future inflow and
621 demand. Therefore, they are not suitable for online simulations, however they can be valuable for
622 integrated impact assessment over large grids and/or assessment regions in offline mode (see e.g.,
623 Strzepek et al., 2010; 2012; Blanc et al., 2013). In brief, the calculation starts by targeting the
624 reservoir storage at the end of a typical operational year based on forecast demands, but without
625 considering forecast inflows. Then, the minimum release at each daily time step is defined based
626 on the natural streamflow at the dam's location to maintain a minimum flow requirement
627 downstream of the reservoir. Accordingly, the maximum allowable daily release is determined
628 based on simulated daily inflow, minimum release, reservoir storage at the beginning of the day
629 and the targeted storage at the end of operational year. Minimum and maximum releases introduce
630 a feasible release range, where a search algorithm can be used to find the optimal monthly releases
631 that provide the minimum deficit during the year and the least violation from the target storage at
632 the end of the year. Adam et al. (2007) slightly changed this algorithm by considering new
633 thresholds for allowable release and storage and used maximization of hydropower revenue as the
634 objective function for reservoir operation.

635 There are two main issues with the proposed scheme. First, feasible reservoir releases are
636 determined based on forecasts of natural flow at dam location; therefore, the algorithm essentially
637 requires estimating both natural and regulated flow at each simulation time step. Second, a high
638 dimensional search (e.g. 12 releases in the case of a monthly release simulation) must be performed
639 for each operational year, and given the uncertainty in prognostic inflows, this can result in
640 considerable uncertainty in the optimality of actual releases. These issues were noted by van Beek
641 et al. (2011). They modified Haddeland et al. (2006a) algorithm to decrease the complexity and
642 uncertainty associated with the algorithm. Most importantly, they defined the expected inflow for
643 each month prospectively as a function of the flow in the same month of the previous years;

644 therefore, they omitted using prognostic natural flow forecasts. In order to reduce the
645 dimensionality of search, they considered reservoir release as a harmonic function; therefore, only
646 release at beginnings of the release and the discharge periods needed to be determined. As the
647 actual inflow values become available, the release can be consequently updated so that the final
648 storage at the end of release period can meet the predefined target storage. With respect to
649 determining the reservoir inflow based on naturalized or regulated flows, van Beek et al. (2011)
650 noted that either set-ups can be used, depending on how the observed discharge is simulated at the
651 large-scale. This is due to large uncertainties in simulating the regulated runoff – [see the discussion](#)
652 [below](#).

653

654 **4 Current large-scale modeling application**

655 Water supply and allocation schemes reviewed in Sections 2 and 3 have been used in a wide range
656 of [offline](#) applications [for](#) estimation of human impacts on the terrestrial water cycle. [Despite](#)
657 [disagreements between different simulation results, the current literature agrees that the effects of](#)
658 [water allocation are more pronounced at finer spatial and temporal scales. For example, Haddeland](#)
659 [et al. \(2007\) studied the impacts of reservoir operation coupled with irrigation on continental runoff](#)
660 [and argued that water allocation has resulted in 2.5 and 6 percent increase in annual runoff volume](#)
661 [in North America and Asia, respectively. This is almost canceled out by increased evaporation due](#)
662 [to irrigation. Nonetheless, as the analysis moves from global and continental to regional and large](#)
663 [catchment scales, the effects of water allocation become more profound. For instance, while the](#)
664 [mean annual runoff decreased in the western US by around 9 percent during a historical control](#)
665 [period, the rate of decrement is around 37 percent in the Colorado River during the same period](#)
666 [\(Haddeland et al., 2006b\). Similarly, the effects of water allocation are more significant at finer](#)
667 [time scales. For instance, Adam et al. \(2007\) noted that reservoirs have a minor effect on annual](#)
668 [flows in Eurasian watersheds but have significant seasonal effects by changing the flow timing](#)
669 [and seasonal amplitudes \(see also Döll et al., 2009; van Beek et al., 2011, Biemans et al., 2011\).](#)

670 These simulations, however, are highly uncertain due to major limitations in [algorithms reviewed](#)
671 [above, host large-scale models](#) and data support. The efficiency of available water allocation
672 algorithms can be diagnosed by comparing the streamflow obtained from simulations with
673 observations. [Currently, macro-scale water allocation schemes cannot fully describe the dynamics](#)

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684 of regulated streamflows and there can be major disagreements between the regulated discharges
685 obtained from different reservoir algorithms (Voisin et al., 2013a). It has been shown that
686 calibration can improve the quality of reservoir operation algorithms (e.g. Wu and Chen, 2012);
687 however, calibration is also associated with uncertainty and can potentially hinder model
688 applications for future projections due to possible temporal and spatial variations in optimal
689 parameters. Hanasaki et al. (2006) as well as Döll et al. (2009) showed that simulation-based
690 algorithms can generally provide improved discharge simulations compared to lake routing
691 algorithms. However, it should be noted that simulations still remain substantially biased in highly
692 regulated catchments (e.g. San Francisco River, US; Syr Darya, Central Asia) and in cold regions
693 (e.g. Saskatchewan and Churchill Rivers in Canada), particularly during high flows (e.g. Hanasaki
694 et al., 2008a; Biemans et al., 2011; Pokhrel et al., 2012a). The simulation algorithm of Wu and
695 Chen (2012) was found to be more accurate in simulating both storage and release compared to
696 simple multi-linear regression and the target-release scheme embedded in SWAT (Arnold et al.,
697 1998); however, it was tested only at the local scale and it is not clear how the algorithm can
698 perform in other regions with different climate, level of regulation and allocation objectives. Very
699 similar conclusions were obtained for optimization-based algorithms. Discharge simulations are
700 generally improved compared to the no reservoir condition (e.g., Haddeland et al., 2006a);
701 however, there are still significant deficiencies in simulating highly regulated flows, particularly
702 in mountainous and cold regions such as Colorado River in the US as well as Yukon and
703 Mackenzie Rivers in Canada (e.g., Haddeland et al., 2006b; Adam et al., 2007). This relates in
704 particular to prognostic reservoir inflows, which remain highly uncertain in these environments;
705 this uncertainty contributes to the uncertainty in assigning optimal reservoir releases, often in
706 dynamic and complex manners (Nazemi and Wheeler, 2014b; Muller Schmied et al. 2014).
707 From a broader perspective, the current performance of reservoir operation and water allocation
708 algorithms must be seen in the context of the hydrological performance of the host large-scale
709 models, including how well the water demand has been represented (see Nazemi and Wheeler,
710 2014a). Currently, there are large biases in modeling hydrological processes across various scale
711 and runoff estimates remain widely divergent (e.g., Wisser et al., 2010; Hejazi et al., 2013b). More
712 clearly, it has been shown that current simulations systematically underestimate streamflow in the
713 arctic and sub-arctic regions and overestimate the observations in dry catchments; and reservoir
714 operation algorithms mainly improve the timing of the flow, but not the volume (van Beek et al.,

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717 2011). While there are many potential reasons for this, one key source of this limitation is the
 718 quality of gridded precipitation products (Biemans et al., 2009; 2011). Rost et al. (2008) used
 719 different precipitation products to simulate the regulated river discharge and found substantial
 720 variations in simulated discharge due to the choice of precipitation data. Moreover, they showed
 721 that sometimes the total precipitation estimate could be less than the total observed discharge after
 722 abstraction and regulation. Upcoming satellite missions can address some of the issues regarding
 723 historical forcing (see the discussion of Section 5.3); however, uncertainty in future precipitation
 724 (and other climate variables) should be dealt systematically using multiple climate forcing options
 725 based on various combinations of concentration pathways, climate models and downscaling
 726 procedures.

727 Turning from surface water to groundwater issues, almost all available global studies agree on a
 728 significant increasing trend in groundwater withdrawal from the late 20th century onward. As an
 729 example, Wada et al. (2013a) argued that from 1990 to 2010, the rate of global groundwater
 730 withdrawal increased by around 3 percent a year. These results are in relatively good agreement
 731 with major observed depletions in some regional aquifers (see Gleeson et al., 2012). However,
 732 various quantified assessments and further conclusions such as regarding groundwater-induced
 733 sea-level rise remain highly uncertain and show major disagreements due to crude representation
 734 of groundwater availability, recharge and withdrawal, as discussed in Sections 2.3 and 3.2 (see,
 735 e.g., Wada et al., 2010; Pokhrel et al., 2012b; Döll et al., 2014). This highlights an urgent necessity
 736 for improving the representation of human-groundwater interactions at larger scales.

738 **5 Towards an improved representation of water resource management in large-**
 739 **scale models**

740 **5.1 Ideal representation and remaining gaps**

741 Throughout our survey, we highlighted the importance of including water supply and allocation in
 742 conjunction with water demand (see Nazemi and Wheeler, 2014a) in models that are relevant to
 743 Earth system modeling and/or are required for understanding the effects of water resource
 744 management on the Earth System, with both online and offline implications. From an integrated
 745 water resource management and land-surface modeling perspective, water demands can be

Moved up [2]: Despite modeling uncertainties and disagreements simulation results, the current literature agrees that the effects of water allocation are more pronounced at finer spatial and temporal scales. For example, Haddeland et al. (2007) studied the impacts of reservoir operation coupled with irrigation on continental runoff and argued that water allocation has resulted in 2.5 and 6 percent increase in annual runoff volume in North America and Asia, respectively. This is almost canceled out by increased evaporation due to irrigation. Nonetheless, as the analysis moves from global and continental to regional and large catchment scales, the effects of water allocation become more profound. For instance, while the mean annual runoff decreased in the western US by around 9 percent during a historical control period, the rate of decrement is around 37 percent in the Colorado River during the same period (Haddeland et al., 2006b). Similarly, the effects of water allocation are more significant at finer time scales. For instance, Adam et al. (2007) noted that reservoirs have a minor effect on annual flows in Eurasian watersheds but have significant seasonal effects by changing the flow timing and seasonal amplitudes (see also Döll et al., 2009; van Beek et al., 2011, Biemans et al., 2011).

Deleted: Here, we first summarize the performance of current runoff simulations in regulated catchments and highlight the main sources of uncertainty. Then we turn to discuss the main findings/limitations and research needs for improving water allocation algorithms, impact assessment and water security studies.¶

4.1 Quality of regulated streamflow simulations¶
 Despite important developments, current macro-scale water allocation schemes cannot fully describe the dynamics of regulated streamflows and there can be major disagreements between the regulated discharges obtained from different reservoir algorithms (Voisin et al., 2013a). It has been shown that calibration can improve the quality of reservoir operation algorithms (e.g. Wu and Chen, 2012); however, calibration is also associated with uncertainty and can potentially hinder model applications for future projections due to possible temporal and spatial variations in optimal parameters. Hanasaki et al. (2006) as well as Döll et al. (2009) showed that simulation-based algorithms can generally provide improved ...

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891 considered as functions of climate, vegetation and soil-moisture as well as socio-economic and
892 policy variables (see Nazemi and Wheeler, 2014a). As shown in this paper, water supply is driven
893 by water demands but controlled by natural surface and ground water availability, which determine
894 the maximum possible water allocation. Therefore, water demand and water supply should be
895 systematically linked through a feedback loop, represented by water allocation. This integrated
896 water resource system should be then linked to natural land-surface processes at the grid scale.
897 This is rather intuitive: When considered in a typical grid, water allocation perturbs hydrological
898 and land-surface variables within the grid. In parallel, the combined effects of land-surface and
899 hydrological processes govern the variations in surface and ground water availability, which
900 consequently determine water demand (and accordingly water allocation) in the next simulation
901 step. Figure 1 shows a simplified schematic for this integrated modeling framework, in which grid-
902 based calculations of natural and anthropogenic land-surface are further coupled with climate
903 through grid-based land-atmospheric feedbacks.

904 Major gaps remain in representing water resource management in LSMs in the way defined above.
905 First, as also discussed in Nazemi and Wheeler (2014a), the key consideration in Earth System
906 modeling is the conservation of mass, energy and water; however, this is largely violated in current
907 models that include elements of water resource management (see Polcher, 2014). For instance,
908 considering groundwater or NNBW as unlimited water sources necessitates bringing water to the
909 system from outside the modeling domain, breaking the assumption that the Earth System is a
910 closed system. This has particular importance when understanding the effects of human-water
911 interactions on the climate and sea-level rise is sought.

912 Second, water resource management often takes place at the sub-grid resolution of current LSMs
913 used for simulations over large regional and global scales (i.e., 50 kilometers and more). Including
914 the elements of water resource management therefore requires moving towards a
915 “hyperresolution” scale (a few kilometers or less) for explicit representation (see Wood et al.,
916 2011) and/or adding new sub-grid parameterizations related to human-water interactions, as
917 illustrated in Figure 1. However, as the resolutions become finer or more sub-grid parameterization
918 are added, modeling complexity, computational burdens and data requirements increase
919 significantly, particularly in online simulation in which finer modeling resolution and better
920 discretization of soil and vegetation is generally required to capture land-atmospheric feedbacks
921 and possible climate responses (see Sorooshian et al., 2011a).

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938 Third, we have noted that all currently available efforts in including water supply and allocation
939 in large-scale models are offline and have been made mainly in the context of GHMs. GHMs
940 provide an efficient platform for algorithm development and testing given the relative lack of
941 computational constraints. However, self-evidently understanding online effects of large reservoir
942 storage and large-scale groundwater pumping needs online simulations using coupled LSMs. At
943 this stage of model development, however, many algorithms originally designed for offline
944 applications might not be suitable for online implementations. An important example is reservoir
945 operation, as both optimization- and simulation-based algorithms have some levels of prognosis
946 that hinder their application in coupled simulations.

947 Fourth, online applications are associated with complexity in representing various feedbacks and
948 time-scaling mismatch among different LSM component and water resource management. In
949 addition, current performance of online simulations is limited due to significant biases across
950 different components and propagation of these biases throughout the fully coupled system (see
951 Yuqing et al., 2004)

952 Fifth, we have highlighted major limitations even in offline representation of water resource
953 management at larger scales due to various sources of uncertainty. These uncertainties are due to
954 (1) data support, particularly with respect to precipitation, actual water use and land-surface
955 characteristics; (2) water demand, supply and allocation algorithms, particularly with respect to
956 irrigation demand estimation, reservoir operation and groundwater withdrawals; as well as (3) host
957 large-scale models, particularly with respect to those calculations that determine surface and
958 ground water availability. It should be noted that here we only focus on epistemic sources of
959 uncertainty, which needs to be addressed, quantified, communicated and possibly reduced (see
960 Beven and Alcock, 2012). Table 3 summarizes various aspects of uncertainty related to data
961 support, algorithmic procedures and host models, identified for estimation of water demand (see
962 Nazemi and Wheeler, 2014a) as well as water supply and allocation (see Sections 2 to 4) in offline
963 mode. It is often quite difficult to identify the exact source of uncertainty due to complex
964 interconnections between various elements; and currently, a formal framework to test and validate
965 the water resource management components in the face of various sources of uncertainty is not
966 available (see also Beven and Cloke, 2012).

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Moved up [3]: From an integrated water resource management and land-surface modeling perspective, water demands can be considered as functions of climate, vegetation and soil-moisture as well as socio-economic and policy variables (see Nazemi and Wheeler, 2014a). As shown in this paper, water supply is mainly controlled by natural surface and ground water availability but water demands remain as the key driver of water allocation. Therefore, water demand and water allocation should be systematically linked through a feedback loop. Also, as noted in Section 3.1, various human-water interactions are coupled and linked to available water resources through water allocation practice. This integrated water resource system should be then linked to natural land-surface processes at the grid scale. This is rather intuitive: When considered in a typical grid, water allocation perturbs hydrological and land-surface variables within the grid. In parallel, the combined effects land-surface and hydrological processes govern the variations in surface and ground water availability, which consequently determines water allocation in the next simulation step. Figure 1 shows a simplified schematic for this integrated modeling framework, in which grid-based calculations of natural and anthropogenic land-surface are further coupled with climate through grid-based land-atmospheric feedbacks. ¶

Deleted: we argue that improving the inclusion of water resource management in Earth System models requires more model development efforts in LSSs, particularly towards coupled simulations. ¶

1001 In following sections, we briefly focus on these gaps and highlight the opportunities to address
1002 them and move towards the integrated representation proposed in Figure 1.

1003 5.2 Outstanding challenges - closing the water balance and online simulations

1004 At this stage of research, issues around closing the water balance and online simulations are the
1005 most fundamental challenges in representing water resource management in Earth System models.

1006 Closing the water balance requires considering all the sources of human water withdrawals and
1007 uses in the system and integrating them into the host large-scale models. One major gap in
1008 representing the water sources is groundwater, which is ignored or crudely represented in most
1009 current models. In parallel, as noted above, performing online simulations requires moving
1010 towards finer spatial and temporal scales and handling various sources of bias within the integrated
1011 system. Although providing an extensive discussion on issues around integrating groundwater
1012 models with LSMs as well as online Earth System modeling remains beyond the scope of this
1013 paper, here we attempt to briefly point to the main challenges and highlight a few opportunities
1014 for future developments.

1015 Technically, the issues around coupling LSMs with groundwater and/or climate models are rather
1016 similar. In principle, (1) both require couplers to build an integrated model from independent
1017 models; (2) both require refining temporal and spatial resolutions; (3) both substantially increase
1018 the complexity of calculations; (4) both need research in terms of improving and adding new
1019 algorithms for process representations; and finally (5) both require handling various sources of
1020 uncertainty. Research on coupling individual models in an integrated Earth System modeling
1021 framework is ongoing and currently there are various coupling strategies available (e.g., Dunlop
1022 et al., 2014). One challenge in coupling the elements of water resource management with climate
1023 is the mismatch between temporal scales of water resource management and natural cycles in the
1024 Earth System. For instance, capturing the online effects of evaporation from reservoirs requires
1025 running the climate model with fine temporal resolution; although the reservoir evaporation is
1026 mainly a function of reservoir temperature and area, which vary slowly. Research, therefore,
1027 should be done to compare and optimize existing coupling strategies to handle such inconsistencies
1028 in time scaling.

Deleted: Major gaps remain in representing water resource management in LSSs in a way defined above. Essentially, water resource management often takes place at the sub-grid resolution of current LSSs used for simulations over large region and global scales (i.e., 10 kilometers and more). Including the elements of water resource management therefore requires moving towards a "hyperresolution" scale (a few kilometers or less) for explicit representation (see Wood et al., 2011) and/or adding new sub-grid parameterizations related to human-water interactions, as illustrated in Figure 1. However, as the time-space resolutions become finer or more sub-grid parameterization are added, modeling complexity, computational burdens and data requirements increase significantly, in particular for online simulations. Other important issues for online applications are the complexity in representing various feedbacks and significant biases across different components (including propagation throughout the fully coupled system) as well as scaling mismatch among different parts of the earth system and water resource management. This needs fundamental research towards determining the appropriate temporal/spatial scales for including water resource management in LSMs and further integration with climate models (see Yuqing et al., 2004). It should be noted that most of the currently available On important example is online representation of groundwater processes at the global scale. Moreover, current algorithms originally designed for offline applications and might not be suitable for online implementations. An important example is reservoir operation as both optimization- and simulation-based algorithms have some levels of prognosis that hinder their application in coupled simulations.

From offline perspective, major limitations are associated with representing water resource management at larger scales due to uncertainties in (1) data support, particularly with respect to precipitation and actual water use; (2) water demand, supply and allocation algorithms, particularly with respect to irrigation demand estimation, reservoir operation and groundwater withdrawals; as well as (3) host large-scale models, particularly with respect to those calculations that determine surface and ground water availability. It should be noted that here we only focus on epistemic sources of uncertainty, which needs to be addressed, quantified, communicated and possibly reduced (see Beven and Alcock, 2012). Table 3 summarizes various aspects of uncertainty related to data support, algorithmic procedures and host models, identified for estimation(...

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1136 One major need for representing groundwater and for online simulations is the necessity for
 1137 moving towards finer spatial resolutions. This can result in various challenges. First, even if the
 1138 spatial resolution increases, several sources of heterogeneity would still be ignored, as current
 1139 LSMs do not consider them. For instance, LSMs usually define plant species based on Plant
 1140 Functional Types (PFTs), within which all parameters are identical. However, current LSMs
 1141 recognize only limited PFTs and hence they typically ignore much of the biodiversity.
 1142 Improvement in LSMs in terms of adding more detail into land-surface parameterization can
 1143 provide opportunities to represent such sources of heterogeneity. Second, going toward finer
 1144 modeling resolutions requires improved data support at finer scales. However, fine resolution data
 1145 are becoming more and more available. For instance, a global 1-km mesh dataset of soil properties
 1146 has been recently released (cited in Sato et al., 2014); however such datasets are normally obtained
 1147 from multiple independent sources, which differ in terms of their quality (Liu et al. 2013). More
 1148 efforts towards producing standardized and accurate data sources can support future fine-grid
 1149 Earth System modeling. Finally, moving towards finer scales requires a new set of process
 1150 representations and parameterizations (Hurrell et al., 2013). There are new developments along
 1151 scale-aware parameterizations (e.g., Hurrell et al. 2009) that can help refine parameterizations for
 1152 finer spatial scales.

1153 One important issue with online simulations and groundwater modeling is the computational
 1154 complexities compared to offline surface water simulations (e.g. Hill et al., 2004; Kollet et al.,
 1155 2010; Wood et al., 2011). Wehner et al. (2008) suggested opportunities to address computational
 1156 burdens, including hardware design (i.e., building enhanced computer processors for a specific
 1157 application) and use of distributed and grid systems. A wide range of applications exists for grid
 1158 and cloud computing systems (see Schwegelshohn et al., 2010; Lecca et al., 2011; Fernández-
 1159 Quiruelas et al., 2011). Improved computational power can also provide a basis to explore various
 1160 model resolutions to identify critical scales for process representations (see Gentine et al., 2012)
 1161 and to support computationally expensive offline calculations, such as groundwater processes,
 1162 dynamic crop growth, river routing and model calibration (e.g. von Bloh et al., 2010;
 1163 Rouholahnejad et al., 2012; Wu et al., 2013).

1164 Understanding and handling various sources of uncertainty requires activities towards evaluating
 1165 model performance against observations, which includes new diagnostics for systematic
 1166 assessments of the modeling system. One key challenge is the fact that LSMs are run over large

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1191 grids, whereas validation data for land-surface variables and groundwater can be only obtained at
1192 local scales. There are several attempts to overcome this issue. For instance, FLUXNET
1193 (daac.ornl.gov/FLUXNET/fluxnet.shtml) coordinates regional and global analyses of observations
1194 from micrometeorological tower sites to fill validation gap for online LSMs. Such observation
1195 networks can facilitate diagnosing the LSMs efficiency and sources of errors over large
1196 geographical scales. Moreover, a large number of combinations of model configurations should
1197 be tested to ensure reliability and performance of individual components and characterize the bias
1198 propagation from one component to others. For that purpose, it should be noted that increased
1199 modeling complexity does not necessarily result in an improved precision; therefore, a systematic
1200 approach is required to test, intercompare and falsify modeling options in the light of validation
1201 data available. This will be discussed in more detail in Section 5.6.

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1202 **5.3 Data support**

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1203 As noted through our survey, major data limitations exist in representing various aspects of water
1204 resource management, which are related to forcing, parameterization, calibration and validation of
1205 water demand, supply and allocation algorithms (see also Table 3). At this stage of research, major
1206 gaps are noted in spatial and temporal quality and coverage of the data related to climate,
1207 hydrology, socio-economy, policy and water resource management that are required to drive or to
1208 support large-scale models (see Wood et al., 2011; Gleick et al., 2013; Oki et al., 2013).

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1209 One important opportunity to improve data support is the use of remote sensing technology, which
1210 can provide a synoptic view of the state of land-surface and atmospheric variables (see Sorooshian
1211 et al., 2011b; Asrar et al., 2013) and a reliable data support for dynamic forcing, parameter
1212 estimation as well as evaluation of large-scale models (see van Dijk and Renzullo, 2011; Trenberth
1213 and Asrar, 2012). For instance, Landsat missions (<http://landsat.gsfc.nasa.gov>; see Williams et al.
1214 2006) have captured long-term variations in global land-cover with a temporal resolution of 16
1215 days and spatial resolution of up to 30 meter, which can help to parameterize anthropogenic
1216 activities such as crop growth and reservoir area. More recently, passive MODerate Resolution
1217 Imaging Spectroradiometer (MODIS; <http://modis.gsfc.nasa.gov>; see Savtchenko et al., 2004)
1218 provide a wide range of land-surface information and have already been applied for various large-
1219 scale modeling studies, including validation of online models (Sorooshian et al., 2011a), high
1220 resolution parameterization (Ke et al., 2012) and monitoring storage in large reservoirs (Gao et al.,

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1225 2012). Assimilation of MODIS land measurements with meteorological data and the Penman-
1226 Monteith equation has also provided 8-day, monthly and annual evapotranspiration estimates at 1
1227 km resolution globally (Mu et al., 2007, 2011). This can provide a basis to evaluate simulated
1228 evapotranspiration over land-surface (see Section 5.4). Another important product is the Gravity
1229 Recovery and Climate Experiment (GRACE; <http://www.csr.utexas.edu/grace/>; see Tapley et al.,
1230 2004), measuring changes in the total terrestrial water storage at rather coarser resolutions.
1231 GRACE data have already been used in studies related to regional groundwater depletion (e.g.,
1232 Rodell et al., 2007, 2009), model calibration (Sun et al., 2012) and validation of large-scale
1233 simulations (Pokhrel et al., 2012a,b).

1234 Upcoming satellite missions can further support representation of water resources management.
1235 For instance, precipitation is a key limitation in hydrological modeling in general, but is also
1236 important for irrigation demand and scheduling. The upcoming Global Precipitation Measurement
1237 mission (GPM; <http://gpm.nasa.gov>) will collect data at 10km resolution, every 3 hours, globally.
1238 The upcoming Soil Moisture Active Passive mission (SMAP; see Entekhabi et al. 2010) will
1239 provide improved global soil moisture measurements every 24 hours without sensitivity to cloud
1240 cover. This can be considered as an important data support for irrigation demand algorithms.
1241 Another upcoming remote sensing mission is the Surface Water and Ocean Topography mission
1242 (SWOT; see Fu et al., 2009; Biancamaria et al., 2010; Durand et al., 2010), which will provide
1243 fine-scale measurements of various surface water stores, including reservoirs as well as natural
1244 and man-made channels. Such information at the global scale has the potential to revolutionize
1245 representation, calibration and validation of algorithms related to estimation of inflow to
1246 reservoirs, reservoir releases and inter-basin water transfers.

1247 There are also important improvements in sharing ground-based data and simulation results,
1248 including some inspiring grass-root data collection efforts. For example, the International
1249 Groundwater Resources Assessment Centre (IGRAC; www.un-igrac.org) assigns an associate
1250 expert to each one-degree grid cell to submit monthly groundwater levels. Such data can be a
1251 critical source for testing groundwater withdrawal algorithms. Similar grass-root efforts could be
1252 made to record other water resource management data, particularly with respect to actual (rather
1253 than licensed) water uses, local management policies and water technologies. We also note that
1254 sharing of gridded climate forcing and simulation results is important and provides a basis for
1255 consistent model intercomparison efforts. One example is the recently finished EU-WATCH

1256 program (<http://www.eu-watch.org/>), which provides forcing and simulation results of WATCH’s
1257 Model Intercomparison Project (WaterMIP; <http://www.eu-watch.org/watermip>).

1258 5.4 Water resource management algorithms

1259 Computational algorithms for representing the elements of water resource management have
1260 various sources of uncertainty (see Table 3) and improving the related representations and reducing
1261 the modeling uncertainty can be considered as an important avenue for future developments. Some
1262 important opportunities include enhancing the simulation-based reservoir operation algorithms for
1263 online applications and various applications of calibration, data assimilation and system
1264 identification techniques.

1265 • One crucial limitation, as noted above, is in current reservoir operation algorithms for
1266 online applications. Simulation-based schemes provide a basis to move forward, however,
1267 modifications are required to relax prognostic inputs and to represent the thermal and
1268 evaporative functions of reservoirs for online applications. Modeling schemes have been
1269 already developed for representing energy balance of natural lakes at sub-grid scale (e.g.,
1270 MacKay, 2011; MacKay and Seglenieks, 2013) and can be merged with improved
1271 simulation-based reservoir operation algorithms to simultaneously characterize reservoir
1272 release, storage and evaporation as well as land-atmospheric feedbacks. However, an
1273 important question remains in how to address substantial biases in estimation of reservoir
1274 release due to the uncertainty in estimation of reservoir inflows, particularly in online
1275 simulations. This issue can be partially handled using data assimilation frameworks; but
1276 substantial uncertainty remains in future simulation, where assimilation is not possible.
1277 Therefore, efforts should be made to represent reservoirs in a robust manner that can handle
1278 the inflow biases.

1279 • Calibration using observed, simulated or assimilated system behavior can be used to
1280 implicitly represent management and sub-grid heterogeneity. One example would be to
1281 address diversity in irrigation demand by finding “representative parameters” that match
1282 the assimilated evaporation over a typical irrigated grid. Calibration with ability to identify
1283 time-varying parameters could also be used to improve the performance of reservoir
1284 operation algorithms and provide a basis to account for variations in water allocation
1285 practice in time and potentially in space by considering functioning of multiple reservoirs.

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1296 • Another opportunity is to improve functional mappings of system response and demand
1297 through system identification techniques. These techniques can range from statistical
1298 regression models to more sophisticated machine-learning techniques such as artificial
1299 neural networks (e.g., Nazemi et al., 2006a) and genetic symbolic regression (e.g.,
1300 Hassanzadeh et al., 2014). One example would be building functional relationships for
1301 estimation of irrigative or non-irrigative water demands and/or uses. Another would be to
1302 represent reservoir operations through transfer functions and enhanced rule-based models
1303 as well as building different decision support systems for handling operations taking place
1304 at different time scales (i.e. hydropower with a 5-minute market, floods with sub-hourly to
1305 hourly time step, and monthly seasonal water supply). This can provide an interesting
1306 prospect to extract operational rules from observed data and to incorporate soft variables
1307 such as social values and expert insights into modeling water resource management (e.g.,
1308 Nazemi et al., 2002). Having such an improved modeling capability might provide an
1309 opportunity to guide representation of adaptive management and may provide a basis to
1310 regionalize management policies and operational practices.

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1311 5.5 Host models

1312 Limitations in host models can introduce a wide range of uncertainties (see Table 3). This is due
1313 to the fact that water resource management algorithms are fully embedded within the host models
1314 and interact with calculations related to land-surface process at the grid scale (see Figure 1). For
1315 instance, estimation of antecedent soil moisture affects estimation of irrigation demand. Similarly,
1316 estimates of the natural inflows to reservoirs govern the calculations related to reservoir releases
1317 and storage. Currently, there are major limitations in representing soil moisture, snow cover,
1318 permafrost, evapotranspiration, deep percolation and runoff in large-scale models and they cannot
1319 be represented without large uncertainty (Lawrence et al., 2012; Trenberth and Asrar, 2012; Oki
1320 et al., 2013). Moreover, host models often contain missing processes. For instance, current host
1321 models often ignore the effects of increased CO₂ concentration on irrigation demand. This may
1322 result in large uncertainties under climate change effects (see Wada et al., 2013b).

1323 While an extensive review of these issues goes beyond the scope of this paper, we note that
1324 substantial efforts continue to be made to include missing processes and to improve current
1325 parameterizations of natural and anthropogenic processes in large-scale models, particularly in the

1327 context of LSMs. For instance, the Community Land Model (CLM; Oleson et al., 2004; 2008;
1328 Lawrence et al., 2011) has been recently improved by new algorithms for representing permafrost
1329 (Swenson et al., 2012), agriculture (Drewniak et al., 2013) and irrigation (Levis and Sacks, 2011;
1330 Levis et al., 2012). Another important development is the vector-based river routing algorithms
1331 (e.g. Li et al., 2013a,b) that can improve the representation of natural and anthropogenic channel
1332 processes such as reservoir stores, streamflow diversions and inter-basin water transfers (see
1333 Lehner and Grill, 2013). Another key opportunity is the application of data assimilation and/or
1334 calibration techniques to reduce parametric uncertainty and to improve prediction capability. Some
1335 systematic frameworks for calibration and parameterization of land-surface processes are
1336 suggested (Rosolem et al. 2012, 2013). We expect improvements in process representations and
1337 parameterizations related to LSMs will increase in near future due to the need that has been already
1338 recognized (e.g., Wood et al., 2011; Lawrence et al., 2012; Trenberth and Asrar, 2012; Gleick et
1339 al., 2013; Oki et al., 2013; Dadson et al., 2013).

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1340 5.6 A framework to move forward

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1341 Several improvements need to be made in order to appropriately represent the elements of water
1342 resource management in Earth System models. We noted that moving towards including the
1343 elements of water resource management in a way described in Figure 1 requires continuous
1344 developments in water resource management algorithms, host LSMs, online land-atmospheric
1345 coupling and data support. We pointed to the main gaps and provided a brief overview on the
1346 opportunities for overcoming these limitations. As far as the algorithms related to representing
1347 water resource management are concerned, Table 4 summarizes improvements that need to be
1348 made before we can properly represent human-water interaction in Earth System models, along
1349 with targeted temporal and spatial resolutions. Modeling resolutions can vary across various
1350 elements of water resource managements due to the difference in how different elements affect
1351 water and energy balance at the land-surface. For instance, irrigation and crop growth directly
1352 affect both energy and water balance at the sub-grid scale, with substantial difference between
1353 crop function during a day. Therefore, irrigation should be represented at a fine temporal and
1354 spatial resolution to capture potential climate responses. Reservoirs also affect water and energy
1355 balance; however, as noted above reservoir area and surface temperature vary slowly and therefore

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1361 there is no need to approach a finer time-scale than the scale needed for representing the water
1362 balance and downstream releases.

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1363 As noted throughout our survey, a variety of modeling options for representing key elements of
1364 water resource management at larger scales is currently available and new details about natural
1365 and anthropogenic processes are continually being added to Earth System models. Nonetheless,
1366 major limitations exist in current data, algorithms and host models, which induce major biases
1367 within components and complicate uncertainty quantification and model tractability. At this
1368 juncture, a primary task for model development should be to test and compare different data and
1369 modeling alternatives in an integrated system. This requires considering model hierarchy and the
1370 links between different components and exploring individual and integrated model space with
1371 respect to accuracy, identifiability and capability for generalization. This, in turn, can direct where
1372 future attempts should be focused to reduce uncertainties further. Guidelines are available for (1)

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Moved up [4]: As noted through our survey, a variety of modeling options for representing key elements of water resource management at larger scales is currently available. Nonetheless, major limitations exist in current data, algorithms and host models. At this juncture, a primary task for model development should be to test and compare different data and modeling alternatives with respect to accuracy, identifiability and capability for generalization.

1373 considering multiple working hypotheses for supporting and representing relevant sub-processes
1374 and modeling component; (2) constructing different simulations based on various combinations of
1375 the considered options and (3) rejecting them if they fail to describe new data, violate their
1376 underlying assumptions and/or can be equally described by simpler models (Clark et al., 2011b;
1377 see Popper, 1959). Modular systems, such as the recently released WRF-Hydro (NCAR, 2013),
1378 are particularly suitable for building such a framework as they provide a tool for
1379 constructing/falsifying different hypotheses for process representations, parameterizations and
1380 data support in a unified computational platform.

1381 To address this and to move towards the integrated representation of water resource management
1382 in LSMs, suggested in Figure 1, we propose a systematic framework for improving the
1383 incorporation of water resource management through building, testing and falsifying various
1384 modeling options. Figure 2 shows this framework based on the links between different modeling
1385 components. In brief, Figure 2 divides the model development into six components, related to (A)
1386 modeling set-up and data configuration, (B) climate modeling, (C) land-surface modeling, (D)
1387 water resource management representation, (E) calibration and parametric identification, as well
1388 as (F) testing and falsification. The framework starts with prior knowledge (A), coming from the
1389 modeling purpose, current modeling capabilities and limitations and the knowledge obtained from
1390 previous modeling attempts. According to the prior knowledge and emerging advancements, a
1391 range of modeling scales can be selected and multiple working hypotheses can be configured to

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1409 represent the data and modeling options in (B) to (E). Depending on the mode and period of
1410 simulation, climate data or more generally climate models (B) are required to force or to be coupled
1411 with land-surface processes. The land-surface component (C) includes relevant sub-modules
1412 related to natural processes, water supply and allocation and irrigative and non-irrigative
1413 withdrawals. The anthropogenic activities are controlled by the water resource management
1414 component (D), which requires inputs from land-surface and climate components to determine
1415 water availability and to estimate various demands with the aid of these and/or other proxies (piori
1416 knowledge). Rules for prioritizing, partitioning and allocating water demands are reflected in a
1417 management decisions sub-module that further drives water allocation in the land-surface
1418 modeling component. Sub-modules within (C) and (D) often contain unknown parameters that
1419 need to be identified through prior knowledge or calibration. As a result, calibration and parameter
1420 identification algorithms (E) with capability for further uncertainty assessment are a key
1421 requirement. Population-based optimization algorithms are particularly suitable for parameter
1422 identification as they provide a range of behavioral parameters, which can be analyzed through
1423 advanced visualization schemes and provide valuable insights into modeling uncertainty,
1424 identifiability and multiple performance measures (e.g. Nazemi et al., 2006b, 2008; Pryke et al.,
1425 2007). Moreover, population-based algorithms can provide methodological linkage to uncertainty
1426 assessment through various diagnostic tests. Guidelines are provided to test and falsify models
1427 through various evaluation criteria such as parametric identifiability (e.g. Beven, 2006b), Pareto
1428 optimality (Gupta et al., 1998), predictive uncertainty (Wagener et al. 2004) and limits of
1429 acceptability (Beven and Alcock, 2012).

1430 Due to the current stage of model development, there is a need to approach the framework
1431 suggested in Figure 2 with a sequential workflow, as certain improvements should be made first
1432 before we can improve others. Figure 3 divides the suggested framework into four sequential
1433 working packages. First, various options for data support, water resource management (WRM)
1434 algorithms and host models should be benchmarked, tested and intercompared individually to
1435 highlight their relative suitability in further offline simulation. This would naturally result in
1436 falsifying some of the working hypotheses. The selected options then should be mixed-and-
1437 matched in an offline mode. The offline simulation efficiency should be then explored and
1438 intercompared between various integrated settings to assess the biases propagated across the
1439 system and examine the robustness of the individual components in an integrated offline

1440 simulation. The non-falsified options in this stage can be further improved and configured for
1441 online simulation, which can be then coupled with climate models in a way described in Figure 2.

1442 A key requirement for implementing the suggested framework is the availability of suitable data,
1443 at an appropriate scale, for algorithm development and intercomparison. Although global studies
1444 are important to improve our knowledge of the Earth System and water security, our ability to
1445 conduct a comprehensive global study as proposed in Figure 2 is currently limited due to
1446 methodological, computational and funding barriers. We argue that a network of regional case
1447 studies, however, could provide access to local data, and a sample of comparative examples to
1448 support algorithm intercomparison and further development. We note, for example, the success of
1449 model intercomparison projects such as MOPEX (Duan et al., 2006) for hydrological modeling,
1450 and suggest that the time is right to develop a similar initiative for the incorporation of
1451 anthropogenic effects in hydrological models. One possibility is to draw on the resources of the
1452 set of Regional Hydroclimate Projects (RHPs) supported by the Global Energy and Water
1453 Exchanges (GEWEX) initiative of the World Climate Research Program (WCRP). As an example,
1454 our home river basin in western Canada, the 340,000 km² trans-boundary Saskatchewan River
1455 Basin ([SaskRB](#)), is a GEWEX RHP, embodies a complex large scale water resources system
1456 (Nazemi et al., 2013), and poses globally-relevant science and management challenges (see
1457 Wheater and Gober, 2013). These require improved representation of water resource management
1458 at larger scales to diagnose the changes in the regional discharge, climate and water security as the
1459 result of current and future water resource management and climate change. Such RHPs could
1460 provide a basis for model development and intercomparison to support inclusion of water resource
1461 management in Earth System models for fully coupled global simulations. We have already started
1462 to explore various modeling options and the ways of improving individual algorithms (i.e. stage 1
1463 of sequential model development protocol illustrated in Figure 3) throughout the [SaskRB](#). For
1464 instance, we have benchmarked several reservoir operation algorithms using observed inflows and
1465 assessed the possibility of improving simulation using calibration. We have realized that the
1466 efficiency of reservoir operation algorithms can be considerably improved if the assumption of
1467 fixed model parameterization is relaxed and the algorithm parameters are identified through
1468 calibration against observed reservoir level and discharge. We are about to finalize this study and
1469 will present our findings through a technical paper in near future.

1470

1471 **6 Summary and concluding remarks**

1472 Human water supply and allocation have intensively perturbed the water cycle. We noted that the
1473 inclusion of these anthropogenic activities in Earth System models poses a new set of modeling
1474 challenges and progress has remained incomplete. Despite some major developments, we noted
1475 that current limitations significantly degrade the modeling capability at larger scales, particularly
1476 with respect to future conditions, and neglect potentially-significant sources of change to land-
1477 atmospheric system. We highlighted important deficiencies related to representing groundwater
1478 stores and withdrawals as well online implications of large reservoirs. We also noted that current
1479 water allocation algorithms have considerable limitations in representing streamflow in regulated
1480 catchments. We argued that these limitations are attributed to uncertainties in data support, water
1481 allocation algorithms.

1482 We identified four opportunities for improvements. These are advancements in (1) high
1483 performance computing and coupling techniques; (2) remote sensing, data collection and data
1484 sharing; (3) calibration algorithms, system identification techniques and assimilation products; and
1485 (4) ongoing improvements in host models including both process representation and parameter
1486 identification. As there are several options available for data support, water resource management
1487 algorithms and host models, we proposed a modular framework for testing various modeling and
1488 data options, which can be configured by multiple working hypotheses and implemented in a
1489 unified and fully integrated modeling framework. The selected working hypotheses can be tested
1490 and falsified on the basis of available information, intercomparison and/or various model diagnosis
1491 frameworks. Similar to other recent commentaries (e.g., Clark et al., 2011b; Beven et al., 2012),
1492 we believe that such a systematic framework is essential for improving current modeling capability
1493 in both offline and online modes and can be pursued using regional case studies, before aiming for
1494 fully coupled global simulations. WCRP RHPs are one source of suitable examples to move this
1495 agenda forward.

1496 It should be noted that filling current gaps in the inclusion of water resource management in Earth
1497 System models requires substantial efforts across a wide range of disciplines, from social and
1498 policy sciences to economics and water management, from natural sciences to engineering and
1499 mathematical modeling, and from remote sensing to hardware technology and computer science.
1500 Interdisciplinary research efforts, therefore, are important. Moreover, for various reasons including

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1514 funding limitations, the community needs to fully recognize the role of collaboration and explore
1515 various opportunities to share data and resources for efficient model developments and for
1516 consistent intercomparisons.

1517 Finally, it should be indicated that our survey considered water resource management from a water
1518 quantity perspective. Water quality concerns are increasingly associated with growing human
1519 water demand and can also impact water supply and allocation. Coupling water quality and
1520 quantity in Earth System models is however very much in its infancy and much future effort will
1521 be required to fill this gap. We hope that our survey will trigger more attention towards the
1522 necessity for improving current Earth System modeling capability to respond to the needs and
1523 challenges of the “Anthropocene”.

1524

1525 **Acknowledgments**

1526 The first author has attended NASA’s Applied Remote Sensing Training free webinar series
1527 (<http://water.gsfc.nasa.gov/>) and would like to thank Amita Mehta, Evan Johnson and John Bolten
1528 for providing useful materials related to remote sensing technology. Financial support for this
1529 survey was provided by the Canada Excellence Research Chair in Water Security at the University
1530 of Saskatchewan. The authors gratefully acknowledge the constructive comments from two
1531 anonymous reviewers and Jan Polcher, which have enabled us to make significant improvements
1532 to this paper.

1533

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Table 1. Examples for available representations of water supply and allocation in large-scale models

Reference	Water supply				Water allocation		
	Diversions	Reservoirs	Groundwater store	Desalination and reuse	Supply-demand dependency	Priorities in demands	Operational objectives
Haddeland et al. (2006b)	In- and inter-grid abstraction	Macro-scale operation ¹	N/A	N/A	Reservoir can supply up to 5 grids downstream ²	Irrigation, flood control, hydropower, others	Minimize deficit, maximize hydropower
Hanasaki et al. (2008a)	In- and inter-grid abstraction	Macro-scale operation	N/A	N/A	Reservoir can supply up to 10 grids downstream	Municipal, industrial, irrigation	Allocate available water, share deficit
Rost et al. (2008)	Local abstraction	Lake routing	NNBW assumed unlimited ³		Local grid	Irrigation only	Meet demand using available water
Döll et al. (2009)	In- and inter-grid abstraction	Macro-scale operation	N/A	N/A	Reservoir can supply up to 5 grids downstream	Irrigation, non-irrigation	Meet total demand ⁴
Hanasaki et al. (2010)	Local abstraction	Macro-scale operation/local abstraction	NNBW assumed unlimited		Local grid	Irrigation and livestock only	Meet total demand using unlimited groundwater
Strzepek et al. (2010)	Local abstraction	Macro-scale operation ⁵	Countrywide estimates	N/A	Local basin	Domestic, industry, livestock, irrigation	Maximize profitability
Wisser et al. (2010)	In-grid hydrologic routing	Macro-scale operation	Unlimited local source ⁶	N/A	Local grid	Irrigation only	Meet total demand using unlimited groundwater
Biemans et al. (2011)	Local abstraction, Heuristic routing	Macro-scale operation	NNBW assumed unlimited ⁷		Reservoir can supply up to 5 grids downstream	Irrigation only	Proportional allocation of available water
Wada et al. (2011)	In- and inter-grid abstraction	Macro-scale operation	Countrywide estimates	Countrywide estimates	Reservoir can supply up to 600 km downstream	Irrigation, flood control, hydropower, others	Minimize deficit, maximize hydropower
Pokhrel et al. (2012a)	Local abstraction	Macro-scale operation	NNBW assumed unlimited		Local grid	Irrigation, non-irrigation	Meet total demand using unlimited groundwater
Strzepek et al. (2012)	Local abstraction	Macro-scale operation ⁵	Basin-scale threshold	Function of capacity	Local basin	Non-agricultural, Agricultural	Minimize groundwater use and spill
Blanc et al. (2013)	Local abstraction, Heuristic routing	Macro-scale operation ⁵	Basin-scale threshold	N/A	Local basin	Non-agricultural, Agricultural	Minimize groundwater use and spill
Hanasaki et al. (2013b)	Local abstraction	Macro-scale operation	N/A	N/A	Local grid	Municipal, industrial, irrigation	Allocate available water, share deficit
Voisin et al. (2013a,b)	In- and inter-grid abstraction	Macro-scale operation	N/A	N/A	Reservoir can supply up to 200 km downstream	irrigation, flood control, hydropower and others	Allocate available water, share deficit
Wada et al. (2013a)	In- and inter-grid abstraction	Macro-scale operation	Conceptual reservoir	Countrywide estimates	Reservoir can supply up to 600 km downstream	Irrigation, non-irrigation	Allocate available water, share deficit

¹ Simultaneous operation of multiple dams in a river basin was not considered.

² See Haddeland et al. (2006a).

³ Simulations without assuming unlimited groundwater store were also performed.

⁴ Demand that cannot be allocated in any given day is allocated later in the year or in the next year, when water is available.

⁵ A virtual reservoir is considered for each basin.

⁶ Shallow groundwater is represented as a runoff retention pool, which delays runoff before it enters streams.

⁷ Simulations with considering only surface water availability were also performed.

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Table 2. Representative examples for available macro-scale reservoir operation algorithms implemented in large-scale models

Reference	Host model	Routing algorithm	Type of operation	Reservoir data	Validation discharge data
Hanasaki et al. (2006)	N/A	TRIP (Oki and Sud, 1998)	Simulation-based	WRD98 (ICOLD)	GSWP (Dirmeyer et al., 1999; Oki et al., 2001)
Haddeland et al. (2006a,b, 2007)	VIC (Liang et al., 1994)	Linearized Saint-Venant (Lohmann et al., 1996, 1998)	Optimization-based	ICOLD; Vörösmarty et al. (1997, 2003)	USGS(http://waterdata.usgs.gov) USBR (http://www.usbr.gov) GRDC (http://www.bafg.de/GRDC/)
Adam et al. (2007)	VIC (Liang et al., 1994)	Unit hydrograph and Linearized Saint-Venant (Lohmann et al., 1996, 1998)	Optimization-based	ICOLD; Vörösmarty et al. (1997, 2003)	Adam and Lettenmaier (2008)
Hanasaki et al. (2008a)	H08 (Hanasaki et al., 2008a,b)	TRIP (Oki and Sud, 1998)	Simulation-based	WRD98 (ICOLD)	GRDC (http://www.bafg.de/GRDC/)
Döll et al. (2009)	WaterGAP (Alcamo et al., 2003)	HBV (Bergström and Smith, 1995)	Simulation-based	GRanD (Lehner et al., 2008)	GRDC (http://www.bafg.de/GRDC/)
Wisser et al. (2010)	WBMplus (Vörösmarty et al., 1998)	Muskingum-Cunge (Ponce and Changanti, 1994)	Simulation-based	ICOLD	UNH-GRDC (Fekete et al., 1999, 2002)
Biemans et al. (2011) [*]	LPJmL (Gerten et al., 2004; Rost et al., 2008)	Linear reservoir model (Huggins and Burney, 1982)	Optimization-based	GRanD (Lehner et al., 2011)	GRDC (http://www.bafg.de/GRDC/)
Van Beek et al. (2011)	PCR-GLOBWB (van Beek and Bierkens, 2009)	Kinematic Saint-Venant (Chow et al., 1988)	Optimization-based	GLWD1 (Lehner and Döll, 2004)	GRDC (http://www.bafg.de/GRDC/)
Wu and Chen (2012)	SWAT (Arnold et al., 1998)	SWAT (Arnold et al., 1998)	Simulation-based	Wu et al. (2007)	Chen and Wu (2008) [‡]
Pokhrel et al. (2012a)	MASTIRO (Takata et al., 2003)	TRIP (Oki et al., 2001)	Simulation-based	WRD98 (ICOLD)	GRDC (http://www.bafg.de/GRDC/)
Voisin et al. (2013a)	VIC (Liang et al., 1994)	MOSART (Li et al., 2013a,b)	Simulation-based	GRanD (Lehner et al., 2011)	USGS(http://waterdata.usgs.gov) USBR (http://www.usbr.gov) GRDC (http://www.bafg.de/GRDC/)
Voisin et al. (2013b)	SCLM (Li et al., 2011; Lawrence et al., 2011)	MOSART (Li et al., 2013a,b)	Simulation-based	GRanD (Lehner et al., 2011)	USGS(http://waterdata.usgs.gov) USBR (http://www.usbr.gov) GRDC (http://www.bafg.de/GRDC/)

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[‡] Discharge data used for calibration as well

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Table 3. Uncertainties in current offline representations of water resource management in large-scale models

Component	Type of activity	Specification	Data uncertainty	Algorithm uncertainty	Host model uncertainty ¹
Water demand (Nazemi and Wheat, 2014a)	Irrigative demands	Irrigation	Climate forcing; soil, crop, land-use and land management including sub-grid heterogeneities; actual diversions; socio-economy and technological variables; agricultural management	Characterizing the potential evapotranspiration and crop water demand; representing the sub-grid crop diversity, irrigation expansion, crop change, return flows	Estimation of actual evapotranspiration, soil water movement, runoff and canopy losses; considering CO ₂ effects
	Non-irrigative demands	Industrial uses	Location, diversity and capacity of uses; actual diversions; downscaling proxies; socio-economy and technological variables	Seasonal variations in industrial water needs; structural and parametric uncertainty in estimation and projection of industrial demand.	N/A
		Energy-related uses	Location, diversity and capacity of uses; actual diversions; downscaling proxies; socio-economy and technological variables	Seasonal variations in energy-related water needs; structural and parametric uncertainty in estimation and projection of industrial demand.	N/A
		Municipal Uses	Population; diversity in uses; actual diversions and uses; downscaling proxies; socio-economy and technological variables	Seasonal variations in municipal water needs, structural and parametric uncertainty in estimation and projection of municipal demand	N/A
		Livestock uses	Heads; socio-economy	Seasonal variations in livestock water need; return flows	N/A
		Environmental flows	Habitat and ecosystem needs in time and space	Over-simplicity of demand calculation	Hydrological processes upstream
Water supply	River diversion	Location of diversion; capacity, slope and other properties of diversion networks	Diversion losses, return flows	Channel routing	
	Lakes and reservoirs storages	Precipitation; reservoir location and characteristics; actual storage; small dams	Crude representation of reservoir releases using representations of natural lake, losses from reservoir	Hydrological processes upstream of dams, channel routing	
	Inter-basin transfer	Location of diversion; capacity, slope and other water transfer properties; management policies; actual water transfer.	Diversion losses, simplicity of heuristic algorithms	Channel routing, calculation of demands	
	Reused water	Location, capacity and actual desalinated water supply	Limited representations	N/A	
	Groundwater storage	Soil properties, groundwater movement	Crude representation of groundwater availability, ignoring inter-cell lateral groundwater movements	Estimation of groundwater storage, recharge and discharge, calculation of demand.	
Water allocation (see Sections 2 to 4)	Operational objectives	Management policies and local constraints	Limitations of common objective functions; Temporal and spatial variations in operational objective	Estimation of water demand and supply	
	Demand-Supply dependency	Management policies and local constraints, topography, diversion channels	Steady-state assumption	Estimation of water demand and supply	
	Priorities	Management policies and local constraints	Temporal and spatial variations in priorities	Estimation of water demand and supply	
	Reservoir operations	Management policies and local constraints	Simplicity of operational rules in simulation-based approaches, complexity of optimization-based algorithms, prognosis of both approaches	Operational objectives, inflow to reservoirs, water demand	
	Groundwater withdrawal	Wells location, groundwater management, actual pumping capacities	Crude representation of groundwater withdrawals based on both top-down and bottom-up algorithms	Groundwater storage, surface water availability, grid-based water demands	

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¹ Uncertainties from host-model also include the uncertainties that can extend from other algorithms, related to water resource management, embedded in host models (see Figure 1).

² See also reservoir operations.

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Table 4. Required developments for including the elements of water resource management in Earth System models (see also Table 3)

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<u>Water resource management component</u>	<u>Required algorithmic improvements</u>	<u>Targeted spatial scale</u>	<u>Targeted temporal scale</u>	<u>Data support for parameterization and validation</u>
<u>Irrigation demands</u>	<u>Improving the calculation of crop-specific water demand considering the effect of CO₂, considering soil-water movement and other losses</u>	<u>Hyperresolution and sub-grid scale</u>	<u>Sub-daily/sub-hourly (for online simulations)</u>	<u>Crop and soil diversity, measured or assimilated evaporation over irrigated lands</u>
<u>Non-irrigative human demands</u>	<u>Improving the mapping relationship, representing the diversity of non-irrigative demands</u>	<u>Large grids with the ability to be downscaled into finer resolutions using socio-economic and climate proxies</u>	<u>Yearly and monthly with the ability to be downscaled into finer scales using socio-economic and climate proxies</u>	<u>Water use data, gridded climate and regional socio-economic data</u>
<u>Environmental flow needs</u>	<u>Improving the demand approximation considering the diversity in the aquatic life</u>	<u>Catchment scale</u>	<u>Monthly and less</u>	<u>Aquatic biodiversity and water use, climate information, water temperature, water quality</u>
<u>Lakes and reservoirs</u>	<u>Improving the representation of release and storage, linking hydrologic representation with energy-balance components</u>	<u>Grid and sub-grid</u>	<u>Daily</u>	<u>Reservoir storage and water level, release after reservoirs, storage-area-elevation relationships, operational objectives</u>
<u>Water diversions</u>	<u>Representing in-grid and inter-grid water diversions including losses</u>	<u>Grid and inter-grid</u>	<u>Daily</u>	<u>Water distribution specifications, location of abstractions</u>
<u>groundwater</u>	<u>Improving the representation of groundwater storage and recharge</u>	<u>Grid</u>	<u>Daily (shorter in online simulations)</u>	<u>Soil properties, well locations, pumping capacities</u>
<u>Water reuse and desalination</u>	<u>Improving the representation of water reuse and desalination and the annual dynamics of water supply from each facility</u>	<u>Grid</u>	<u>Yearly with the ability to be downscaled into finer time scales using climate and socio-economic proxies</u>	<u>Location and capacity of facilities, gridded climate, regional socio-economic data</u>

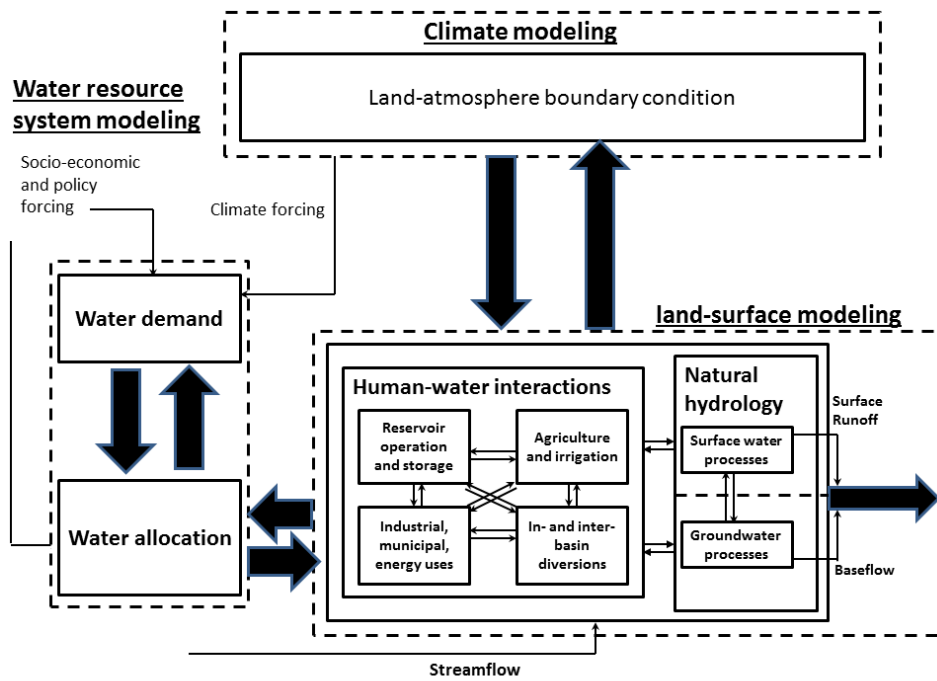


Figure 1. A fully coupled framework for inclusion of water resources management in a typical LSM grid

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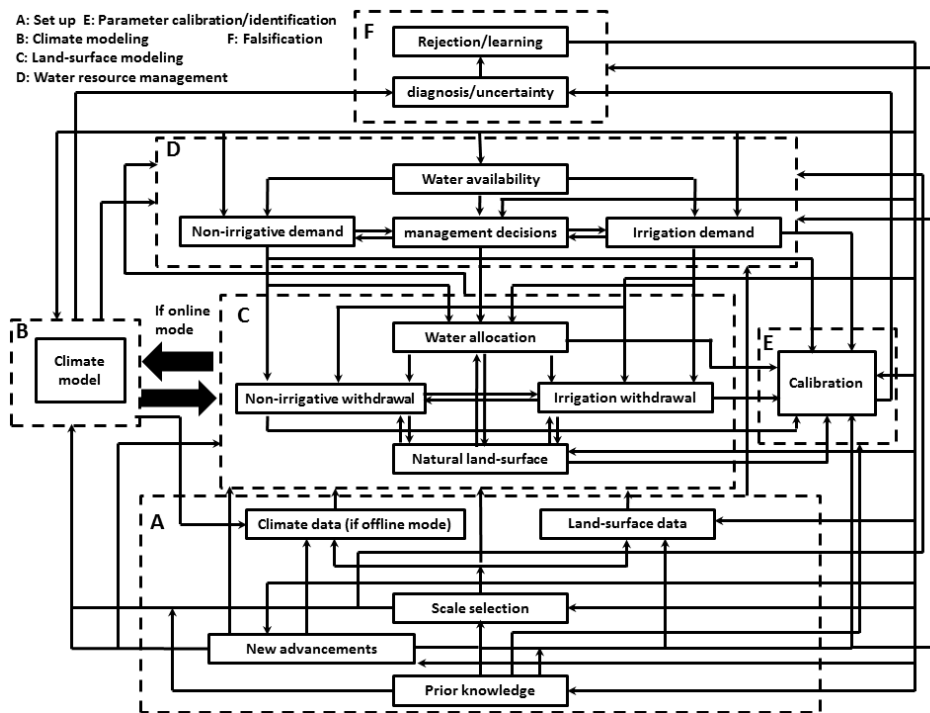


Figure 2. A modular framework for improving the inclusion of water resource management in LSMs through building, testing and falsifying multiple working hypotheses

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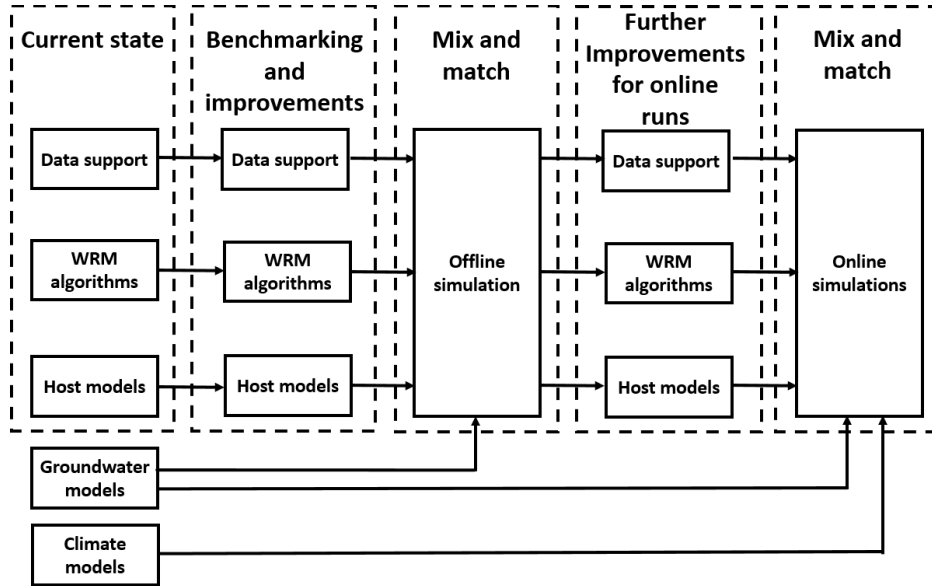


Figure 3. A sequential workflow for benchmarking, improving and including the elements of water resource management into offline and online Earth System simulations