

Predicting groundwater recharge for varying landcover and climate conditions: – a global meta-study

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Abstract

Groundwater recharge is one of the important factors determining the groundwater development potential of an area. Even though recharge plays a key role in controlling groundwater system dynamics, much uncertainty remains regarding the relationships between groundwater recharge and its governing factors at a large scale. Therefore, this study aims to identify the most influential factors on groundwater recharge, and to develop an empirical model to estimate diffuse rainfall recharge at a global-scale. Recharge estimates reported in the literature from various parts of the world (715 sites) were compiled and used in model building and testing exercises. Unlike conventional recharge estimates from water balance, this study used a multimodel inference approach and information theory to explain the relation between groundwater recharge and influential factors, and to predict groundwater recharge at 0.5° resolution. The results show that meteorological factors (precipitation and potential evapotranspiration) and vegetation factors (land use and land cover) had the most predictive power for recharge. According to the model, long term global average annual recharge (1981-2014) was 134 mm/yr with a prediction error ranging from -8 mm/yr to 10 mm/yr for 97.2% of cases. The recharge estimates presented in this study are unique and more reliable than the existing global groundwater recharge estimates because of the extensive validation carried out using both independent local estimates collated from the literature and national statistics from Food and Agriculture Organisation (FAO). In a water scarce future driven by increased anthropogenic development, the results from this study will aid in making informed decision about groundwater potential at a large scale.

Keywords: *Global groundwater recharge, multimodel inference approach, meta study*

1 Introduction

Human intervention has dramatically transformed the planet's surface by altering land use and land cover and consequently the hydrology associated with it. In the last 100 years the world population has quadrupled, from 1.7 billion (in 1900) to more than 7.3 billion (in 2014), and is expected to continue to grow significantly in the future (Gerland et al., 2014). During the last century, rapid population growth and the associated shift to a greater proportion of irrigated food production, led to an increase in water extraction by a factor of ~6. This eventually resulted in the over exploitation of both surface and groundwater resources, including the depletion of 21 of the world's 37 major aquifers (Richey et al., 2015). This depletion threatened human lives in many ways, ranging from critical reductions in water availability to natural disasters such as land subsidence (Chaussard et al., 2014; Ortiz - Zamora and Ortega - Guerrero, 2010; Phien-Wej et al., 2006; Sreng et al., 2009). Therefore, there is a need to closely examine approaches for sustainably managing this resource by controlling withdrawal from the system.

Groundwater recharge is one of the most important limiting factors for groundwater withdrawal and determines the groundwater development potential of an area (Döll and Flörke, 2005) Groundwater recharge connects atmospheric, surface and subsurface components of the water balance and is sensitive

46 to both climatic and anthropogenic factors (Gurdak, 2008; Herrera - Pantoja and Hiscock, 2008; Holman
47 et al., 2009; Jyrkama and Sykes, 2007). Various studies have employed different methods to estimate
48 groundwater recharge including tracer methods, water table fluctuation methods, lysimeter methods, and
49 simple water balance techniques. Some of these studies input recharge to numerical groundwater models
50 or dynamically link it to hydrological models to estimate variations under different climate and land cover
51 conditions (Aguilera and Murillo, 2009; Ali et al., 2012; Herrera - Pantoja and Hiscock, 2008; Sanford,
52 2002).

53
54 In the last few decades, interest in global-scale recharge analysis has increased for various scientific and
55 political reasons (Tögl, 2010). L'vovich (1979) made the first attempt at a global-scale by creating a global
56 recharge map using baseflow derived from river discharge hydrographs. The next large scale groundwater
57 recharge estimate was done by Döll (2002) who modelled global groundwater recharge at a spatial
58 resolution of 0.5° using the WaterGAP Global Hydrological model (WGHM) (Alcamo et al., 2003; Döll,
59 2002). In this study, the runoff was divided into fast surface runoff, slow subsurface runoff and recharge
60 using a heuristic approach. This approach considered relief, soil texture, hydrogeology and occurrence of
61 permafrost and glaciers for the runoff partitioning. However, WGHM failed to reliably estimate recharge
62 in semi-arid regions (Döll, 2002). Importantly, in that study, there was no consideration of the influence
63 of vegetation which has been reported to be the second most important determinant of recharge by many
64 researchers (Jackson et al., 2001; Kim and Jackson, 2012; Scanlon et al., 2005). In subsequent years,
65 several researchers have attempted to model global groundwater recharge using different global
66 hydrological models and global-scale land surface models (Koirala et al., 2012; Scanlon et al., 2006; Wada
67 et al., 2010).

68
69 Although a fair amount of research has been carried out to model groundwater recharge at a global-scale,
70 most studies compared results to country level groundwater information from the FAO (FAO, 2005). FAO
71 statistics were based on estimates compiled from national institutions. The data estimation and reporting
72 capacities of national agencies vary significantly and raise concerns about the accuracy of the data (Kohli
73 and Frenken, 2015). In addition, according to FAO AQUASTAT reports, most national institutions in
74 developing countries prioritise subnational level statistics over national level statistics, and in most cases
75 data is not available for all sub national entities. This decreases the accuracy of country wide averages
76 and raises concerns about the reliability of using them as standard comparison measures. Only a few
77 studies have validated modelled estimates against small scale recharge measurements. Döll and Fiedler
78 (2007) used 51 recharge observations from arid and semi-arid regions to correct model outputs. This study
79 develops a recharge model and undertakes a more extensive validation of it using 715 local recharge
80 measurements. Moreover, previous research has mostly been restricted to studying meteorological
81 influences on recharge, few studies have systematically explored global-scale factors governing recharge.
82 Much uncertainty still exists about the relationship between groundwater recharge and topographical,
83 lithological and vegetation factors. Without adequate knowledge of these controlling factors, our capacity
84 to sustainably manage groundwater globally will be seriously compromised.

85
86 The major objectives of this study are to identify the most influential factors on groundwater recharge and
87 to develop an empirical model to estimate diffuse rainfall recharge. Specifically, to quantify regional
88 effects of meteorological, topographical, lithological and vegetation factors on groundwater recharge
89 using data from 715 globally distributed sites. These relationships are used to build an empirical
90 groundwater recharge model and then the global groundwater recharge is modelled at a spatial resolution
91 of $0.5^{\circ} \times 0.5^{\circ}$ for the time period 1981 – 2014.

92 2 Methods

93 2.1 Dataset

94 This study is based on a compilation of recharge estimates reported in the literature from various parts of
95 the world. This dataset is an expansion of previously collated sets of recharge studies along with the
96 addition of new recharge estimates (Döll and Flörke, 2005; Edmunds et al., 1991; Scanlon et al., 2006;
97 Tögl, 2010; Wang et al., 2010). The literature search was carried out using Google scholar, Scopus and
98 Web of science with related keywords ‘groundwater recharge’, ‘deep percolation’, ‘diffuse recharge’ and
99 ‘vertical groundwater flux’. Several criteria were considered in including each study. To ensure that the
100 data reflects all seasons, recharge estimates for time periods less than one year were excluded. The sites
101 with significant contribution to groundwater from streams or by any artificial means were also eliminated
102 as the scope of this research was to model naturally occurring recharge. In order to maximize the realistic
103 nature of the dataset, all studies using some kind of recharge modelling were removed from the dataset.
104 After all exclusions, 715 data points spread across the globe remained (Figure 1) and were used for further
105 analysis. Of these studies, 345 were estimated using the tracer method, 123 using the water balance
106 method, and the remaining studies used baseflow method, lysimeter, or water table fluctuation method.
107 This diversity in recharge estimation has enabled us to evaluate systematic differences in various
108 measurement techniques. The year of measurement or estimation of recharge estimates in the final dataset
109 differed (provided as supplementary material), and ranged from 1981 to 2014 (Figure 2(a)). This
110 inconsistency in the data raised a challenge when choosing the timeframe for factors in the modelling
111 exercise, particularly those showing inter annual variation. Moreover, the compiled dataset does not
112 represent all climate zones well (Figure 2 (c)), as most of the studies used were done either in arid, semi-
113 arid or temperate zones. Pasture and cropland were the dominant land uses in the dataset (Figure 2(b)).
114 The next step was to identify potential explanatory factors that could influence recharge (referred to as
115 predictors from here on). Potential predictors that were reported in the literature as having some influence
116 on recharge were identified (Athavale et al., 1980; Bredekamp, 1988; Edmunds et al., 1991; Kurylyk et
117 al., 2014; Nulsen and Baxter, 1987; O’Connell et al., 1995; Pangle et al., 2014). The choice of predictors
118 was made based on the availability of global gridded datasets and their relative importance in a physical
119 sense, as informed by the literature. According to the literature, the water availability on the surface for
120 infiltration and the potential of the subsurface system to intake water are the two major controls on
121 recharge. Different variables that can potentially represent these two factors were chosen as predictors in
122 this study. The water availability is represented mainly by using meteorological predictors including
123 precipitation, potential evapotranspiration, aridity index, number of days with rainfall and vegetation
124 characteristics (land use land cover). Whereas, the intake potential is represented using various
125 quantifiable characteristics of the vadose zone. We employed 12 predictors comprising meteorological
126 factors, soil/vadose zone factors, vegetation factors and topographic factors. However, other factors
127 which could have a sizable influence on recharge were not included in this study because of insufficient
128 data. Given this, we did not consider the effects of irrigation on recharge, limiting the scope of the study
129 to rainfall induced recharge. Subsurface lithology which could be another important recharge factor, was
130 also eliminated from the study, due to a lack of suitable lithological and geological datasets at a larger
131 scale. Better quality information about various predictors would have been desirable to enhance the
132 accuracy of prediction. Details of predictors are given in Table 1.

133
134 Data for the chosen predictors corresponding to 715 recharge study sites were extracted from global
135 datasets. Meteorological datasets (P , T and PET) were obtained from the Climatic Research Unit,
136 University of East Anglia, England. Even though daily data was available from 1901 to 2014 at a
137 resolution of $0.5^{\circ} \times 0.5^{\circ}$, in this study mean annual average of the latest 34 years (1981 to 2014) was used
138 to reduce the inconsistency in year of recharge measurements in the final dataset. Topographic and soil
139 data were acquired from the NASA Earth observation dataset. Both datasets were of $0.5^{\circ} \times 0.5^{\circ}$ spatial

140 resolution. A few of the predictors, including number of rainfall days (*Rd*) and land use/land cover (*LU*)
141 data were obtained from AquaMaps (by FAO) and USGS (United States Geological Survey) at a spatial
142 resolution of $0.5^0 \times 0.5^0$ and 15 arc minutes respectively. Thus obtained *LU* data was compared with land
143 cover reported in literature and corrected for any discrepancies. The spatial resolution of the different data
144 used was diverse. This was dealt with, by extracting the values for each recharge site from the original
145 grids using the nearest neighbour interpolation method. As a result, predictor data extracted for each
146 recharge site will differ from the actual value due to scaling and interpolation errors. Out of the 12
147 predictors *LU* was not a quantitative predictor and was transformed into a categorical variable in the
148 modelling exercise.

149 2.2 Recharge model development

150 With empirical studies, the science world is always sceptical about whether to use a single best-fit model
151 or to infer results from several better predicting and plausible models. The former option is feasible only
152 if there exists a model which clearly surpasses other models, which is rare in the case of complex systems
153 like groundwater. Usually cross correlation and multiple controlling influences on the system lead to more
154 than one model having similarly good fits to the observations. Thus choosing explanatory variables and
155 model structure is a significant challenge. In the past this challenge was often addressed using various
156 step-wise model construction methods, with the final model being selected based on some model fit
157 criteria that penalises model complexity (Fenicia et al., 2008; Gaganis and Smith, 2001; Jothityangkoon
158 et al., 2001; Sivapalan et al., 2003). These approaches were pragmatic responses to the large
159 computational load involved in trying all possible models. The disadvantage of this method is that the
160 final model will be dependent on the step-wise selection process used (Sivapalan et al., 2003). An
161 alternative approach for addressing this high level of uncertainty in model structure is to adopt a multi-
162 model inference approach that compares many models (Duan et al., 2007; Poeter and Anderson, 2005). It
163 typically results in multiple final models and an assessment of the importance of each explanatory
164 variable. Therefore, this approach was used to develop an understanding of the role of different controlling
165 factors on recharge in a data limited condition.

166
167 Choosing predictors that are capable of representing the system and selecting the right models for
168 prediction are the key steps in the multi-model inference approach. Here, models were chosen by ranking
169 the fitted models based on performance, and comparing this to the best performing model in the set
170 (Anderson and Burnham, 2004). This model ranking also provided a basis for selecting individual
171 predictors. The analysis progressed through three key stages: exploratory analysis; model building and
172 model testing.

173 2.2.1 Multi-model analysis

174 A multi-model selection process aims to explore a wide range of model structures and to assess the
175 predictive power of different models in comparison with others. Essentially, models with all possible
176 combinations of selected predictors are developed and assessed via traditional model performance metrics
177 (discussed later). By conducting such an exhaustive search, multi-model analysis avoids the problems
178 associated with selection methods in step-wise regression approaches (Burnham and Anderson, 2003).
179 Importantly, it reduces the chance of missing combinations of predictors with good predictive
180 performance. However, a disadvantage of this approach is that the number of predictor combinations
181 grows rapidly with the number of factors considered. To make the analysis computationally efficient, we
182 set an upper limit for the number of predictors used. Another problem with this approach is that it can
183 result in over fitting. To address this issue we evaluated model performance with metrics that penalise
184 complexity and tested the model robustness with a cross-validation analysis. The model development
185 procedure using multi-model analysis is described in detail below.

186 (a) Exploratory Analysis

187 Firstly, all the chosen predictors were individually regressed against the compiled recharge dataset. This
188 was carried out with the main objective to find the predictors having significant control on recharge and
189 to gain an initial appreciation of how influential each predictor is compared to others. This understanding
190 will aid in eliminating the least influential predictors from further analysis. Then assumptions involved in
191 regression analysis, such as linearity, low multicollinearity (important for later multivariate fitting), and
192 independent identically distributed residuals were analysed using residual analysis. Following the residual
193 analysis, various data transformations (square root, logarithmic and reciprocal) were carried out to reduce
194 heteroscedasticity and improve linearity of the variables. The square root transformed recharge along with
195 non-transformed predictors gave the most homoscedastic relations (results not shown). Therefore, these
196 transformed values were used in further model building exercises. Predictors were selected and eliminated
197 based on statistical indicators such as adjusted coefficient of determination (R^2_{adj}) value and Root mean
198 square error (RMSE).

199 (b) Model building

200 Multiple linear regression was employed for building the models as the transformed dataset did not exhibit
201 any nonlinearity. Furthermore, the presence of both negative and positive values in the dataset restricted
202 the applicability of other forms of regression like log-linear and exponential (Saft et al., 2016). Linear
203 regression is known for its simple and robust nature in comparison to higher order analysis. The robustness
204 of linear regression helped to maintain parsimony together with reasonable prediction accuracy. A
205 rigorous model building approach was adopted in order to capture the interplay between predictors with
206 combined/interactive effects on groundwater recharge. This is an exhaustive search in which all candidate
207 models are fitted and inter-compared using performance criteria. In a way, this modelling exercise used a
208 top-down approach, starting with a simple model which is expanded as shortcomings are identified
209 (Fenicia et al., 2008).

210 (c) Model testing

211 The analysis above provided insight into the relative performance of the models. However, it is also
212 important to assess the dependence of the results on the particular sample. Therefore, we conducted a
213 subsample analysis in which the same method was re-applied to subsamples of the data. Finally, predictive
214 uncertainty was estimated through leave-one-out cross validation. In the first case, the whole model
215 development process was redone multiple times using subsamples of the data. To achieve this, the entire
216 dataset was randomly divided into 80% and 20% subsets and 80% of the data were used for building the
217 model. The predictive performance of the developed model was tested against the omitted 20% of data.
218 This was repeated 200 times, in order to eliminate random sampling error. The leave-one-out cross
219 validation was applied to the best few individual model structures and provided an estimate of predictive
220 performance for those particular models. It also gave an indication of data quality at each point.

221
222 In summary the key steps in the multi-model analysis were:

- 223 1. Selecting predictors
- 224 2. Fitting all possible models consisting different combinations of predictors
- 225 3. Calculating model performance metrics for each model
- 226 4. Calculating the “weight of evidence” for each predictor based on the performance metric of all
227 models containing that predictor
- 228 5. Testing the predictive performance of the models.

229 2.2.2 Ranking models and predictors

230 This part of the analysis has closely followed the approach developed in Saft et al. (2016). Model
 231 performance was evaluated using several information criteria. These information criteria include a
 232 goodness of fit term and an overfitting penalty based on the number of predictors in the model. In this
 233 study we used R^2_{adj} , the Consistent Akaike Information Criterion (AICc), and the Complete Akaike
 234 Information Criterion (CAIC) as the performance evaluation criteria. These criteria differ in terms of
 235 penalising overfitting. R^2_{adj} penalises over-fitting the least, AICc moderately, and CAIC heavily.
 236 However, when we are unsure of the true model and whether it over fits or not, there is some advantage
 237 in employing several criteria as it gives insight into how the results depend on the criteria used. Suitability
 238 of the information criteria also varies with the sample size. CAIC acts as an unbiased estimator for large
 239 sample size with relatively small candidate models, but produces large negative bias in other cases.
 240 Conversely, AICc is well suited for small-sample applications (Cavanaugh and Shumway, 1997; Hurvich
 241 and Tsai, 1989). The formulas for the above criteria are as follows:

242
 243
$$AIC = -2 \times llf + 2 \times k \quad (Akaike, 1974) \quad [1]$$

244
$$AICc = AIC + (2 \times (k - 1) \times \frac{k+2}{n-k-2}) \quad (Hurvich and Tsai, 1989) \quad [2]$$

245
$$CAIC = -2 \times llf + k \times (\ln(n) + 1) \quad (Bozdogan, 1987) \quad [3]$$

246
$$R^2 = 1 - \left[\frac{n-1}{n-k-1} \right] \times [1 - R^2] \quad (Ezekiel, 1929; Wang and Thompson, 2007) \quad [4]$$

247 where llf is the log-likelihood function, k is the dimension of the model, and n is the number of
 248 observations.

249
 250 When assessing candidate models there are two aspects which are of particular interest: (1) which models
 251 are better? and (2) how much evidence exists for each predictor in predicting recharge? Analysis of the
 252 AICc and CAIC was used to answer both these questions. Models were ranked using information criteria,
 253 with smaller values indicating better performance. Information criteria are more meaningful when they
 254 are used to evaluate the relative performance of the models (Poeter and Anderson, 2005). Models were
 255 ranked from best to worst by calculating model delta values (Δ) and model weights (W) as follows:

256
 257
$$\Delta_i = AIC_i - AIC_{min} \quad [5]$$

258
$$W_i = \exp(-0.5 \times \Delta_i) / \sum \exp(-0.5 \times \Delta_m) \quad [6]$$

259
 260 where, AIC_{min} is the information criteria value of the best model. Δ_i and W_i represent the performance of
 261 i^{th} model in comparison with the best performing model in the set of M models.

262
 263 Evidence ratios were then calculated as the ratio of the i^{th} model weight to the best model weight. They
 264 can be used as a measure of the evidence for the i^{th} model compared to the other models. They also provide
 265 means to estimate the importance of each predictor. This involves transformation of evidence ratios into
 266 a Proportion of evidence (PoE) for each predictor. PoE for a predictor is defined as the sum of weights of
 267 all the models containing that particular predictor. PoE ranges from 0 to 1. The closer the PoE of a
 268 predictor is to 1, the more influential that predictor is.

269 2.3 Global groundwater recharge estimation

270 The best model (model 1 Table 3) from the above analysis was used to build a global recharge map at a
 271 spatial resolution of $0.5^0 \times 0.5^0$. Recharge estimation was done annually for a study period of 34 years
 272 (1981–2014), and the estimated groundwater recharge was then averaged over the 34 year period to

273 produce a global map. In addition to this, maps showing percentage of rainfall becoming recharge, and
274 standard deviation of annual recharge over the 34 years were also generated. As recharge data from
275 regions with frozen soil were scarce in the model building dataset, the model predictions in those regions
276 particularly for regions with Köppen-Geiger classification Dfc, Dfd, ET and EF are not highly reliable.
277 EF regions of Greenland and Antarctica were excluded from the final recharge map due to lack of both
278 recharge and predictor data. However, the modelled recharge for Dfc, Dfd and ET regions were included
279 because of the availability of predictor data. In addition, the modelled recharge values were compared
280 against country level statistics from FAO (2005) for 153 countries.

281 **3 Results**

282 The results address three important questions. 1. Which are the most influential predictors of groundwater
283 recharge? 2. What are the better models for predicting recharge? 3. How does groundwater recharge vary
284 over space and time? The first question was answered by carrying out an exploratory data analysis and
285 also by estimating the PoE for each predictor, the second using information criteria and the third by
286 mapping recharge at $0.5^0 \times 0.5^0$ using the best model.

287 3.1 Exploratory data analysis

288 Table 2 gives the statistical summary of predictors and groundwater recharge at 715 data sites. It is
289 apparent from the table that predictors varied considerably between sites, consistent with inter-site
290 variability in regional physical characteristics. This variability provided an opportunity to explore
291 recharge mechanisms in a range of different physical environments. As we used linear regression to study
292 the one to one relationship of recharge with each of the predictors, RMSE and bias of fitting were used to
293 identify the predictors with the most explanatory power. In this case, RMSE values ranged between 23.2
294 mm/yr for P and 30.21 mm/yr for S . Predictive potential of meteorological predictors was greater than for
295 other classes of predictor. (Figure 3). P , AI , EW and ρ_b had a negative bias whereas, all other predictors
296 had a positive bias.

297 3.2 Multi-model analysis

298 3.2.1 Proportion of evidence (PoE) for individual predictors

299 Figure 4 shows the PoE of the 12 predictors used in this study. According to this analysis, 3 of the 12
300 predictors stood out as having the greatest explanatory power (Figure 4). Precipitation (P), Potential
301 evapotranspiration (PET) and Land use land cover (LU) had the highest proportions of evidence (~ 1).
302 Subsurface percentage of clay ($Clay$) and Saturated hydraulic conductivity (k_{sat}) also had an important
303 influence on recharge with PoE ~ 0.4 . Aridity index (AI), Rainfall days (Rd), Mean temperature (T), Bulk
304 density (ρ_d), Slope (S), Excess water (EW) and Soil water storage capacity at root zone ($SWSC$) were in
305 the lower PoE range (< 0.1 according to both the criteria). There was some variation in the PoE value of
306 the predictors with performance metric, due to the diversity in over-fitting penalty. However, ranking of
307 the variables was identical irrespective of the performance metric used. The ‘best’ and ‘worst’ predictors
308 ranked according to R^2_{adj} were also in agreement with the PoE analysis (not shown). In addition, results
309 of the subsample analysis gave similar results (not shown).
310

311 3.2.2 Better performing models

312 According to information criteria, the performance of models can only be evaluated relative to the best
313 performing model in the set. In this study, as per the model weights, no model exhibited apparent
314 dominance. The evidence ratio (ratio between the weights of the best model and n^{th} model) suggested that

315 the best model according to CAIC was only 1.04 times better than the 2nd best model. However, the
316 evidence ratio increased exponentially with increase in model rank and there was a clear distinction
317 between better models and worse models. Similar results were reported by Saft et al. (2016) in her work
318 for modelling rainfall-runoff relationship shift. The choice of better models was made by considering the
319 PoE of individual predictors (refer section 3.2.1) and the number of predictors in the model (V). Figure 5
320 shows the performance criteria for the top three models for different V values. The model performance
321 increased with V up to 6 to 7 depending on the different criteria. After that, AICc, CAIC, RMSE and R^2_{adj}
322 values remained almost constant, indicating that further addition of predictors did not improve the model
323 performance. In particular CAIC shows reaches a minimum at $V=7$ and it penalises model complexity
324 more rigorously. Table 3 illustrates the predictors in the top 10 models selected based on CAIC. All the
325 top 10 models had $V \leq 7$. P , PET and LU repeatedly appeared in the predictor list of the top ten models
326 substantiating their high predictive capacity, and the top ranked model includes these three predictors
327 only. In this particular case, top performing models according to both information criteria were the same,
328 therefore results from only one criteria (CAIC) will be discussed.

329 3.2.3 Model testing

330 Models ranking from 1 to 10 according to CAIC (Table 3) were tested using both the model testing
331 techniques discussed in section 2.2.1(c). Figure 6 depicts model fit and model prediction RMSE values of
332 200 subsample tests. It is clear from the boxplots that the difference between the RMSE of the 1st and the
333 10th model during both model fitting and prediction is less than 1 mm/yr. In subsample tests, R^2_{adj} of the
334 best model ranged from 0.42 to 0.56 implying 42 to 56% of the variance was explained (please refer
335 section 3.2.3 for details on sub sample testing). The model errors at each data point ranged from -8 to 28
336 mm/yr. However, 97.2% of the points had errors between -8 and 10 mm/yr. Figure 7 shows the relation
337 between precipitation and model errors and it is evident from this scatter plot that model predictions were
338 not greatly influenced by low or high precipitation. In other words, the model was unbiased by
339 precipitation trends. Similar checking was done for all other predictors (not shown) which all showed a
340 similar pattern to precipitation. The dataset was classified based on recharge estimation techniques and
341 model performance was tested with results showing no systematic difference (not shown).

342 3.3 Global groundwater recharge

343 The global long term (1981 – 2014) mean annual groundwater recharge map at a spatial resolution of 0.5°
344 was made by the model developed in section 3.2 (Figure 8). In this study, the best model as defined by
345 CAIC (model 1 in Table 3) was used to generate the recharge map. However, due to the similarity in
346 structure of the top 10 models (Table 3), all models were equally good at predicting groundwater recharge
347 and gave similar results (not shown). Grid scale recharge ranged from 0.02 mm/yr to 996.55 mm/yr with
348 an average of 133.76 mm/yr. The highest recharge was associated with very high rainfall (>4000 mm/yr).
349 Humid regions such as Indonesia, Philippines, Malaysia, Papua New Guinea, Amazon, Western Africa,
350 Chile, Japan and Norway had very high recharge (>450 mm/yr). Whereas, arid regions of Australia, the
351 Middle East and Sahara had very low recharge (<0.1 mm/yr). In humid areas, percentage of rainfall
352 becoming groundwater recharge (>40%) was found to be very high in comparison to other parts of the
353 world. However, the mean percentage of rainfall becoming recharge is only 22.06% across the globe.
354 Among all the continents, Australia had the lowest annual groundwater recharge rate.

355
356 Over the 34 years, global annual mean recharge followed the same pattern as that of global annual mean
357 precipitation (Figure 9). Least recharge was predicted in the year 1987 (groundwater recharge=95 mm/yr),
358 where the annual average rainfall was <180 mm/yr. Variation in recharge over the years was maximal in
359 arid regions of Australia and North Africa (Figure 10(a)). However, the standard deviation of recharge
360 was higher in humid areas than in arid regions (Figure 10(b)). This indicates that standard deviation did
361 not clearly represent year to year variations in recharge. Potentially, the advantage of using coefficient of

362 variation over standard deviation is that it can capture variations even when mean values are very small.
363 In this case precipitation and potential evapotranspiration were the two major predictors of recharge.
364 Globally, variability in evapotranspiration is much less than variability in rainfall (Peel et al., 2001;
365 Trenberth and Guillemot, 1995). Therefore, variability of groundwater recharge both temporally and
366 spatially is due to variability in precipitation, which implies that arid regions are more susceptible to inter-
367 annual variation in groundwater recharge. A comparison of predicted recharge against country level
368 recharge estimates from FAO (2005) shows that the model tends to over predict recharge, particularly for
369 low recharge areas. However, due to inaccuracies in the FAO estimates this cannot be considered as a
370 reliable comparison (Figure 11(a)). Recharge estimates from the best models in the present study were
371 compared to recharge estimates from the complex hydrological model (WaterGAP) (Figure 11(b)). Even
372 though the model in this study overestimates recharge for countries with fewer data points, the scatter
373 shows a smaller spread compared to the FAO estimates. Figure 12 shows the country wide distribution of
374 errors in model prediction in comparison with FAO statistics. Very high errors were found in countries
375 with fewer model building data points. The model considerably overestimated recharge for Russia,
376 Canada, Brazil, Indonesian Malaysia and Madagascar.

377 **4 Discussion**

378 The aims of this study were to identify the factors having the most influence on groundwater recharge,
379 and to develop a global model for predicting groundwater recharge under limited data conditions, without
380 extensive water balancing. In this study, an empirical model building exercise employing linear regression
381 analysis, multimodel inference techniques and information criteria was used to identify the most
382 influential predictors of groundwater recharge and use them to build predictive models. Finally, a global
383 groundwater recharge map was created using the developed model. The key findings from this study and
384 their implications for future research and practice with respect to global groundwater recharge are
385 discussed below.

386
387 One of the findings to emerge is that, out of numerous models developed in this study there was no single
388 best model for groundwater recharge. Instead, there were clear sets of better and worse models. However,
389 there were predictors which stood out as having greater explanatory power. Of the 12 predictors chosen
390 for the analysis, meteorological (P , PET) and vegetation predictors (LU) had the most explanatory
391 information followed by saturated hydraulic conductivity and clay content. Thus models using these
392 predictors ranked higher according to information criteria. It is reasonable that meteorological factors had
393 the most explanatory information. In most cases, especially dry regions, groundwater recharge is
394 controlled by the availability of water at the surface, which is mainly controlled by precipitation,
395 evapotranspiration and geomorphic features (Scanlon et al., 2002). Numerous studies agree with this
396 finding. For example, in south western USA, 80% of recharge variation is explained by mean annual
397 precipitation (Keese et al., 2005). However, the influence of meteorological factors on groundwater
398 recharge is highly site-specific (Döll and Flörke, 2005). The effect of meteorological factors can also
399 depend on whether the season or year is wet or dry, type of aquifer and irrigation intensity (Adegoke et
400 al., 2003; Moore and Rojstaczer, 2002; Niu et al., 2007).

401
402 Many studies have reported vegetation related parameters as the second influential predictor of
403 groundwater recharge. Vegetation has a high correlation with other physical variables such as soil
404 moisture, runoff capacity and porosity, which adds to its recharge explanatory power (Kim and Jackson,
405 2012; Scanlon et al., 2005). In this study Land Use (LU) was used as a proxy for vegetation. According
406 to the results, LU was found to be one of the predictors having the highest Proportion of Evidence (PoE)
407 (Figure 4). In addition, all the better performing models included LU as one of the predictors which clearly
408 indicates that vegetation is one of the most influential factors for groundwater recharge. Results indicates
409 that recharge rate was high, where runoff water have more retention time on the surface. This was mainly

410 observed for shallow rooted vegetation like grasslands. In deep rooted forest areas recharge was reduced
411 because of increased evapotranspiration (Kim and Jackson, 2012). However, not all reported studies are
412 in agreement with vegetation as an important predictor of recharge. For example, Tögl (2010) failed to
413 find a correlation between vegetation/land cover and recharge. This may be the result of some peculiarity
414 in the study dataset. Apart from the predictors discussed above, depth to groundwater and surface
415 drainage density were also identified as potential predictors of recharge from literature (Döll and Flörke,
416 2005; Jankiewicz et al., 2005). Despite this they were excluded from this study because of the lack of
417 appropriate resolution global datasets.

418
419 The total recharge estimated in this study is strongly consistent with results from complex global
420 hydrological models. Long term average annual recharge was found to be 134 mm/yr. The total recharge
421 estimated in this study (13,600 km³/yr) was very close to existing estimates of complex hydrological
422 models except those using MATSIRO, which overestimates recharge in humid regions (Koirala et al.,
423 2012). The results shown in Table 4 indicate that, compared to existing techniques, the model developed
424 in this study can make recharge assessments with the same reliability but with fewer computational
425 requirements. Moreover, the error in recharge prediction in this study was low, ranging from only -8
426 mm/yr to 10 mm/yr for 97.2% of cases.

427
428 The global recharge map developed showed a similar pattern to recharge maps produced using complex
429 global hydrological models. The results of this study indicate that recharge across the globe was varied
430 considerably as a function of spatial region, and was analogous to global distribution of climate zones
431 (Scanlon et al., 2002). Humid regions had very high recharge compared to arid (semi-arid) regions, which
432 is obviously due to the higher availability of water for recharge. Recharge was also affected by climate
433 variability and climate extremes at a regional level (Scanlon et al., 2006; Wada et al., 2012). However, an
434 effect of climate variability on inter annual recharge at a global-scale was not pronounced in our results.
435 The potential reason for this is that the El Nino Southern Oscillation (ENSO), the primary factor that
436 determines climate variability globally, has converse effects in different parts of the world. The effects of
437 increased precipitation in some parts of the world would have been counteracted by reductions in
438 precipitation in other areas resulting in relatively small effect on inter annual variation in global recharge.

439 **5 Conclusion**

440 This study presents a new method for identifying the major factors influencing groundwater recharge and
441 using them to model large scale groundwater recharge. The model was developed using a dataset compiled
442 from the literature and containing groundwater recharge data from 715 sites. In contrast to conventional
443 water balance recharge estimation, a multimodel analysis technique was used to build the model. The
444 model developed in this study is purely empirical and has fewer computational requirements than existing
445 large scale recharge modelling methods. The 0.5⁰ global recharge estimates presented here are unique and
446 more reliable because of the extensive validation done at different scales. Moreover, inclusion of a range
447 of meteorological, topographical, lithological and vegetation factors adds to the predictive power of the
448 model. The results of this investigation show that meteorological and vegetation factors had the most
449 predictive power for recharge. The high dependency of recharge on meteorological predictors make it
450 more vulnerable to climate change. Apart from being a computationally efficient modelling method, the
451 approach used in this study has some limitations. Firstly it does not include direct anthropogenic effects
452 on the groundwater system and also excludes focused recharge by natural or artificial means, suggesting
453 scope for further future development. Secondly, the recharge data set used in this study did not include
454 data points from frozen regions. Therefore, Greenland and Antarctica were excluded from the final
455 recharge map. However, the model developed in this study and the recharge maps produced will aid
456 policy makers in predicting future scenarios with respect to global groundwater availability.

457 **6 Acknowledgement**

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 461 required for this study.
 462

463 Table 1. Description of predictors used for recharge model building

Predictors	Symbol	Unit	Resolution	Temporal span	Source	Description	Reference
Precipitation	<i>P</i>	mm/yr	$0.5^0 \times 0.5^0$	1981 - 2014	Climatic Research Unit, University of East Anglia, England	Mean annual precipitation	(Harris et al., 2014)
Mean temperature	<i>T</i>	$^{\circ}\text{C}$	$0.5^0 \times 0.5^0$	1981 - 2014	Climatic Research Unit, University of East Anglia, England	Mean annual temperature	(Harris et al., 2014)
Potential evapo-transpiration	<i>PET</i>	mm/yr	$0.5^0 \times 0.5^0$	1981 - 2014	Climatic Research Unit, University of East Anglia, England	Penman-Monteith Reference Crop Evapotranspiration	(Harris et al., 2014)
No. of rainy days	<i>Rd</i>		5 arc minute	1981 - 2014	AQUAM APS, FAO	Average number of wet days per year defined as having ≥ 0.1 mm of precipitation	(New et al., 2002)
Slope	<i>S</i>	fraction	$0.5^0 \times 0.5^0$	-	Earth data, NASA	Mean Surface slope	(Verdin, 2011)
Saturated hydraulic conductivity	<i>k_{sat}</i>	cm/d	$1^0 \times 1^0$	-	Earth data, NASA	Saturated hydraulic conductivity at 0 - 150 cm depth	(Webb et al., 2000)

Soil Water Storage Capacity	$SWSC$	mm	$1^0 \times 1^0$	-	Earth data, NASA	Texture derived soil water storage capacity in soil profile (upto 15 m depth)	(Webb et al., 2000)
Excess water (without irrigation)	EW	mm	-	1981 - 2014	-	$\sum_{i=1}^{12} (P_i - PET_i)$ where $P_i > PET_i$	
Aridity index	AI	-	-	1981 - 2014	-	$AI = P/PET$	
Clay Content	$Clay$	%	$1^0 \times 1^0$	-	Earth data, NASA	0-150cm profile	(DAAC, 2016)
Bulk Density	ρ_b	gm/cm ³	$1^0 \times 1^0$	-	Earth data, NASA	0-150cm profile	(DAAC, 2016)
Land use land cover	LU	-	15 arc second	-	USGS/Literature	Forest, Pasture, Cropland, Urban/built up, Barren	(Kim and Jackson, 2012; Broxton et al., 2014)

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Table 2. Summary statistics of potential predictors from the dataset used in this study.

Parameters	Minimum	Maximum	Range	Mean	Standard deviation
P (mm/yr)	1.30	2627.00	2625.70	572.82	305.65
T ($^{\circ}C$)	1.60	30.62	29.02	17.73	6.04
PET (mm/yr)	6.60	2600.00	2593.40	1356.17	401.77
Rd (d/y)	2.00	270.00	268.00	85.89	42.78
S	0.00	10.16	10.15	0.84	1.17
k_{sat} (cm/d)	0.00	265.75	265.75	60.61	59.50
$SWSC$ (mm)	2.00	1121.00	1119.00	517.38	240.81
AI	0.00	68.18	68.18	0.70	3.74
EW (mm/yr)	0.01	1467.87	1467.86	125.41	188.07
ρ_b (gm/cm ³)	0.15	1.67	1.51	1.44	0.20
$Clay$ (%)	1.87	52.51	50.64	23.77	7.66
LU	1.00	5.00	4.00	2.58	0.81
$Recharge$ (mm/yr)	0.00	1375.00	1375.00	73.22	125.94

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Table 3. Coefficient of predictors used in the top 10 models, ranked based on CAIC.

P	T	PET	Rd	S	k_{sat}	SWSC	AI	EW	ρ_b	Clay	LU	Constant	R^2_{adj}
0.0081		-0.0043									0.9567	5.3543	0.35
0.0086		-0.0044								-0.0606	1.0335	6.3781	0.25
0.0078		-0.0041							-1.9083		0.9667	7.8822	0.25
0.0076		-0.0055	-0.0247		0.0089			0.0040	-2.5857		1.0131	11.8652	0.34
0.0084		-0.0053	-0.0195					0.0036		-0.0758	1.0189	9.4112	0.33
0.0092		-0.0052	-0.0128							-0.0631	1.0409	8.2317	0.33
0.0075		-0.0050	-0.0194					0.0034	-2.3410		0.9370	11.2147	0.35
0.0084		-0.0049	-0.0130						-2.0104		0.9716	9.8549	0.35
0.0086		-0.0050	-0.0122								0.9607	7.0692	0.33

0.0086	-0.0053	-0.0166	0.0075				-2.1688	1.0402	10.2082	0.33
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Table 4. Global estimates of groundwater recharge

Model Used	Spatial Resolution	Temporal Range	Total Global Recharge (km³/yr)	Reference
Empirical model	0.5deg	1981-2014	13,600	Current study
WaterGAP 2	0.5deg	1961-1990	14,000	(Döll, 2002)
WaterGAP	0.5deg	1961-1990	12,666	(Döll and Flörke, 2005)
PCR GlobWB	0.5deg	1958-2001	15,200	(Wada et al., 2010)
PCR GlobWB	0.5deg	1960-2010	17,000	(Wada et al., 2012)
MATSIRO	1deg	1985-1999	29,900	(Koirala et al., 2012)
FAO Statistics	Country	1982-2014	10,613	(FAO, 2016)

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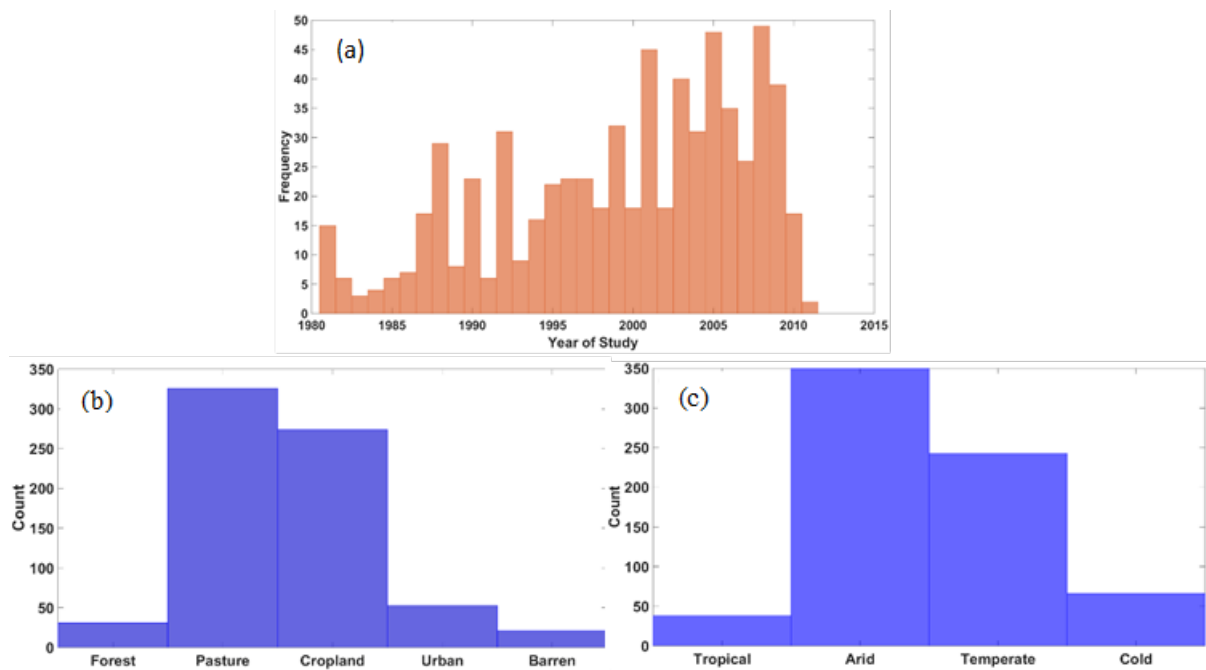
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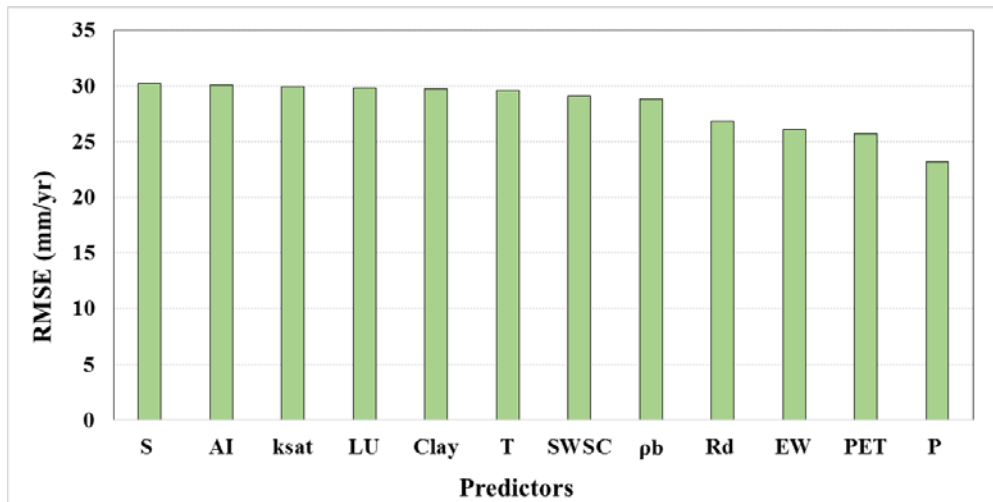
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Figure. 1. Locations of the 715 selected recharge estimation sites and the corresponding recharge estimation method, used for model building.



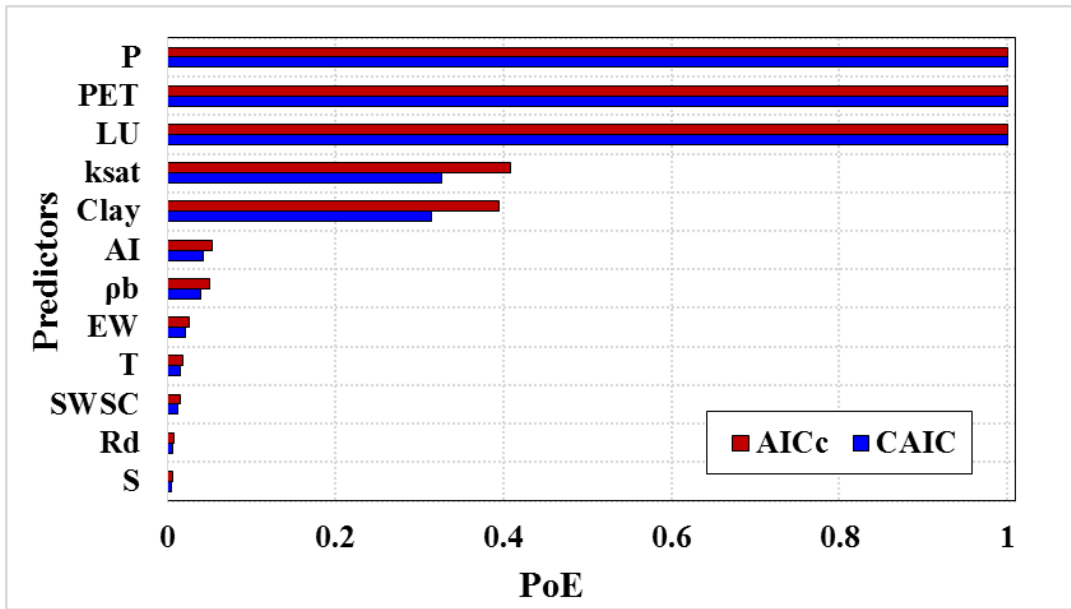
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Figure 2. Histograms showing frequency of (a) study year (b) Land Use and (c) Köppen Geiger Climate zones for the recharge estimates used.



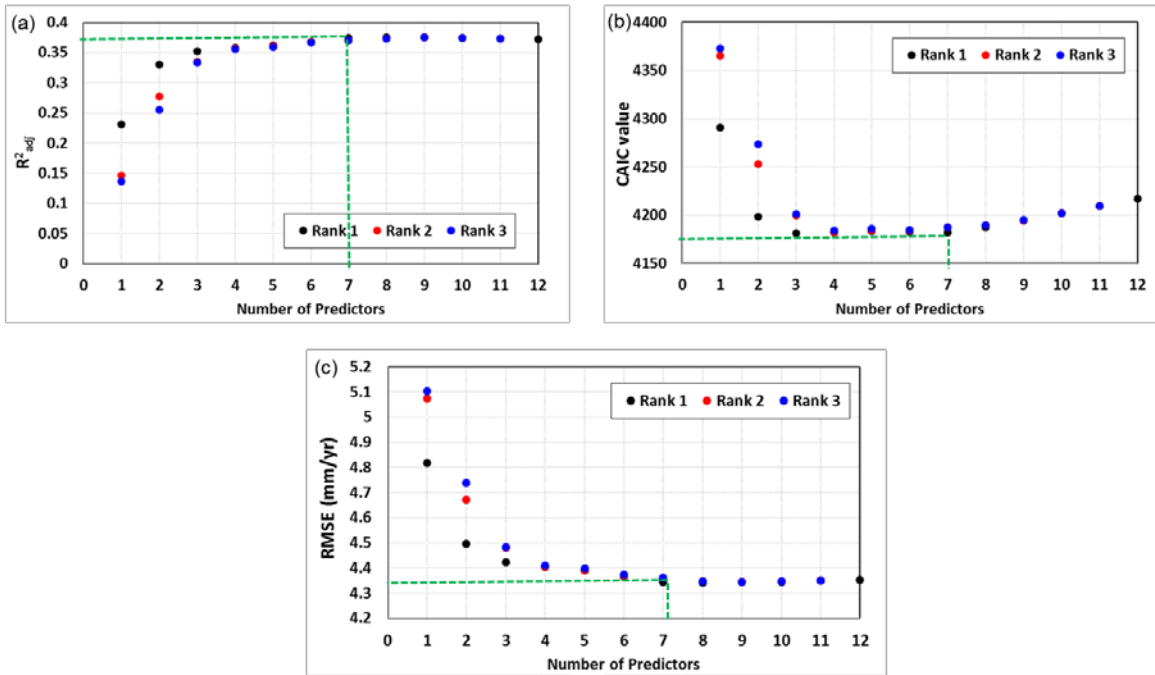
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Figure 3. Model fit performance criteria for single predictor regressions.



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Figure 4. Proportion of evidence according to AICc and CAIC for 12 predictors (sorted in descending order of PoE).



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Figure 5. (a) R²_{adj} (b) CAIC and (c) RMSE for the top 3 models with different number of predictors up to 12 and the green dotted lines representing the number of predictors for the best performance criteria value.

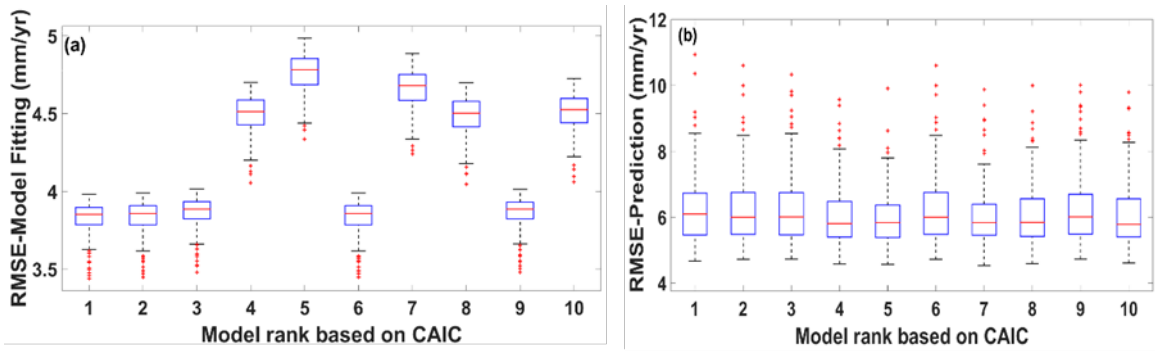


Figure 6.

RMSE of sub-sample (a) model fitting and (b) model prediction of top 10 models according to CAIC.

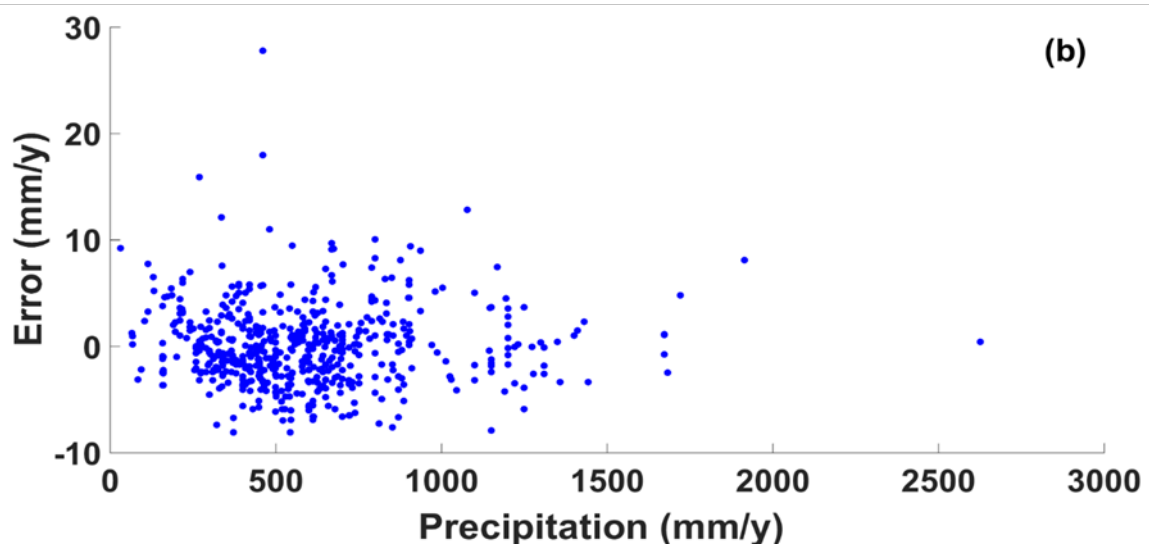
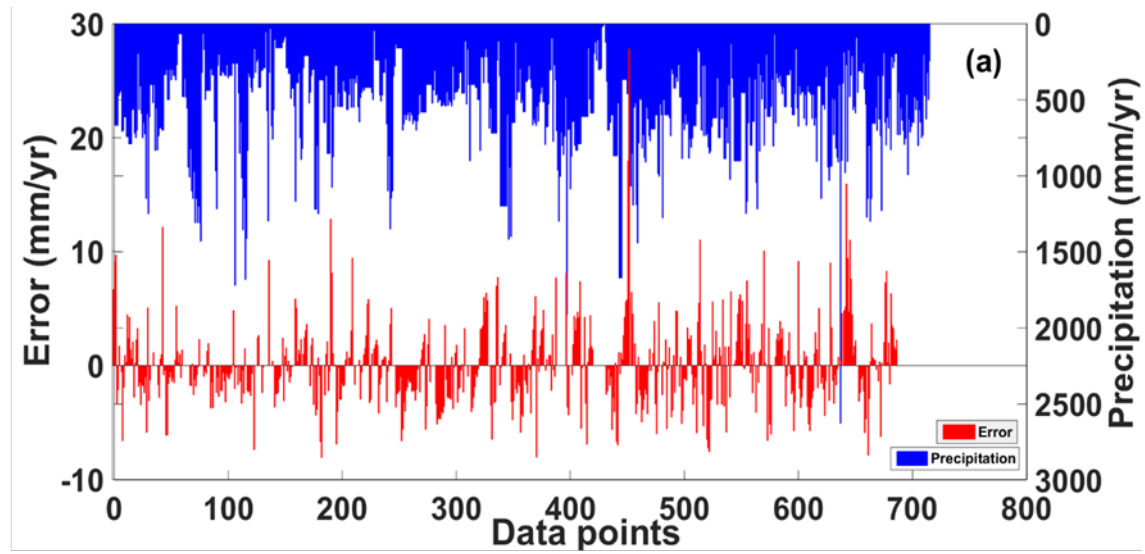
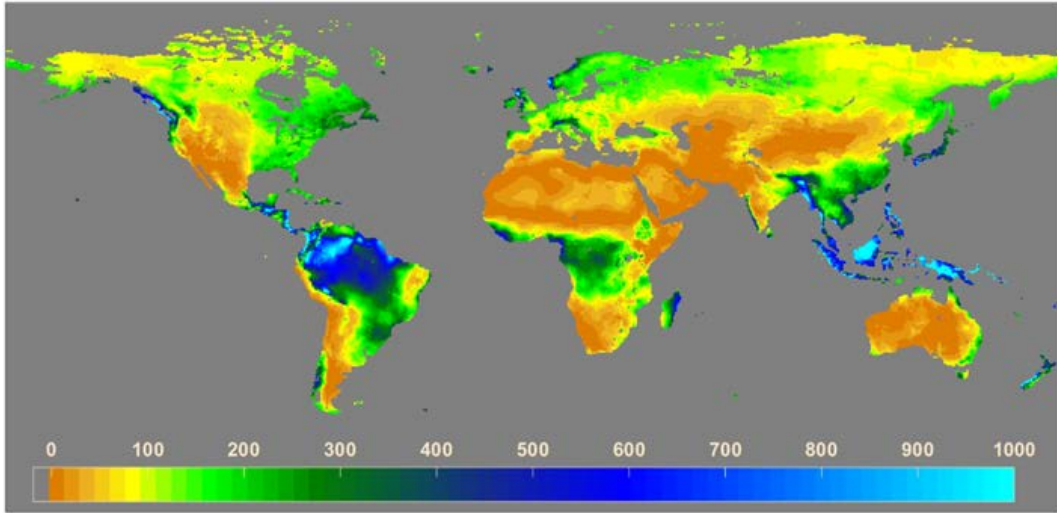


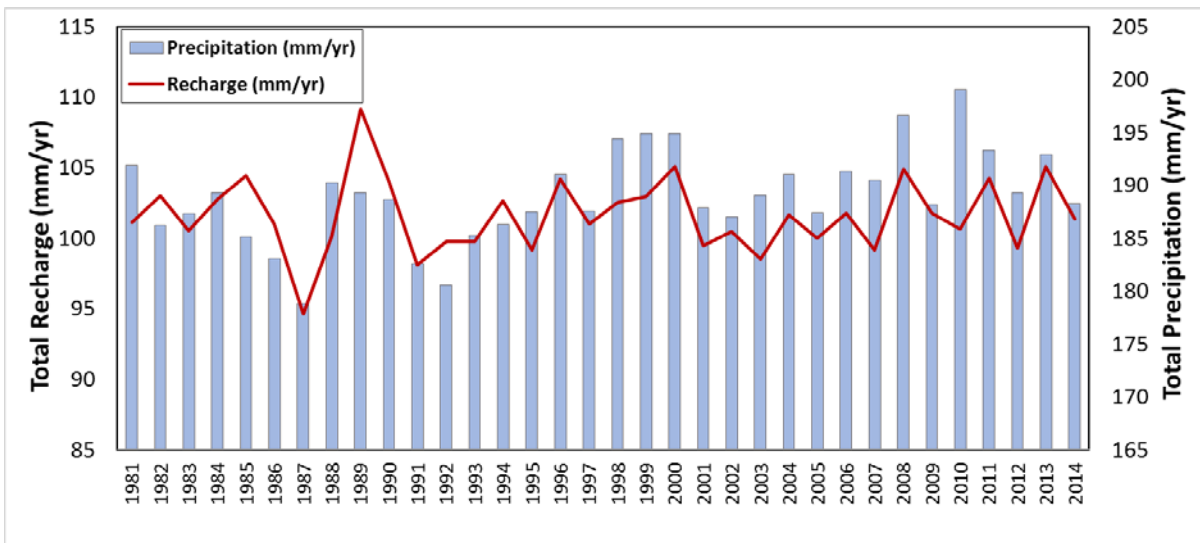
Figure 7 (a) Error at each data point along with the corresponding rainfall obtained using the leave-one-out model testing procedure and (b) Scatter plot between error at each data point and corresponding precipitation.

Global Groundwater Recharge Estimation using Best Model



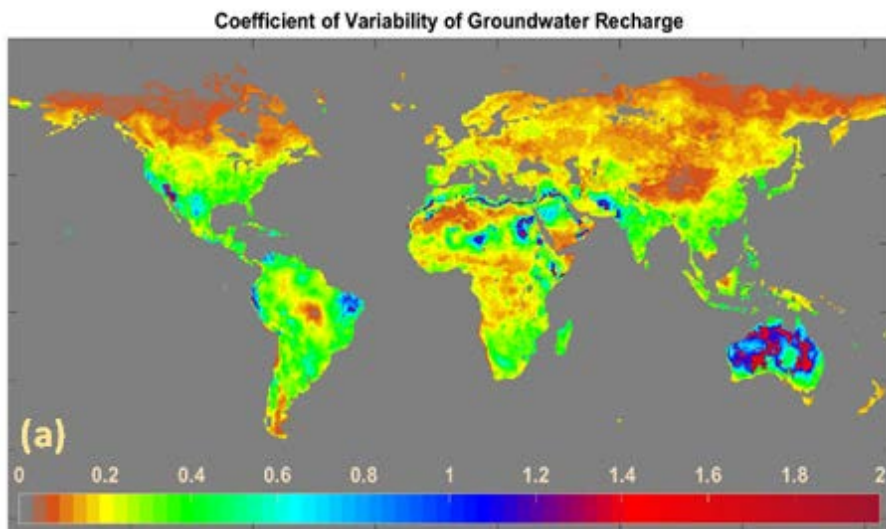
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Figure 8. Long-term (1981 -2014) average annual groundwater recharge estimated using the developed model.

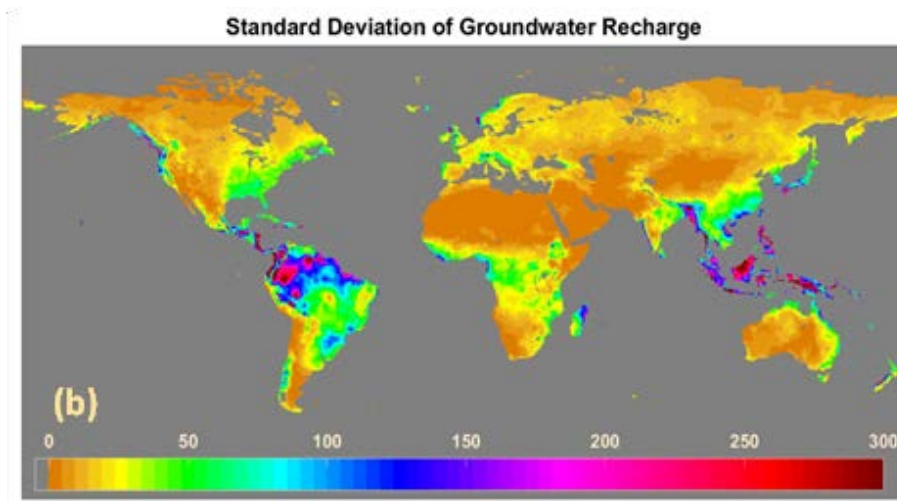


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Figure 9. Temporal distribution of total global recharge along with total global precipitation of corresponding years for a period of 1981 to 2014.

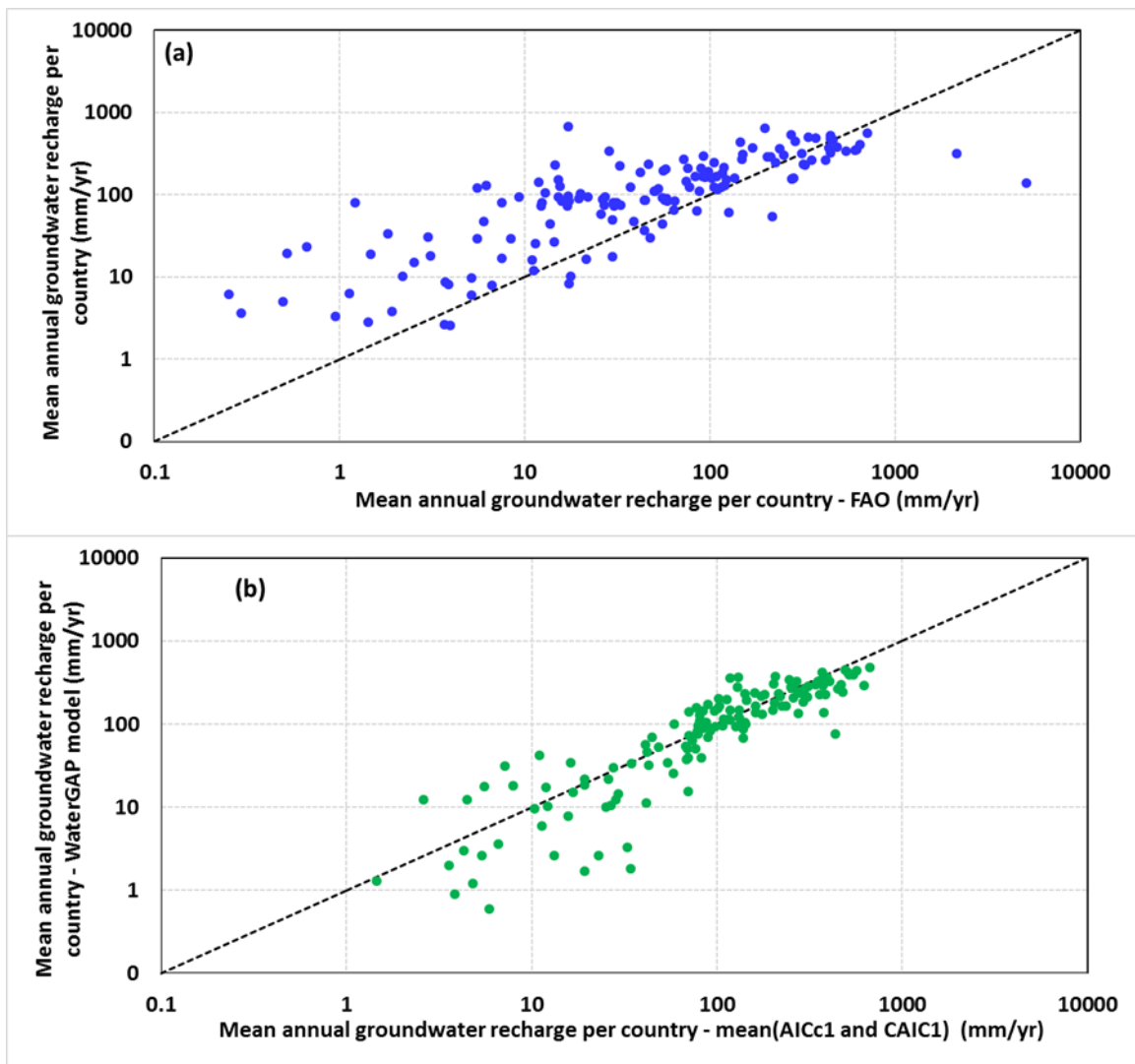


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Figure 10. Map showing (a) coefficient of variability and (b) standard deviation of annual groundwater recharge from 1981 to 2014.



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Figure 11. Comparison of predicted recharge against country level estimates from (a) FAO and (b) WaterGAP model.

Groundwater Recharge Residual

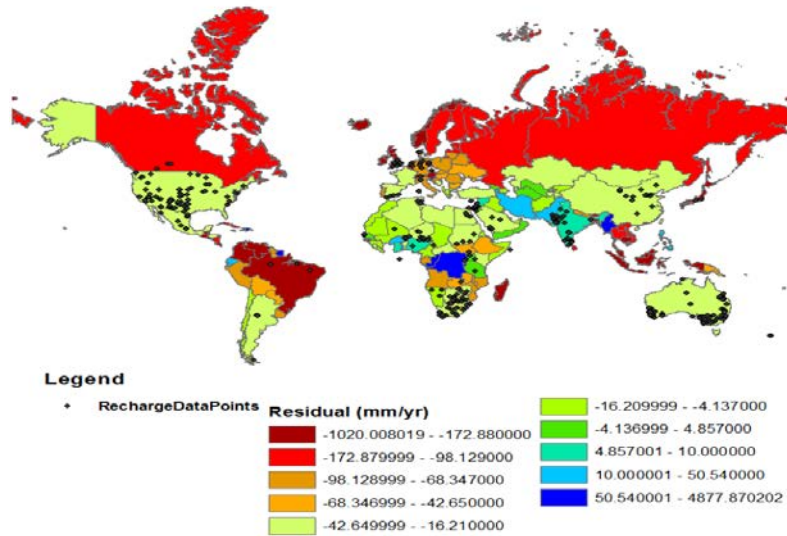


Figure 12. Spatial distribution of groundwater recharge residual (FAO estimates – Model estimates) along with recharge sites selected for model building.

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