



## 1 **Marginal cost curves for water footprint reduction in irrigated agriculture: guiding a** 2 **cost-effective reduction of crop water consumption to a benchmark or permit level**

3  
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### 8 9 **Abstract**

10 Reducing the water footprint (WF) of the process of growing irrigated crop is an indispensable element in water  
11 management, particularly in water-scarce areas. To achieve this, information on marginal cost curves (MCCs) that  
12 rank management packages according to their cost-effectiveness to reduce the WF need to support the decision  
13 making. MCCs enable the estimation of the cost associated with a certain WF reduction target, e.g. towards a  
14 given WF permit (expressed in m<sup>3</sup> per hectare per season) or to a certain WF benchmark (expressed in m<sup>3</sup> per  
15 tonne of crop). This paper aims to develop MCCs for WF reduction for a range of selected cases. The soil-water-  
16 balance and crop-growth model, AquaCrop, is used to estimate the effect on evapotranspiration and crop yield  
17 and thus WF of crop production due to different management packages. A management package is defined as  
18 specific combination of management practices: irrigation technique (furrow, sprinkler, drip or subsurface drip);  
19 irrigation strategy (full or deficit irrigation); and mulching practice (no, organic or synthetic mulching). The annual  
20 average cost for each management package is estimated as the annualised capital cost plus the annual costs of  
21 maintenance and operations (i.e. costs of water, energy, and labour). Different cases is considered, including:  
22 three crops (maize, tomato and potato); four types of environment; three hydrologic years (wet, normal and dry  
23 years) and three soil types (loam, silty clay loam and sandy loam). For each crop, alternative WF reduction  
24 pathways were developed, after which the most cost-effective pathway was selected to develop the MCC for WF  
25 reduction. When aiming at WF reduction one can best improve the irrigation strategy first, next the mulching  
26 practice and finally the irrigation technique. Moving from a full to deficit irrigation strategy is found to be a no-  
27 regret measure: it reduces the WF by reducing water consumption at negligible yield reduction, while reducing  
28 the cost for irrigation water and the associated costs for energy and labour. Next, moving from no to organic  
29 mulching has a high cost-effectiveness, reducing the WF significantly at low cost. Finally, changing from sprinkler  
30 or furrow to drip or sub-surface drip irrigation reduces the WF but at significant cost.

31  
32 Key words: water abatement cost curve, water saving, irrigation practice, soil water balance, crop growth, crop  
33 modelling

34



35

## 36 1. Introduction

37

38 In many places, water use for irrigation is a major factor contributing to water scarcity (Rosegrant et al.,  
39 2002; Mekonnen and Hoekstra, 2016), which will be enhanced by increasing demands for food and biofuels (Ercin  
40 and Hoekstra, 2014). In many regions, climate change will aggravate water scarcity by affecting the spatial  
41 patterns of precipitation and evaporation (Vörösmarty et al., 2000; Fischer et al., 2007). To ensure that WF in a  
42 catchment remains within the maximum sustainable level given the water renewal rate in the catchment,  
43 Hoekstra (2014) proposes to establish a WF cap per catchment and issue no more WF permits to individual users  
44 than fit within the cap. This would urge water users to reduce their WF to a level that is sustainable within the  
45 catchment. Additionally, in order to increase water use efficiency, Hoekstra (2014) proposes water footprint  
46 benchmarks for specific processes and products as a reference for what is a reasonable level of water  
47 consumption per unit of production. This would provide an incentive for water users to reduce their WF per unit  
48 of product down to a certain reasonable reference level. The reduction of the WF in irrigated agriculture to the  
49 benchmark level relates to improving the physical water use efficiency thus relieving water scarcity (Mekonnen  
50 and Hoekstra, 2014; Zhuo et al., 2016; Zwart et al., 2010). WF reduction in irrigated crop production can be  
51 achieved through a range of measures, including a change in mulching or irrigation technique or strategy. Chukalla  
52 et al. (2015) studied the effectiveness of different combinations of irrigation techniques, irrigation strategy and  
53 mulching practice in terms of WF reduction. No research thus far has been carried out regarding the costs of WF  
54 reduction. A relevant question though is how much does it cost to reduce the WF of crop production to a certain  
55 target such as a WF benchmark for the water consumption per tonne of crop or a WF permit for the water  
56 consumption per area.

57 The current study makes a first effort in response to this question by analysing the cost effectiveness of various  
58 measures in irrigated crop production in terms of cost per unit of WF reduction and introducing marginal cost  
59 curves (McCraw and Motes) for WF reduction. A MCC for WF reduction is a tool that presents how different  
60 measures can be applied subsequently in order to achieve an increasing amount of WF reduction, whereby  
61 measures are ordered according to their cost effectiveness (WF reduction achieved per cost unit). Every new  
62 measure introduced brings an additional (i.e. marginal) cost and an incremental (marginal) reduction of the WF.  
63 MCCs have been extensively applied to the case of carbon footprint reduction in different sectors (industries,  
64 agriculture etc.) (MacLeod et al., 2010; Enkvist et al., 2007; Kesicki, 2010; Bockel et al., 2012). In the case of other  
65 environmental footprints (Hoekstra and Wiedmann, 2014), like the ecological and water footprint, the MCC  
66 application is just starting (Khan et al., 2009; Tata-Group, 2013). In the area of water, Addams et al. (2009) has  
67 applied MCCs to analyse the cost of reducing water withdrawals for irrigated agriculture, but they didn't analyse  
68 the cost in relation WF reduction. Introducing the MCC for WF reduction given the increasing water scarcity and  
69 need to enhance water use sustainability and efficiency is imperative.

70

71 The objective of this study is to develop alternative WF reduction pathways and the MCC for WF reduction in  
72 irrigated crop production. We do so for a number of crops and environments. We apply the AquaCrop model, a



73 soil-water-balance and crop-growth model that can be used to estimate the WF of crop production under  
74 different management practices, linked with a cost model that calculates annual costs related to different  
75 management practices, to systematically assess both WF and costs of twenty management packages. Based on  
76 the outcomes we construct WF reduction pathways and marginal cost curves. Finally, we illustrate the application  
77 of the MCC for WF reduction with a selected case with a certain WF reduction target given a situation where the  
78 actual WF needs to be reduced given a cut in the WF permit.

79

## 80 2. Method and data

81

### 82 2.1 Research set-up

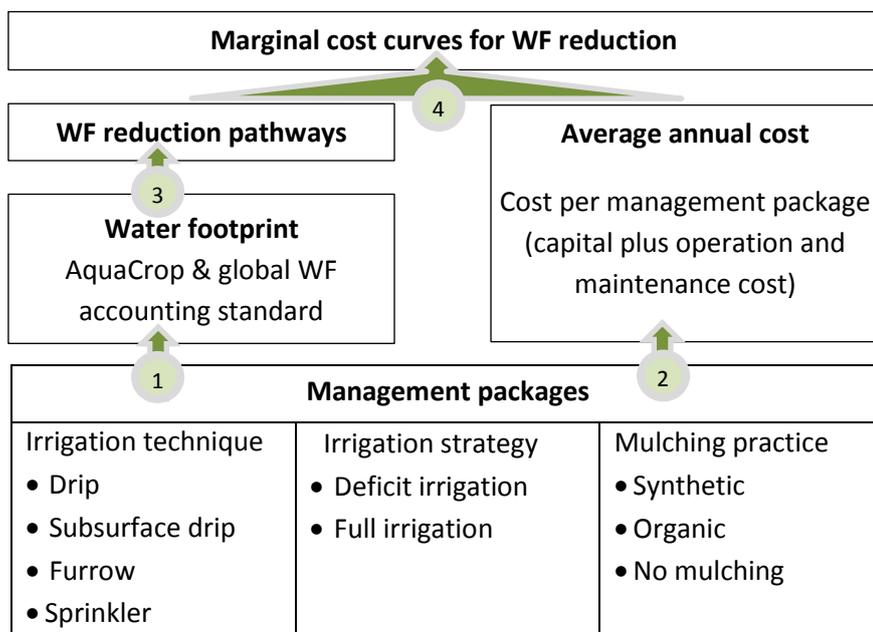
83

84 We consider the production of three crops (maize, tomato and potato) under four environments (humid, sub-  
85 humid, semi-arid and arid), three hydrologic years (wet, normal and dry year) and three soil types (loam, silty clay  
86 loam and sandy loam). We distinguish twenty management packages, whereby each management package is  
87 defined as specific combination of management practices: irrigation technique (furrow, sprinkler, drip or  
88 subsurface drip); irrigation strategy (full or deficit irrigation); and mulching practice (no, organic or synthetic  
89 mulching).

90

91 We develop the marginal cost curves (MCCs) for WF reduction in irrigated crop production in four steps (Figure  
92 1). First, we calculate the WF of growing a crop under the different environmental conditions and management  
93 packages using the AquaCrop model (Raes et al., 2013). Second, the total annual average cost for the  
94 management packages were calculated. Third, we constructed plausible WF reduction pathways starting from  
95 different initial situations. A WF reduction pathway shows a sequence of complementary measures, stepwise  
96 moving from an initial management package to management packages with lower WFs. Finally, MCCs for WF  
97 reduction were deduced based on reduction potential and cost effectiveness of the individual steps. This  
98 approach does not aim to represent a cost-benefit analysis from an agro-economic perspective. Reduced costs  
99 through water savings are included, but monetary benefits to the farmer through increased yield or product  
100 quality are not included. In this way, the approach fully focusses on costs to save water. Yield increases do have  
101 a direct impact on final results by reducing the WF per unit of product.

102



**Figure 1.** Flow chart for developing marginal cost curves for crop production

## 2.2 Management packages

Each management package is a combination of a specific irrigation technique, irrigation strategy and mulching practice. We consider four irrigation techniques, two irrigation strategies and three mulching practices. From the 24 possible combinations, we exclude four unlikely combinations, namely the combinations of furrow and sprinkler techniques with synthetic mulching (with either full or deficit irrigation), leaving 20 management packages considered in this study.

The four irrigation techniques differ considerably in the wetted area generated by irrigation (Ali, 2011). In the analysis, default values from the AquaCrop model are taken for the wetted area for each irrigation, as recommended by (Raes et al., 2013). For furrow irrigation, an 80% wetting percentage is assumed to be representative for a narrow bed furrow, from the indicative range of 60% to 100%. For sprinkler, drip and subsurface drip irrigation techniques, wetted areas by irrigation of 100%, 30% and 0%, respectively, are used.

Two irrigation strategies are analysed: full and deficit irrigation. Irrigation requires two principal decisions of scheduling: the volume of water to be irrigated and timing of irrigation. Full irrigation is an irrigation strategy in which the full evaporative demand is met; this strategy aims at maximizing yield. Its irrigation schedule is



139 simulated through automatic generation of the required irrigation to avoid any water stress. The irrigation  
140 schedule in the no water stress condition is crop-dependent: the soil moisture is refilled to field capacity (FC)  
141 when 20%, 36% and 30% of readily available water (RAW) of the soil is depleted for maize, potato and tomato  
142 respectively (FAO, 2012). This scheduling results in a high irrigation frequency, which is impractical in the case of  
143 furrow and sprinkler irrigation. To circumvent such unrealistic simulation for the case of furrow and sprinkler  
144 irrigation, the simulated irrigation depths are aggregated in such a way that a time gap of a week is maintained  
145 between two irrigation events.

146  
147 Deficit irrigation (DI) is the application of water below the evapotranspiration requirements (Feres and Soriano,  
148 2007) by limiting water applications particularly during less drought-sensitive growth stages (English, 1990). The  
149 deficit strategy is established by reducing the irrigation supply below the full irrigation requirement. We  
150 extensively tested various deficit irrigation strategies that fall under two broad categories: (1) regulated deficit  
151 irrigation, where a non-uniform water deficit level is applied during the different phenological stages; and  
152 sustained deficit irrigation, where the water deficit is managed to be uniform during the whole crop cycle. In the  
153 analysis of simulations, the specific deficit strategy that is optimal according to the model experiments and for  
154 yield reduction not exceeding 2% is used. AquaCrop simulates water stress responses triggered by soil moisture  
155 depletion using three thresholds for a restraint on canopy expansion, stomatal closure and senescence  
156 acceleration (Steduto et al., 2009b).

157  
158 Mulching is the process of covering the soil surface around a plant to create good-natured conditions for its  
159 growth (Lamont et al., 1993; Lamont, 2005). Mulching has various purposes: reduce soil evaporation, control weed  
160 incidence and its associated water transpiration, reduce soil compaction, enhance nutrient management and  
161 incorporate additional nutrients (McCraw and Motes, 1991; Shaxson and Barber, 2003; Mulumba and Lal, 2008).  
162 The AquaCrop model simulates the effect of mulching on evaporation and represents effects of soil organic  
163 matter through soil hydraulic properties influencing the soil water balance. Soil evaporation under mulching  
164 practices is simulated by scaling the evaporation with a factor that is described by two variables (Raes et al.,  
165 2013): the fraction of soil surface covered by mulch (from 0 to 100 %); and a parameter representing mulch  
166 material ( $f_m$ ). The correction factor for the effect of mulching (CF) on evaporation is calculated as:

$$168 \quad CF = \left(1 - f_m \frac{\% \text{ covere by mulch}}{100}\right) \quad (1)$$

169  
170 We assume a mulching factor  $f_m$  of 1.0 for synthetic mulching, 0.5 for organic mulching and zero for no mulching  
171 as suggested by Raes et al. (2013). Further we take a mulch cover of 100 % for organic and 80 % for synthetic  
172 materials, again as suggested in the AquaCrop reference manual (Raes et al., 2013).

173  
174 *2.3 Calculation of water footprint per management package*



175

176 The water footprint (WF) of crop production is a volumetric measure of fresh water use for growing a crop,  
177 distinguishing between the green WF (consumption of rainwater), blue WF (consumption of irrigation water or  
178 consumption of soil moisture from capillary rise) and the grey WF (water pollution) (Hoekstra et al., 2011). The  
179 green and blue WF, which are the focus in the current study, are together called the consumptive WF. To allow  
180 for a comprehensive and systematic assessment of consumptive WF, this study employs the AquaCrop model to  
181 estimate green and blue evapotranspiration (ET) and crop yield (Y) to calculate blue and green WF of crop  
182 production.

183

184 We use the plug-in version of AquaCrop 4.1 (Steduto et al., 2009a; Raes et al., 2011) and determine the crop  
185 growing period based in growing degree days. AquaCrop model simulates the soil water balance in the root zone  
186 with a daily time step over the crop growing period (Raes et al., 2012). The fluxes into and from the root zone are  
187 runoff, infiltration, evapotranspiration, drainage and capillary rise. The green and blue fractions in total ET are  
188 calculated based on the green to blue water ratio in the soil moisture, which in turn is kept track of over time by  
189 accounting for how much green and blue water enter the soil moisture, following the accounting procedure as  
190 reported in (Chukalla et al., 2015).

191

192 AquaCrop simulates actual ET and biomass growth based on the type of crop grown (with specific crop  
193 parameters), the soil type, climate data such as precipitation and reference ET ( $ET_0$ ), and given water and field  
194 management practices. We estimate  $ET_0$  based on FAO's  $ET_0$  calculator that uses the Penman-Monteith equation  
195 (Allen et al., 1998). The model separates daily ET into crop transpiration (productive) and soil evaporation (non-  
196 productive). Evaporation (E) is calculated by multiplying reference ET ( $ET_0$ ) with factors that consider the fraction  
197 of the soil surface not covered by canopy, and water stress. There are two stages of determining evaporation  
198 (Ritchie, 1972): the first stage, the evaporation rate is fully determined by the energy available for soil  
199 evaporation – this happens when the soil surface is soaked by rainfall or irrigation; and the second stage also  
200 called the falling rate stage, the evaporation is determined by the available energy and on the hydraulic properties  
201 of the soil. AquaCrop model is confirmed to reasonably simulate evaporation, transpiration and thus ET through  
202 field experimental studies for various conditions (Afshar and Neshat, 2013; Saad et al., 2014).

203

204 The crop growth engine of AquaCrop estimates the biomass by multiplying water productivity and transpiration  
205 and yield by multiplying biomass with harvest index. Water productivity is assumed to respond to atmospheric  
206 evaporative demand and atmospheric  $CO_2$  concentration (Steduto et al., 2009a).

207

208 We express the WF of crop production in two ways. The green and blue WF per unit of land ( $m^3/ha$ ) are calculated  
209 as the green and blue evapotranspiration over the growing period of a crop. The green and blue WF per unit of  
210 production ( $m^3/tonne$ ) are calculated by dividing green or blue evapotranspiration over the growing period of a  
211 crop ( $m^3/ha$ ) by the crop yield (tonne/ha). The crop yield in terms of dry matter per hectare as obtained from the  
212 AquaCrop calculations is translated into a fresh crop yield (the marketable yield) per hectare. The dry matter



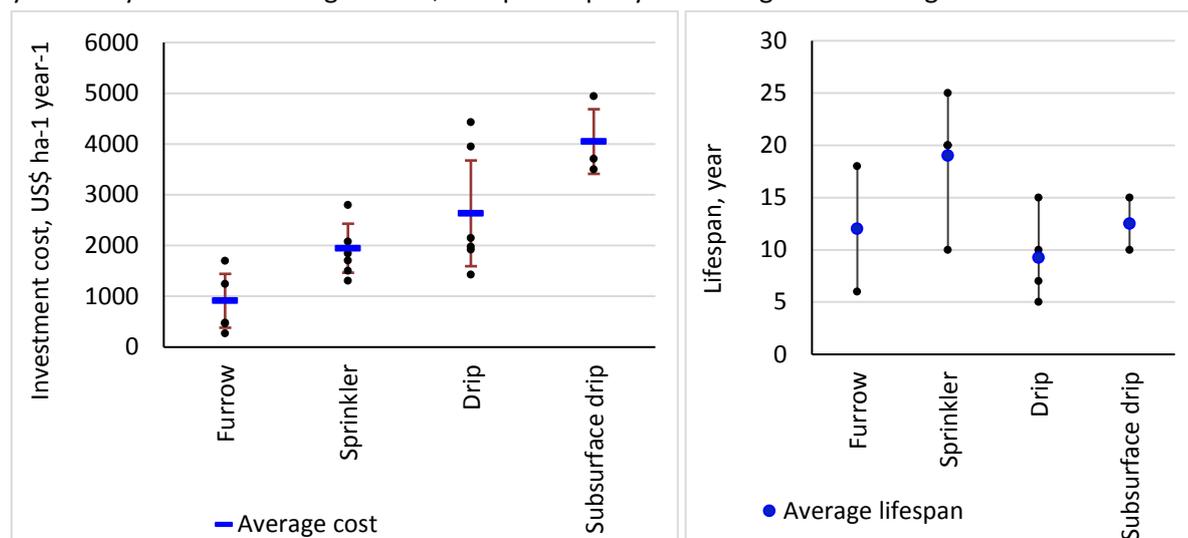
213 fractions of marketable yield for tomato, potato and maize are estimated to be 7%, 25% and 100%, respectively  
 214 (Steduto et al., 2012). The variability of green and blue WF are presented by calculating the standard deviation of  
 215 the estimated WFs across different environments, hydrologic years and soil types.

216  
 217 *2.4 Estimation of annual cost per management package*

218  
 219 The overall cost of a management package includes initial capital or investment costs (IC), operation costs (OC),  
 220 and maintenance costs (MC). Investment costs include costs of installing a new irrigation system and/or buying  
 221 plastics for synthetic mulching. Operation cost refer to costs for irrigation water, energy and labour. Maintenance  
 222 costs include labour and material costs. Both OC and MC are expressed as annual cost (US\$/ha per year).

223  
 224 Figure 2 shows the average annual investment cost of irrigation techniques and their lifespan. The data are  
 225 derived from different sources as specified in Appendices A and B. Investment costs that were reported as one-  
 226 time instalment costs were converted to equivalent annual costs based on a 5% interest rate and the lifespan of  
 227 the techniques. The average annual maintenance cost per irrigation technique – including costs for labour and  
 228 material – is assumed to be equivalent to 2% of the annualised investment costs (Kay and Hatcho, 1992).

229  
 230 The average annual investment costs of US\$ 1112 per ha for synthetic mulching is based on the sources as  
 231 specified in Appendix C. We further assume an average operation and maintenance costs of US\$ 140 per ha per  
 232 year for synthetic mulching and US\$ 200 per ha per year for organic mulching.



233  
 234 **Figure 2.** Annual investment cost and lifespan for irrigation techniques

235  
 236 The operational cost related to the use of irrigation water is calculated from the amount of irrigation water  
 237 applied and an average unit price of water ( $0.09 \pm 0.02$  US\$ per m<sup>3</sup>, Appendix E). The amount of irrigation supply



238 is calculated by dividing the irrigation volume applied at field level simulated by AquaCrop by the application  
 239 efficiency (Phocaides, 2000). Application efficiency, the ratio of actually applied to supplied irrigation water, is  
 240 different per irrigation technique (Table 1). The operational cost related to energy use for sprinkler, drip and  
 241 subsurface drip irrigation is calculated as the total energy demand over the growing season multiplied by the cost  
 242 of energy (Appendix F). The total energy demand (kWh) is calculated as follows (Kay and Hatcho, 1992):

243  
 244 Seasonal energy demand  $= \frac{I \times h}{367 \eta}$  (2)

245  
 246 where I is the volume of irrigation water to be pumped in a crop season (in m<sup>3</sup>), h the pressure head (in m) given  
 247 in Table 1.

248 and  $\eta$  the pump efficiency. The pump efficiency can be between 40% and 80% for a pump running at optimum  
 249 head and speed and is assumed at 60% here (Kay and Hatcho, 1992).

250 Energy required to transport surface water to the field or to pump up groundwater is not included in the  
 251 estimates.

252  
 253 The operational cost related to labour is calculated as the required labour hours per irrigation event times the  
 254 number of irrigation events times the cost of labour per h. The number of irrigation events in the crop growing  
 255 period is simulated with AquaCrop. The required labour hours per irrigation event is shown in Table 1 and the  
 256 cost of labour per h is given in Appendix D.

257  
 258 **Table 1.** The application efficiency, labour intensity and pressure head required per irrigation technique.

Irrigation technique	Application efficiency (%)	Labour intensity (h ha <sup>-1</sup> per irrigation event)	Pressure head (m)
	Sources: Brouwer et al. (1989), Kay and Hatcho (1992), and Phocaides (2000)	Sources: Kay and Hatcho (1992)	Sources: (Reich et al., 2009) and Phocaides (2000)
Furrow	60	2.0-4.0	0
Sprinkler	75	1.5-3.0	25
Drip	90	0.2-0.5	13.6
Subsurface drip	90	0.2-0.6	13.6

259  
 260 Uncertainties in the cost estimations are represented by their standard deviation. The standard deviations in the  
 261 investment and maintenance costs and operational costs for water, energy and labour were systematically  
 262 combined in calculating the standard deviation for the total cost estimation.

263



## 264 2.5 Marginal cost curves for WF reduction

265

266 After having calculated the total cost and WF associated with each management package, the MCC for reducing  
267 the WF per area or per unit of crop in irrigated agriculture is developed in two steps:

268

- 269 1. Identify alternative WF reduction pathways by arranging plausible progressive sequences of management  
270 packages from a baseline management package to a management package with the smallest WF.
- 271 2. Select the most cost-effective pathway for a certain baseline and derive from that pathway the MCC for WF  
272 reduction.

273

274 We consider two baseline management packages: the full irrigation strategy and no mulching practice combined  
275 with either furrow or sprinkler irrigation. These two management packages are the most widely deployed types  
276 of water and field management (Baldock et al., 2000).

277

278 The marginal cost (MC) of a unit WF reduction for a management package 2 compared to a preceding  
279 management package 1 along the pathway of decreasing WF is calculated as:

280

$$281 \text{ MC of a unit WF reduction} = \frac{(TC_2 - TC_1)}{WF_1 - WF_2} \quad (3)$$

282

283 where  $TC_x$  refers to the total annual cost of management package x and  $WF_x$  to the water footprint of  
284 management package x.

285

286 The MCC shows how subsequent WF reductions can be achieved in the most cost-effective way by moving from  
287 the baseline management package to another package, and further to yet another package and so on. It shows  
288 both cost and WF reduction achieved with each step. With each step, the marginal cost of WF reduction will  
289 increase.

290

## 291 2.6 Data

292

293 The WFs were calculated for four locations (Israel, Spain Italy and the UK), three hydrological years (wet, normal  
294 and dry years) and three soil types (loam, silty clay loam, sandy loam). The input data on climate and soil were  
295 collected from four sites: Rothamsted in the UK (52.26° N, 0.64°E; 69m amsl), Bologna in Italy (44.57 °N, 11.53 °E;  
296 19m amsl), Badajoz in Spain (38.88 °N, -6.83 °E; 185m amsl), and Eilat in Israel (29.33 °N, 34.57 °E; 12m above  
297 mean sea level). These sites characterise humid, sub-humid, semi-arid, and arid environments respectively. Daily  
298 observed climatic data (rainfall, minimum and maximum temperature), were extracted from the European  
299 Climate Assessment and Dataset (ECAD) (Klein Tank et al., 2002). Wet, normal and dry years were selected from  
300 20 years daily rainfall data (observed data from the period 1993 to 2012). Daily  $ET_0$  for the wet, normal and dry



301 years were derived using FAO's  $ET_0$  calculator (Raes, 2012). Soil texture data, which is extracted with the  
302 resolution of  $1 \times 1 \text{ km}^2$  from European Soil Database (Hannam et al., 2009), is used to identify the soil type based  
303 on the Soil Texture Triangle calculator (Saxton et al., 1986). The physical characteristics of the soils is used taken  
304 from the default parameters in AquaCrop. For crop parameters, by and large we take the default values as  
305 represented in AquaCrop. However, the rooting depth for maize at the Bologna site is restricted to the maximum  
306 of 0.7m to account for the actual local condition of a shallow groundwater table (average 1.5 m). The main  
307 components of the average annual cost per management package have been collected from literature. The costs  
308 for water, labour and energy are averaged over data for Spain, Italy and the UK, i.e. from three of the four  
309 countries studied here. An overview of the costs and their sources are presented in Appendices A to F.

310

### 311 3. Results

312

#### 313 3.1 Water footprint and cost per management package

314

315 Figures 3 and 4 show the WF per area and WF per unit of crop, and the annual average costs corresponding to  
316 twenty management packages.

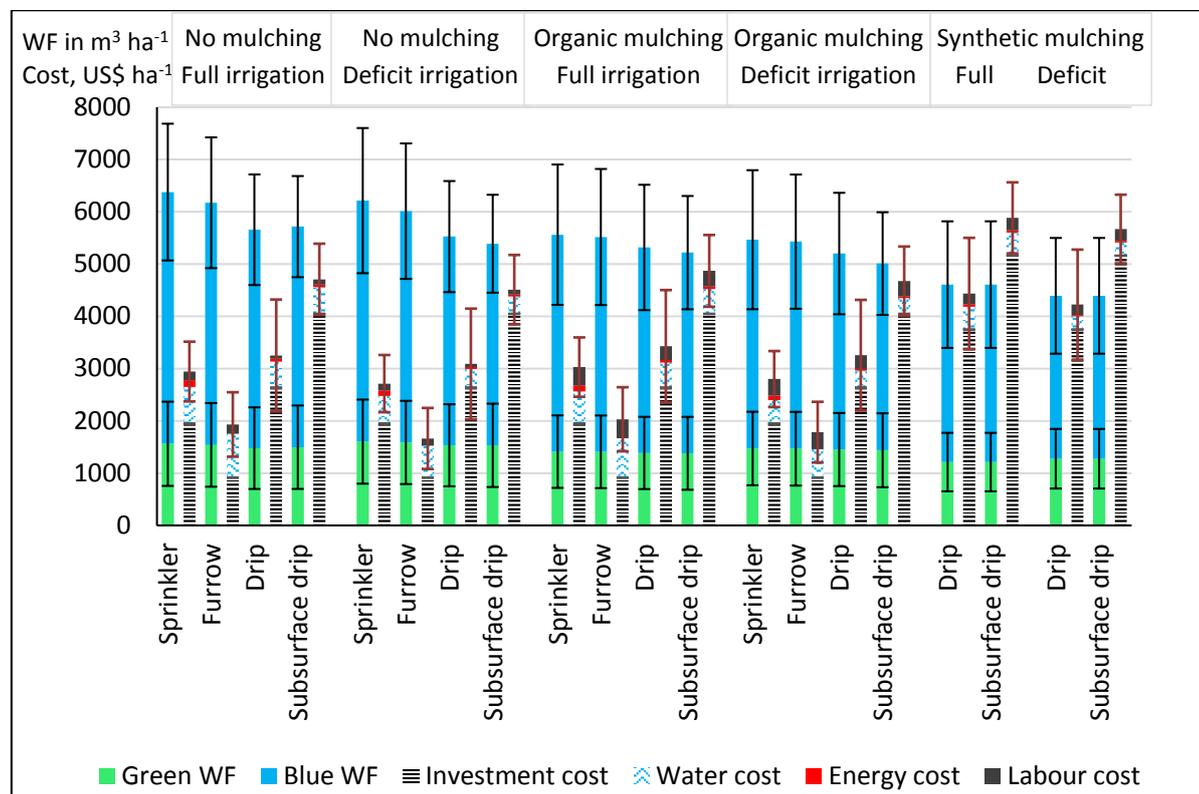
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318 For each combination of a certain mulching practice and irrigation strategy, the consumptive WF and the blue WF  
319 in particular decrease when we move from sprinkler to furrow to drip and further to subsurface drip irrigation.  
320 Under given irrigation strategy and mulching practice, the WF in  $\text{m}^3/\text{ha}$  in case of subsurface drip irrigation is 6.2-  
321 13.3% smaller than in case of sprinkler irrigation. The annual average cost always increases from furrow to  
322 sprinkler and further to drip and subsurface drip irrigation. Under given mulching practice and irrigation strategy,  
323 the cost in case of furrow irrigation is 58-63% smaller than in case of subsurface drip irrigation. The cost of furrow  
324 irrigation is small particularly because of the relatively low investment cost, which is higher for sprinkler and even  
325 higher for drip and subsurface drip irrigation. The operational costs, on the contrary, are higher for sprinkler and  
326 furrow than for drip or subsurface drip irrigation, because of the higher water consumption and thus cost for  
327 sprinkler and furrow. Sprinkler has the highest operational cost because it requires a high pressure head to  
328 distribute the water (thus higher energy cost).

329

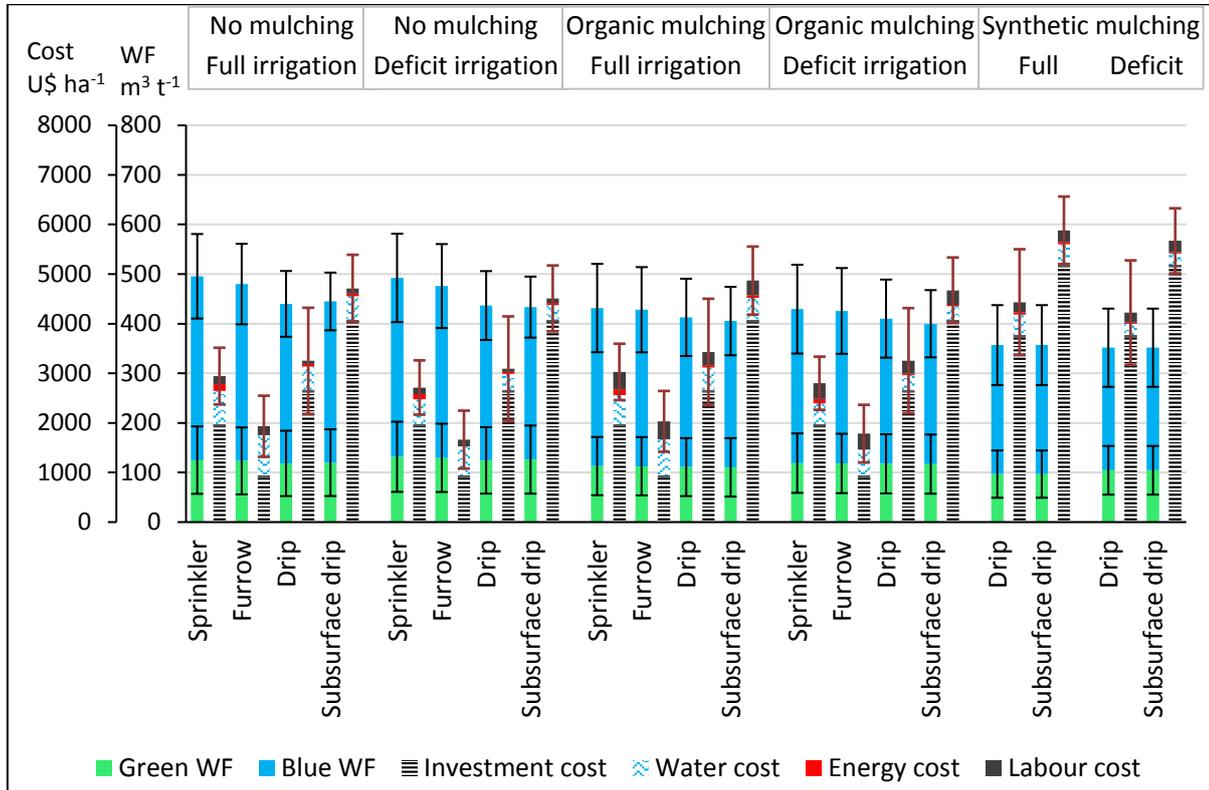
330 Under given irrigation technique and mulching practice, deficit irrigation (DI) always results in a slightly smaller  
331 WF in  $\text{m}^3/\text{ha}$  (in the range of 1.6-5.7%) and lower cost (in the range of 4-14%) as compared to full irrigation (FI).  
332 The decrease in cost is due to the decrease in water and pumping energy. The WF of crop production always  
333 reduces in a stepwise way when going from no mulching to organic mulching and then to synthetic mulching,  
334 while the costs increase along the move. This cost increase relates to the growing material and labour costs when  
335 applying mulching (most with synthetic mulching), but the net cost increase is tempered by the fact that less  
336 water and pumping energy will be required.

337



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 344

**Figure 3:** Average WF per area (m<sup>3</sup> ha<sup>-1</sup>) for maize production and average annual costs associated with 20 management packages. The whiskers around WF estimates indicate the range of outcomes for the different cases (different environments, hydrologic years and soil types). The whiskers around cost estimates indicate uncertainties in the costs. WF estimates are split up in blue and green components; costs are split up in investment, water, energy and labour costs.



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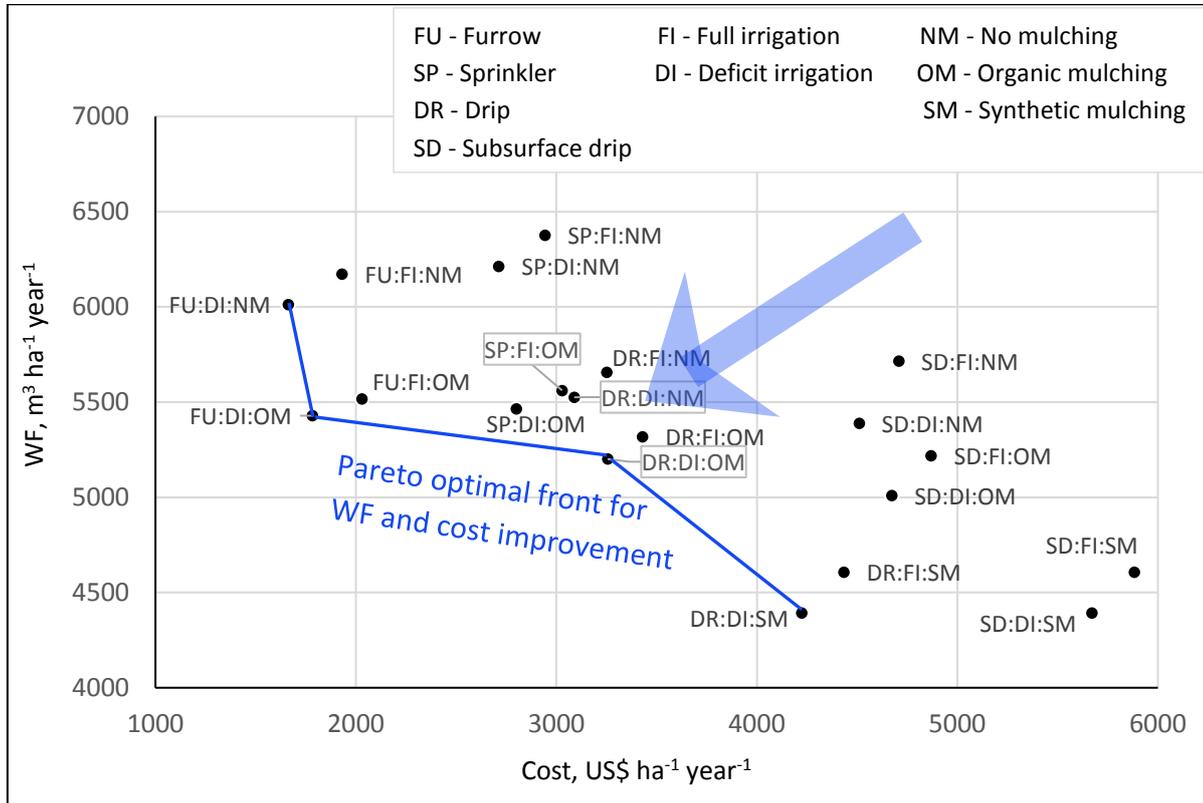
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Figure 4: Average WF per product unit ( $\text{m}^3 \text{t}^{-1}$ ) for maize production and average annual costs associated with 20 management packages. The whiskers around the WF estimates indicate the range of outcomes for the different cases (different environments, hydrologic years and soil types). The whiskers around cost estimates indicate uncertainties in the costs.

Figure 5 shows the scatter plot of the twenty management packages, the abscissa and ordinate of each point representing the average annual cost and average WF, respectively, of a particular management package. In this graph, the blue arrow indicates the direction of decreasing WF and costs. The points or management packages connected by the blue line are jointly called the Pareto optimal front or non-dominated Pareto optimal solutions. Moving from one to another management package on the line will reduce either cost or WF but increase the other, thus implying a trade-off between the two variables. Each management package that is not on the line can be improved in terms of reducing cost or reducing WF or both.



359  
 360 Figure 5: Pareto optimal front for WF and cost reduction in irrigated crop production. The dots represent the  
 361 annual cost of maize production and the WF per area for twenty management packages. The line connects the  
 362 Pareto optimal management packages.

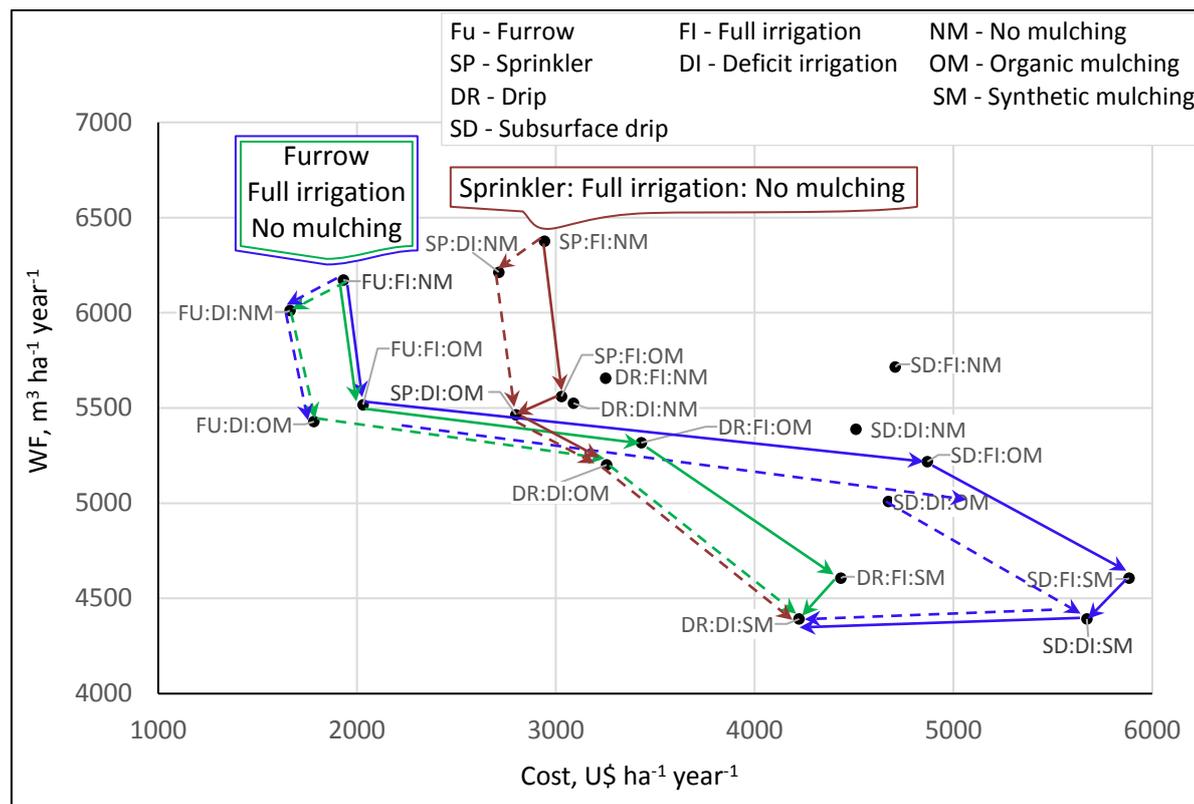
363  
 364 *3.2 Water footprint reduction pathways*

365  
 366 In developing a new irrigation scheme or renovating an existing one in a water-scarce area, it would be rational  
 367 to implement one of the management packages from the Pareto optimal set if the goal is to arrive at a cost-  
 368 effective minimization of the WF of crop production. In an existing farm, where the management package is not  
 369 in the Pareto optimal set, there can be alternative pathways towards reducing the WF. This involves a stepwise  
 370 adoption of complementary measures that eventually leads to a management package in the Pareto optimal set.

371  
 372 Figure 6 shows alternative WF reduction pathways from the two most common baseline management packages:  
 373 full irrigation and no mulching with either furrow or sprinkler irrigation. The figure shows four WF reduction  
 374 pathways from the baseline with furrow irrigation and two pathways from the baseline with sprinkler irrigation.  
 375 In all pathways, the WF of crop production is continually reduced by changing one thing at a time, i.e. either the  
 376 irrigation technique, the irrigation strategy or the mulching practice. In some cases, a step may be accompanied



377 by a cost reduction, but in the end most steps imply a cost increase. Logically, all pathways end at a point at the  
 378 Pareto optimal front.  
 379



380  
 381 Figure 6: WF reduction pathways for maize from two baseline management packages: full irrigation and no  
 382 mulching with either furrow or sprinkler irrigation.

383  
 384 *3.3 Marginal cost curves for WF reduction*

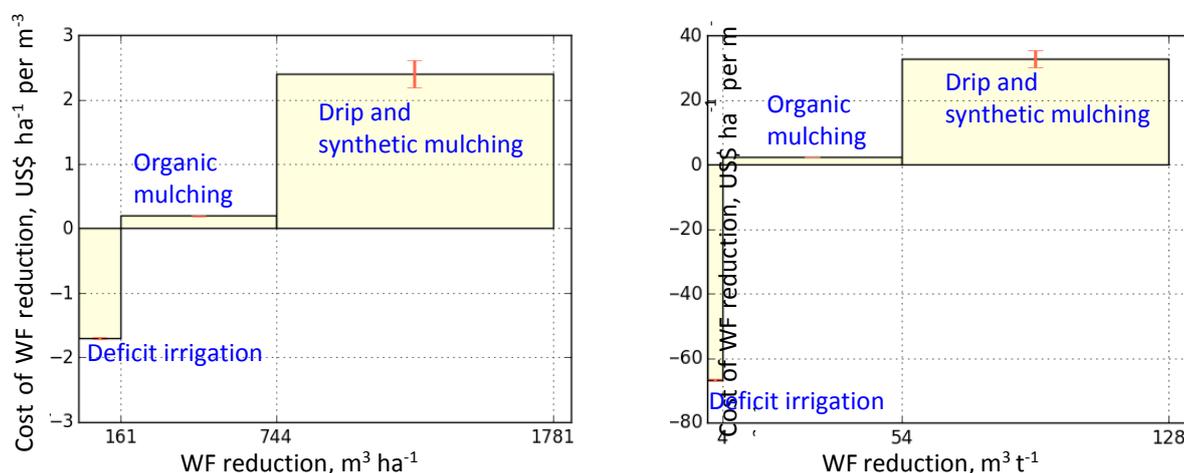
385  
 386 Not all alternative WF reduction pathways from a specific baseline are equally cost effective. In both cases it  
 387 makes much sense to move from full to deficit irrigation first, because that reduces the WF and cost at the same  
 388 time. Next, it is best to move from no to organic mulching because the cost-effectiveness of this measure is very  
 389 high, which can be measured in the graph (Figure 6) as the steep slope (high WF reduction per dollar). Finally, the  
 390 most cost-effective measure, in both cases, is to move towards drip irrigation in combination with synthetic  
 391 mulching. One could also move to drip irrigation and stay with organic mulching, which is also Pareto optimal;  
 392 the cost of this will be less, but the WF reduction will be less as well. However, moving to drip irrigation in  
 393 combination with synthetic mulching is more cost-effective (higher WF reduction per dollar) than moving to drip  
 394 irrigation while staying with organic mulching.

395



396 For both baseline management packages, we have drawn the MCCs in Figures 7 and 8 for the case of maize. The  
 397 curves are shown both for reducing the WF per area (Figures 7a and 8a) and the WF per unit of product (Figure  
 398 7b and 8b). From these curves, we can read the most cost-effective measures that can subsequently be  
 399 implemented. For each step we can read in the graph what is the associated marginal cost and what is the  
 400 associated WF reduction. In both cases, the first step goes at a negative cost, i.e. a benefit, while next steps go at  
 401 increasing marginal cost. Each step is shown in the form of a bar, with the height and width representing the cost  
 402 per unit WF reduction and the WF reduction, respectively. The area under a bar represents the total cost of  
 403 implementing the measure.

404

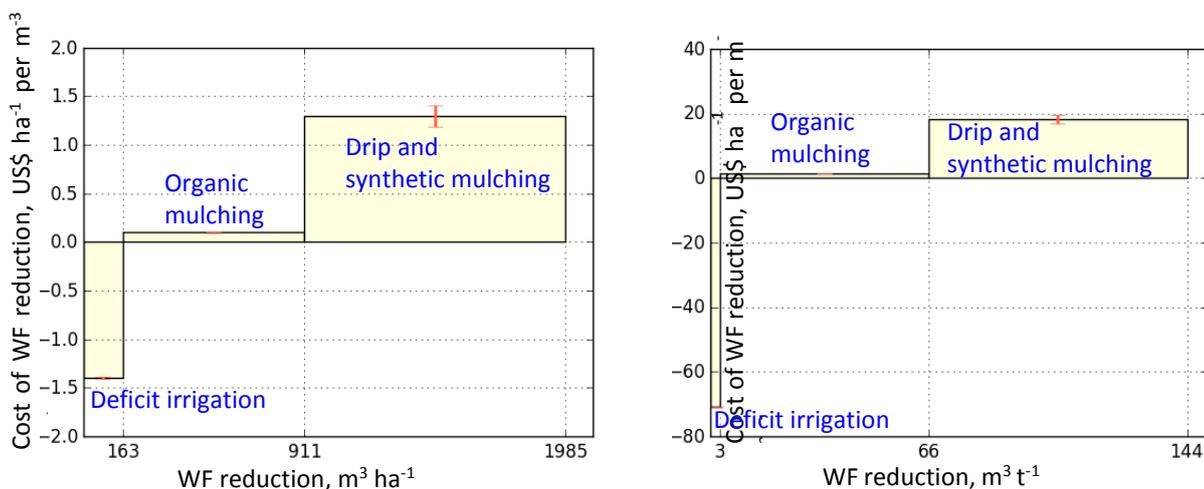


405

406

407 Figure 7: Marginal cost curves for WF reduction for maize for the baseline of furrow technique combined with full  
 408 irrigation and no mulching. Left: WF reduction per area. Right: WF reduction per unit of product.

409



410

411

412 Figure 8: Marginal cost curve for WF reduction of maize for the baseline of sprinkler technique combined with  
 413 full irrigation and no mulching. Left: WF reduction per area. Right: WF reduction per unit of product.



414

415 For tomato and potato we find similar results as for maize, as shown by the data presented in Appendix G.

416

### 417 *3.4 Application of the marginal cost curve*

418

419 In this section, we elaborate a practical application of a MCC for WF reduction, using a selected case with a certain  
420 WF reduction target given a situation where the actual WF needs to be reduced given a cut in the WF permit. The  
421 future introduction of WF permits to water users or WF benchmarks for products in water-scarce areas is likely if  
422 the sustainable development goals (SDGs) are to be met, particularly SDG 6.4, which reads: “by 2030, substantially  
423 increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to  
424 address water scarcity, and substantially reduce the number of people suffering from water scarcity”. Here we  
425 will illustrate how a MCC for WF reduction can help in achieving a certain WF reduction goal.

426

427 An MCC for WF reduction – ranking measures according to their cost-effectiveness in reducing WF – can be used  
428 to estimate what measures can best be taken and what is the associated total cost to achieve a certain WF  
429 reduction target. For farmers, it will not be attractive to go beyond the implementation of those WF reduction  
430 measures that reduce cost as well, but from a catchment perspective further WF reduction may be required. An  
431 MCC will show the societal cost associated with a certain WF reduction goal. Governments, food companies and  
432 investors can make use of this information to develop incentive schemes for farmers and/or investment plans to  
433 implement the most-cost effective measures in order to achieve a certain WF reduction in a catchment or at a  
434 given farm.

435

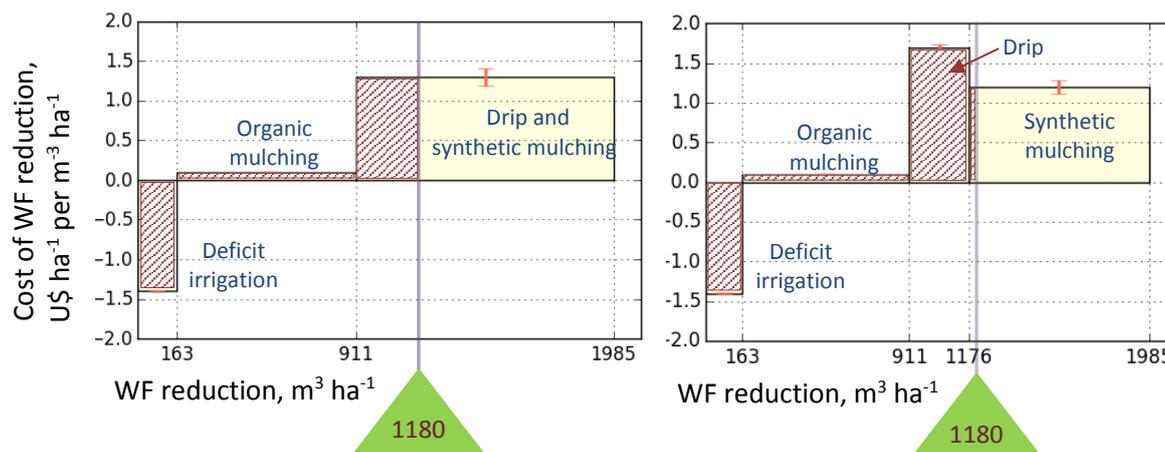
436 In a hypothetical example, in the river basin the WF exceeds the maximum sustainable level. Agriculture in the  
437 basin consists of irrigated maize production with a current consumptive WF on the farms of  $6380 \text{ m}^3 \text{ ha}^{-1}$ . The  
438 farms apply sprinkler and full irrigation and no mulching. In order to reduce water consumption in the basin to a  
439 sustainable level, the river basin authority proposes various measures including a regulation that prohibits land  
440 expansion for crop production and the introduction of a WF permit to the maize farmers that allows them to use  
441 no more than  $5200 \text{ m}^3 \text{ ha}^{-1}$ . This means they have to reduce the WF of maize production by  $1180 \text{ m}^3 \text{ ha}^{-1}$ . Figure  
442 9 shows how the MCC for WF reduction can help in this hypothetical example to identify what measures can best  
443 be taken to reduce the WF by the required amount and what costs will be involved.

444

445 As shown in the figure, we best implement deficit irrigation first (providing a total benefit of  $231 \text{ USD ha}^{-1}$ ),  
446 followed by organic mulching (with a total cost of  $87 \text{ USD ha}^{-1}$ ). The third and last step to finally achieve the  
447 required WF reduction can be to implement drip irrigation combined with synthetic mulching on 25% of the maize  
448 fields (at a total cost of  $356 \text{ USD ha}^{-1}$ ). The other 75% is then still with sprinkler and organic mulching, but the  
449 combined result is meeting the target. Alternatively, because in this particular case the cost-effectiveness of  
450 moving to drip irrigation with organic mulching is close to the cost-effectiveness of moving to drip irrigation with  
451 synthetic mulching, one could move in the third step on 100% of the fields to drip irrigation with organic mulching,



452 which would result in a WF reduction of 1176 m<sup>3</sup> ha<sup>-1</sup>. In order to meet the full target, a small percentage of the  
 453 total fields would need to implement synthetic mulching in addition.  
 454



455  
 456  
 457  
 458  
 459 Figure 9: Application of the MCC in an example where the WF of maize production needs to be reduced. The  
 460 baseline is sprinkler, full irrigation and no mulching with a WF of 6380 m<sup>3</sup> ha<sup>-1</sup>. This needs to be reduced by 1180  
 461 m<sup>3</sup> ha<sup>-1</sup> in order to meet a given the local WF permit. Left: in the third step, drip irrigation combined with synthetic  
 462 mulching is implemented on 25% of the area. Right: in the third step, drip irrigation (maintaining organic  
 463 mulching) is implemented on 100% of the area, while in a fourth step synthetic mulching is implemented on 0.5%  
 464 of the area.

#### 466 4. Conclusion

467  
 468 In this study, we have developed a method to obtain marginal cost curves for WF reduction in crop production.  
 469 The method is innovative by employing a model that combines soil water balance accounting and a crop growth  
 470 model and assessing costs and WF reduction for all combinations of irrigation techniques, irrigation strategies  
 471 and mulching practices. This is a model-based approach to constructing MCCs, which has the advantage over an  
 472 expert-based approach by considering the combined effects of different measures and thus accounting for non-  
 473 linearity in the system (i.e. the effect of two measures combined doesn't necessarily equal the sum of the effects  
 474 of the separate measures). While this approach has been used in the field of constructing MCCs for carbon  
 475 footprint reduction (Kesicki, 2010), this has never been done before for the case of water footprint reduction.  
 476

477 Developing the MCC for WF reduction for three specific irrigated crops, we found that when aiming at WF  
 478 reduction one can best improve the irrigation strategy first, next the mulching practice and finally the irrigation  
 479 technique. Moving from a full to deficit irrigation strategy is found to be a no-regret measure: it reduces the WF  
 480 by reducing water consumption at negligible yield reduction, while reducing the cost for irrigation water and the



481 associated costs for energy and labour. Next, moving from no to organic mulching has a high cost-effectiveness,  
482 reducing the WF significantly at low cost. Finally, changing from sprinkler or furrow to drip or sub-surface drip  
483 irrigation reduces the WF but at significant cost.

484

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489 Association of Hydrological Sciences (IAHS)

490

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## 616 Appendices

### 617 Appendix A: Estimates of the investment cost of irrigation techniques (US\$ ha<sup>-1</sup> year<sup>-1</sup>)

No	Irrigation techniques	Furrow	Sprinkler	Drip	Subsurface drip
1	Cost	467 - 1312	1844 - 2399	1429 - 2594	
	Remark	The techniques are named as surface pumped, sprinkler and localized pumped. The database focuses on the developing regions of the world for the year 2000.			
	Source	FAO (2016)			
2	Cost	1700	2800	3950	
	Remark	Average prices in Europe in 1997. The irrigation technologies are named as improved surface, sprinkler and micro irrigation			
	Source	Phocaides (2000)			
3	Cost	1242	2080	4429	



	Remark	The type of sprinkler is hand moved			
	Source	Custodio and Gurguı (1989)			
4	Cost	291	1500	1918	3500
	Remark	The one-time investment cost is annualized based on the average life span of the techniques and an interest rate of 5%			
	Source	Williams and Izaurralde (2006)			
5	Cost				3707 - 4942
	Source	Reich et al. (2009)			
6	Cost		1305	1976	
	Source	Zou et al. (2013)			
7	Cost	271	1706	2147	
	Remark	For a case in China for the year 2000. The irrigation techniques are named as improved surface, sprinkler and micro irrigation			
	Source	Mateo-Sagasta et al. (2013)			

619

620

Appendix B: Estimates of the lifespan of irrigation techniques from various sources

Irrigation techniques	Lifespan (years)						
	Source	Oosthuizen et al. (2005)	Reich et al. (2009)	Williams and Izaurralde (2006)	Zou et al. (2013)	Average lifespan	
Furrow	6			18		12	
Sprinkler		20	25	20	10	20	19
Drip	7			10	5	15	9.25
Subsurface drip		10	15				12.5

621

622

Appendix C: Estimates for the cost of mulching (US\$ ha<sup>-1</sup> year<sup>-1</sup>)

Mulching	Average annual investment cost	Operation and maintenance cost	Sources
Plastic mulching	1227		Lamont et al. (1993)
	875 to 1750		Shrefler and Brandenberger (2014)
	585	140	Jensen and Malter (1995)
Average cost for plastic mulching cost ± SD	1112 ± 434	140	
Average cost for organic mulching		200 ± 100	Klonsky (2012)



623 Appendix D: Labour cost per hour, in European agriculture for selected countries

Country	Labour cost	Source
Italy (Euro h <sup>-1</sup> )	6.87	Agri-Info.Eu (2016)
Spain (Euro h <sup>-1</sup> )	4	
UK (Euro h <sup>-1</sup> )	8.6	
Average (Euro h <sup>-1</sup> )	6.5	
Average ± SD (US\$ h <sup>-1</sup> )	7.2 ± 2.3	

624 Appendix E: Cost of water  
 625

Country	Water price	Source
UK (Euro m <sup>-3</sup> )	0.06	Lallana and Marcuello (2016)
Spain (Euro m <sup>-3</sup> )	0.07	Gómez - Limón and Riesgo (2004)
Italy (Euro m <sup>-3</sup> )	0.1	Garrido and Calatrava (2010)
Average (Euro m <sup>-3</sup> )	0.08	
Average ± SD (US\$ m <sup>-3</sup> )	0.09 ± 0.02	

626 Appendix F: Cost of energy, Eurostat (2016)  
 627

Country	Year			Average
	2012	2013	2014	
Italy	0.178	0.172	0.174	0.17
Spain	0.12	0.12	0.117	0.12
UK	0.119	0.12	0.134	0.12
Average (Euro / kWh)				0.14
Average ± SD (US\$ / kWh)				0.15 ± 0.03

628



629 Appendix G: Summary of marginal cost and WF reduction per subsequent measure in the marginal cost curves  
 630 for WF reduction in maize, tomato and potato production

631  
 632 Table G-I: Marginal cost and WF reduction per subsequent measure in the MCC for WF reduction in maize  
 633 production for the baseline of furrow technique combined with full irrigation and no mulching.

Measures	Marginal cost		WF reduction		Total cost US\$ ha <sup>-1</sup>
	US\$ ha <sup>-1</sup> per m <sup>3</sup> ha <sup>-1</sup>	US\$ ha <sup>-1</sup> per m <sup>3</sup> t <sup>-1</sup>	m <sup>3</sup> ha <sup>-1</sup>	m <sup>3</sup> t <sup>-1</sup>	
Deficit irrigation	-1.7	-66.7	161	4	-269
Organic mulching	0.2	2.4	583	50	120
Drip and synthetic mulching	2.4	32.9	1037	74	2441

634  
 635 Table G-II: Marginal cost and WF reduction per subsequent measure in the MCC for WF reduction in maize  
 636 production for the baseline of sprinkler technique combined with full irrigation and no mulching.

Measures	Marginal cost		WF reduction		Total cost US\$ ha <sup>-1</sup>
	US\$ ha <sup>-1</sup> per m <sup>3</sup> ha <sup>-1</sup>	US\$ ha <sup>-1</sup> per m <sup>3</sup> t <sup>-1</sup>	m <sup>3</sup> ha <sup>-1</sup>	m <sup>3</sup> t <sup>-1</sup>	
Deficit irrigation	-1.4	-70.9	163	3	-231
Organic mulching	0.1	1.4	748	63	87
Drip and synthetic mulching	1.3	18.3	1073	78	1424

637  
 638 Table G-III: Marginal cost and WF reduction per subsequent measure in the MCC for WF reduction in tomato  
 639 production for the baseline of furrow, full irrigation and no mulching.

Measures	Marginal cost		WF reduction		Total cost US\$ ha <sup>-1</sup>
	US\$ ha <sup>-1</sup> per m <sup>3</sup> ha <sup>-1</sup>	US\$ ha <sup>-1</sup> per m <sup>3</sup> t <sup>-1</sup>	m <sup>3</sup> ha <sup>-1</sup>	m <sup>3</sup> t <sup>-1</sup>	
Deficit irrigation	-0.4	-256.1	752	1	-331
Organic mulching	0.2	16.0	750	8	122
Drip and synthetic mulching	2.3	270.2	1094	9	2487

640  
 641 Table G-IV: Marginal cost and WF reduction per subsequent measure in the MCC for WF reduction in tomato  
 642 production for the baseline of sprinkler technique combined with full irrigation and no mulching.

Measures	Marginal cost		WF reduction		Total cost US\$ ha <sup>-1</sup>
	US\$ ha <sup>-1</sup> per m <sup>3</sup> ha <sup>-1</sup>	US\$ ha <sup>-1</sup> per m <sup>3</sup> t <sup>-1</sup>	m <sup>3</sup> ha <sup>-1</sup>	m <sup>3</sup> t <sup>-1</sup>	



Deficit irrigation	-0.4	-275.5	840	1	-323
Organic mulching	0.1	7.4	1045	10	73
Drip irrigation	1.4	143.2	1086	4	502
Synthetic mulching		153.7		6	983

643

644 Table G-V: Marginal cost and WF reduction per subsequent measure in the MCC for WF reduction in potato  
 645 production for the baseline of furrow, full irrigation and no mulching.

Measures	Marginal cost		WF reduction		Total cost US\$ ha <sup>-1</sup>
	US\$ ha <sup>-1</sup> per m <sup>3</sup> ha <sup>-1</sup>	US\$ ha <sup>-1</sup> per m <sup>3</sup> t <sup>-1</sup>	m <sup>3</sup> ha <sup>-1</sup>	m <sup>3</sup> t <sup>-1</sup>	
Deficit irrigation	-0.8	-40.8	191	4	-157
Organic mulching	0.5	11.9	323	12	146
Drip and synthetic mulching	6.2	174.8	429	15	2660

646

647 Table G-VI: Marginal cost and WF reduction per subsequent measure in the MCC for WF reduction in potato  
 648 production for the baseline of sprinkler, full irrigation and no mulching.

Measures	Marginal cost		WF reduction		Total cost US\$ ha <sup>-1</sup>
	US\$ ha <sup>-1</sup> per m <sup>3</sup> ha <sup>-1</sup>	US\$ ha <sup>-1</sup> per m <sup>3</sup> t <sup>-1</sup>	m <sup>3</sup> ha <sup>-1</sup>	m <sup>3</sup> t <sup>-1</sup>	
Deficit irrigation	-0.7	-33.1	228	5	-157
Organic mulching	0.4	9.6	403	15	147
Drip and synthetic mulching	3.5	101.6	458	16	1623

649