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### Title

Optimizing Managed Aquifer Recharge Locations in California's Central Valley Using an Evolutionary Multi-Objective Genetic Algorithm Coupled With a Hydrological Simulation Model

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1 **Optimizing Managed Aquifer Recharge Locations in California’s Central Valley using an**  
2 **Evolutionary Multi-Objective Genetic Algorithm coupled with a Hydrological Simulation**  
3 **Model**

4

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14

15 Key Points:

- 16 • Combining a simulation-optimization framework with a groundwater model can identify  
17 suitable managed aquifer recharge locations
- 18 • Recharging water from local rivers within the same basin is the most cost-efficient MAR  
19 approach per unit of groundwater storage gain
- 20 • Diverting more water may not yield the most efficient groundwater storage gain due to  
21 higher transportation cost

22

23 **Abstract**

24 Managed aquifer recharge (MAR) can provide long-term storage of excess surface water for later  
25 use. While decades of research have focused on the physical processes of MAR and identifying  
26 suitable MAR locations, very little research has been done on how to consider competing factors

27 and tradeoffs in siting MAR facilities. This study proposes the use of a simulation-optimization  
28 (SO) framework to map out a cost-effectiveness frontier for MAR by combining an evolutionary  
29 algorithm with two objective functions that seek to maximize groundwater storage gains while  
30 minimizing MAR cost. We present the theoretical framework along with a real-world application  
31 to California's Central Valley. The result of the SO framework is a Pareto front that allows  
32 identifying suitable MAR locations for different levels of groundwater storage gain and  
33 associated MAR project costs, so stakeholders can evaluate different choices based on cost,  
34 benefits, and tradeoffs of MAR sites. Application of the SO framework to the Central Valley  
35 shows groundwater can be recharged from high-magnitude (95<sup>th</sup> percentile) flows at a marginal  
36 cost of \$57 to \$110 million per km<sup>3</sup>. If the 10 percent largest flows are recharged the total  
37 groundwater storage gain would double and the marginal costs would drop to between \$30 and  
38 \$50 million per km<sup>3</sup>. If recharge water is sourced from outside local basins (e.g. the Sacramento-  
39 San Joaquin Delta), groundwater storage gain is approximately 25% to 80% greater than can be  
40 achieved by recharging local flows, but the total cost is about 10-15% higher because of  
41 additional lift cost.

42

43 **Keywords:** managed aquifer recharge, multi-objective optimization, hydro-economic modeling,  
44 California

45

## 46 1 Introduction

47 About 25% of the global population depends on groundwater for drinking water supplies  
48 (Grönwall & Danert 2020). Groundwater also provides about 40% of the irrigation water that  
49 supports global food production (Siebert et al., 2010; Aeschbach-Hertig and Gleeson 2012; Döll  
50 et al., 2012). Our ability to continue to rely on groundwater sources for future needs, however, is  
51 threatened by growing consumptive use and climate change. Many regions that are heavily  
52 dependent on groundwater have experienced severe groundwater storage depletion (Wada et al.,  
53 2010; Bierkens and Wada 2019; Jia et al., 2019; Ajaz et al., 2020; Dangar et al 2021). To address  
54 these water scarcity concerns, a number of groundwater management actions have been adopted

55 around the globe, such as the Water Framework Directive (WFD, 2000/60/EC) and the  
56 Groundwater Directive (GWD, 2006/118/EC) in the European Union, the National Groundwater  
57 Action Plan in Australia, and other national legislation in China (Shen 2015; Yu et al., 2018;  
58 Wang et al., 2020), India (Jha and Sinha 2010), and South Africa (Pietersen et al., 2012). Many  
59 of these policy frameworks have the goal of achieving sustainable use of groundwater resources  
60 by protecting aquifers from deterioration and chemical pollution (Scanlon et al., 2012).

61 Managed Aquifer Recharge (MAR) is increasingly being recognized as a promising management  
62 option (Dillon et al., 2020). MAR is defined as the intentional replenishment of an aquifer with  
63 water that can be used at a later time (e.g., during a drought) or in different places after water  
64 transport. In MAR the aquifer is treated as a water bank (Maliva, 2015), where water can be  
65 stored during periods when supply exceeds demand. MAR is widely recognized as one of the  
66 cheapest forms of water storage (Dillon 2005) and has been studied for several decades. Dillon et  
67 al. (2019) and Zhang et al. (2020) provide a thorough review of MAR practices and challenges  
68 observed over the last six decades. Depending on local needs and conditions, different MAR  
69 technologies are used to replenish groundwater (Dillon 2005; Gale 2005; Tzoraki et al., 2018;  
70 Standen and Monteiro 2020).

71 Increasing MAR worldwide is an important policy challenge and often starts with identifying  
72 suitable locations for MAR facilities. A recent review of MAR site suitability studies (Sallwey et  
73 al., 2019) observed that the majority of studies identify suitable sites by combining multiple  
74 biophysical factors such as hydrogeology, geomorphology or soil suitability (Russo et al., 2014;  
75 O'Geen et al., 2015), land use (Marwaha et al. 2021), but also groundwater quality (Waterhouse  
76 et al, 2020), water availability (Kocis and Dahlke, 2017; Dahlke & Kocis, 2018), and economic  
77 feasibility (Tran et al., 2019, 2020a,b) in a multi-criteria decision analysis (MCDA). Marwaha et  
78 al. (2021), for example, identified MAR sites near rural communities in the southern Central  
79 Valley, California by combining soil maps, land use maps, existing conveyance infrastructure  
80 information, and general groundwater flow directions in a MCDA. Likewise, Zaidi et al., (2015)  
81 identified suitable MAR locations in Saudi Arabia by overlaying maps of soil texture, vadose  
82 zone thickness, land use, and slope. A common alternative approach to these MCDA analyses  
83 conducted in Geographic Information Systems is the identification of MAR locations and their

84 benefits and risks through numerical modeling (Tzoraki et al., 2018; Kacimov et al., 2016;  
85 Zlotnik et al., 2017; Wurl and Imaz-Lamadrid, 2018; Ganot and Dahlke, 2021; Bachtouli and  
86 Comte, 2019). Scherberg et al. (2014), for example, used the Integrated Water Flow Model  
87 (IWFM) (Dogrul, 2013) to quantify the impact of selected MAR scenarios in the Walla Walla  
88 River basin, USA. Similarly, Niswonger et al., (2017) used a numerical model (MODFLOW) to  
89 examine the impact of six agricultural MAR scenarios on groundwater storage, groundwater  
90 stream interaction, and groundwater levels. Ghasemizade et al., (2019) and Kourakos et al.,  
91 (2019) also used IWFM to study the effect of flooding different farm field MAR sites with excess  
92 surface water (Ag-MAR) in a sub-basin of the Central Valley (CV).

93 Many of the above modeling studies investigated a fixed and generally limited but pre-  
94 determined number of MAR locations and management scenarios within relatively small study  
95 areas, which provides the advantage that the number of decision variables and computational  
96 time are relatively small. Only a few studies to date have used a simulation–optimization (SO)  
97 framework together with a groundwater model to determine optimal MAR locations based on  
98 different sets of model parameters that are dependent on several decision variables in the  
99 optimization problem). Most of these studies have focused on groundwater remediation (Zheng  
100 and Wang 1999; Cunha 2002; Yeh 2015), groundwater abstractions (Datta and Kourakos 2015;  
101 Danapour et al., 2021), and coastal aquifer management (Kourakos and Mantoglou, 2015) and  
102 only a few have been applied to MAR. The few studies that have used SO frameworks for MAR  
103 have solely focused on aquifer storage and recovery (Hernandez et al., 2014; Marchi et al., 2016;  
104 Forghani and Peralta 2018; Al-Maktoumi et al., 2020). For example, Fatkhutdinov and Stefan  
105 (2019) used a multi-objective SO to identify optimal well locations and recharge rates in a  
106 hypothetical test case. Ebrahim et al. (2016) developed a MODFLOW groundwater model for a  
107 catchment in Oman and combined it with an optimization algorithm to increase aquifer recharge  
108 by optimizing extraction and recovery rates subject to water level constraints.

109 The above referenced studies have primarily looked at physical factors that influence MAR  
110 locations. In addition, in MAR design the economic cost is a significant parameter to consider.  
111 Marques et al., 2010 optimized the water availability and the economic benefits of irrigated  
112 agriculture, yet their approach did not consider the simulation of groundwater storage. On the

113 other hand, Gailey et al., (2019a), optimized reservoir releases to maximize the available volume  
114 subject to available funds by coupling the optimization with a groundwater simulation model.  
115 Because of their small study area, they were able to consider all available land for MAR siting.  
116 In this study we propose a simulation–optimization framework to identify suitable MAR  
117 locations that maximize groundwater storage benefits while minimizing MAR cost. Our method  
118 is suitable for large scale studies where considering a full list of all available land is prohibitive.  
119 Developing and testing a simulation-optimization framework to site MAR locations improves  
120 our understanding on how to deploy MAR as a water resources management strategy while  
121 considering multiple competing environmental and economic benefits and constraints. The  
122 balance between groundwater benefits and economic cost are represented by a Pareto frontier,  
123 which allows decision makers to evaluate multiple water source, recharge volume, and recharge  
124 location trade-offs. The framework was tested in the San Joaquin–Tulare Lake Basin in  
125 California, one of the most productive agricultural areas in the world.

126

## 127 2 Methodology

128 In this study, we propose a simulation-optimization (SO) framework to identify optimal recharge  
129 facility locations for MAR that maximize groundwater storage recovery. Generally, the  
130 groundwater storage is likely to increase as the number of MAR sites increase. However,  
131 implementing MAR facilities is costly, hence one can expect the total MAR cost to increase as  
132 the number of MAR sites increases. To balance the environmental benefits of MAR with the cost  
133 of each MAR facility we use a multi-objective optimization framework with two competing  
134 objectives: i) maximization of groundwater storage and ii) minimization of economic cost. This  
135 formulation combines an output frontier (for a single output) and a cost frontier, such that any  
136 point on the frontier is optimal in the sense of being cost-effective (i.e.: being the least cost  
137 option for achieving a given quantity of water recharged) (Førsund et al., 1980). Mathematically  
138 the optimization formulation is expressed as:

139

140 
$$\left. \begin{aligned} \max_D O_{env}(D) &= f(S^G) \\ \min_D O_{cost}(D) &= g(C) \end{aligned} \right\} \quad (1)$$

141 subject to:

142 
$$D_i^V \leq R_i^V, i \in [1, \dots, Nr] \quad (2)$$

143 where  $O_{env}(D)$  and  $O_{cost}(D)$  represent the environmental and economic objective function  
 144 respectively.  $S^G$  is the groundwater storage gain and  $C$  represents cost. Both depend on  
 145  $D=(D_1, D_2, \dots, D_{Nr})$  which are the decision variables that express the active diversion routes and  
 146  $Nr$  is the total number of the active diversion routes for each scenario. A diversion route is  
 147 characterized by a river point where the water is diverted and a MAR facility that receives the  
 148 diverted water. The optimization is constraint by the surface water availability. For every  
 149 diversion route the requested diversion volume  $D_i^V$  must be less than the available amount of  
 150 water in the river  $R_i^V$ . In the following paragraphs we expand on the formulation of the two  
 151 objective functions and constraints

## 152 2.1 Environmental Objective Function

153 The environmental objective  $O_{env}$  of MAR is a function of the groundwater storage gain  $S^G$ . The  
 154 groundwater storage ( $S$ ) is not a field measurable value and it can only be estimated via  
 155 numerical simulations. The majority of groundwater simulation models such as MODFLOW,  
 156 IWFM, FEFLOW etc. are able to calculate groundwater storage per discretization unit (e.g. grid  
 157 cell or mesh element). In transient-state models the storage value at each discretization unit is a  
 158 time series In our study we are interested in the long-term storage, and we assume that the  
 159 storage gain of a single time step can be representative of the overall effect of a MAR scenario as  
 160 long as the MAR scenario has been active for a sufficiently long period. Therefore, the storage  
 161 gain can be calculated as:

162 
$$S^G = \sum_{i=1}^{N_{el}} S(t^{SA})_i^{MAR} - S(t^{SA})_i^{BAU} \quad (3)$$

163 where  $S(t^{SA})_i^{MAR}$  is the calculated storage for element  $i$  under a given scenario,  $S(t^{SA})_i^{BAU}$  is the  
 164 groundwater storage for the business as usual (BAU) scenario where no additional MAR

165 operations are considered, both calculated at time  $t^{SA}$  which is selected as representative time for  
166 storage assessment and  $N_{el}$  the number of discretization units considered in the calculation.

167

## 168 2.2 Economic Objective Function

169

170 In this study the economic objective function  $O_{cost}$  is formulated considering the cost of  
171 establishing and operating a MAR facility. The total MAR cost is the sum of four components  
172 that form the major components of the construction and operation costs of MAR facilities (Ross  
173 and Hasnain, 2018):

$$174 \quad C = C_{land} + C_{capital} + C_{lift} + C_{conv} \quad (4)$$

175 where land  $C_{Land}$  and capital  $C_{capital}$  costs are fixed (“capital”) and depend upon the maximum  
176 amount of water diverted in any time period to a MAR facility. The pumping lift  $C_{lift}$  and  
177 conveyance  $C_{conv}$  costs are variable (“marginal”) and depend upon the total amount of water  
178 diverted to a MAR site over the full period and, due to discounting, the timing of those  
179 diversions. Since the optimization seeks out lower cost portfolios of MAR sites, this objective  
180 function essentially penalizes sites that have high fixed costs, which is related to the size of the  
181 MAR facility, and sites that have high variable costs (e.g. distance between diversion points and  
182 MAR sites, changes in elevation).

### 183 *Land cost*

184 We calculate the land cost as:

$$185 \quad C_{land} = \sum_{i=1}^{Nr} P_{land,i} c_a \frac{Q_{max,i}}{c_b} \quad (5)$$

186 where  $P_{land,i}$  is the land price(\$/ $L^2$ ), of the acquired land  $i$ ,  $Q_{max,i}$  ( $L^3$ ) is the maximum diversion  
187 volume of water to  $i$  MAR site within a specified time period;  $c_a(-)$  is a coefficient that is used to  
188 convert the maximum diversion volume available for a time period to a maximum daily value;  
189 and  $c_b(L)$  reflects the maximum depth of water that can be recharged through MAR. The land  
190 cost depends on the land price and on the size of the MAR facility, which is determined by the



191 maximum amount of water that can be recharged at any time over the full simulation period.  
 192 Typically, transient-state hydrologic models operate on time steps larger than daily. A typical  
 193 time step in regional model is a month. Therefore, an additional assumption is needed to  
 194 calculate a daily maximum diversion volume,  $Q_{max,i}$  based on the frequency at which source  
 195 water for recharge is available. If wastewater is used for MAR, one can expect a constant volume  
 196 of water to be available for recharge every day. However, if high-magnitude flow is used for  
 197 recharge, water availability can highly vary in space and time depending on the frequency at  
 198 which rain events and storm flows occur. For example, Kocis and Dahlke (2017) estimated for  
 199 the California Central Valley that high-magnitude flows (e.g. flood flows) are only available for a  
 200 few days each month. Hence, we introduce coefficient  $c_a$  to account for the fact that the total  
 201 diversion volume over a time step would not occur in one day  $c_a = 1$  and neither be spread evenly  
 202 over the time step  $c_a = 1/N_{days}^{step}$  where  $N_{days}^{step}$  is the number of days within a time step. To estimate  
 203 the corresponding land area needed to recharge the maximum daily volume we introduce  
 204 coefficient  $c_b(L)$  that corresponds to the maximum water depth that can be accommodated at a  
 205 MAR site.

### 206 **Capital cost**

207 We construct capital cost in a similar manner since the total size of MAR basin depends on the  
 208 maximum volume of water stored in the basin at any point over the run of the model:

$$209 \quad C_{capital} = \sum_{i=1}^{Nr} P_{basin,i} c_a c_b Q_{max,i} \quad (6)$$

210 where  $P_{basin,i}$  is the per-unit-area construction cost for a basin  $i$ .

### 211 **Pumping lift cost**

212 We construct the pumping cost based on  $Q_{t,i}(L^3/T)$ , the total amount of water diverted to  $i$   
 213 MAR site in a given year ( $t$ ), as follows:

$$214 \quad C_{lift} = \sum_{i=1}^{Nr} \sum_{t=1}^T \delta_t (P_{el} E_{lift} X_{lift,i} Q_{t,i}) \quad (7)$$

215

216 where  $P_{el}$  is the price for electricity ( $\$/kWh$ ),  $E_{lift}$  is the energy lift ( $Wh$ ),  $X_{lift,i}(L)$  is the vertical  
217 lift from the diversion point to the MAR site, and  $\delta_t$  is the discount factor for each year.

### 218 **Conveyance cost**

219 We estimate the conveyance cost as:

$$220 \quad C_{conv} = \sum_{i=1}^{Nr} \sum_{t=1}^T \delta_t (P_{conv} X_{dist,i} Q_{t,i}) \quad (8)$$

221 where  $X_{dist,i}(L)$  is the distance from the diversion point to the MAR site  $i$ ;  $P_{conv}$  is the per volume  
222 per distance conveyance cost; and  $Q_{t,i}$  and  $\delta_t$  are defined as above. In reality and depending on  
223 data availability the conveyance cost for MAR could consider several additional factors such as  
224 additional pumping costs, canal maintenance costs, regulatory costs, and conveyance losses.  
225 Since the pumping and lift cost is already accounted for in our study, any additional pumping  
226 costs would involve efforts to overcome friction within the conveyance system to transfer water  
227 at junctions within the system.

## 228 **2.3 Constraints**

229 The main constraint in our optimization formulation is the surface water availability. In this  
230 paper we explore the possibility of utilizing the excess water that is available from high  
231 magnitude flows (HMF). HMF is defined (Kocis and Dahlke 2017) as the water volume that can  
232 be diverted after a certain streamflow threshold is reached. Here we set the threshold  $V^p$  as a  
233 specified percentile of the cumulative probability function of the daily or monthly flows and  
234 assume that the water volume that is higher than this threshold is available without adverse  
235 downstream effects.

236 In addition, we impose a limit on the water volume that can be diverted. At times streamflow can  
237 be much higher than the threshold  $V^p$ , effectively exceeding the capacity of the conveyance  
238 infrastructure. To utilize the entire HMF volume available for MAR would require increasing the  
239 capacity of the existing conveyance infrastructure, which is quite expensive considering that  
240 these flows are available once every 5 to 10 years (Kocis and Dahlke, 2017). To avoid expanding

241 existing infrastructure, we introduce a *cap* parameter to enforce a maximum diversion amount.  
 242 Therefore, at any given time the available water for diversion is:

$$243 \quad D_t^V = \begin{cases} \min\{R_t^V - V^p, cap\} & \text{if } R_t^V > V^p \\ 0 & R_t^V \leq V^p \end{cases} \quad (9)$$

244 where  $R_t^V$  is the volume of water that flows at time  $t$ .

## 245 2.4 Multi-objective optimization

246 The decision variables of the multi-objective formulation (eq. 1) are all the possible diversion  
 247 routes from rivers to MAR facilities. The decision variables represent whether water is allowed  
 248 to flow from a river to a MAR facility or not, encoded as binary values. This results in an  
 249 optimization formulation where the objective and constrain function gradients cannot be  
 250 calculated. A typical method to tackle such optimization problems is to use genetic algorithms  
 251 (GAs). GAs solve optimization problems by imitating the natural evolution of species over  
 252 several generations, where an initial population is evolved by genetic processes to improve the  
 253 species and no gradient information is required. In each generation, a number of individuals (the  
 254 fittest) are selected and recombined to produce the population of the next generation using  
 255 genetic processes such as *selection* (select the fittest individuals of a population), *mating*  
 256 (crossover of genes between parents), and *mutation* (random changes in genes). Since the fittest  
 257 members have a higher likelihood to survive, the overall population will improve to a near global  
 258 optimum after a few generations. The details of the GA are provided in the SI (TEXT S1). GAs  
 259 are known for their ability to solve highly complex and non-linear optimization problems.  
 260 However, they often require a significant number of objective function evaluations. One of the  
 261 reasons is that during the genetic evolution, the population may become saturated, i.e. the same  
 262 individual appears at increasing frequency either within the same population or different  
 263 generations. When the calculation of the objective function is not time consuming (e.g. it is a  
 264 simple algebraic expression) it may be acceptable to allow evaluating the same solution several  
 265 times until the genetic operators find a better offspring. However, if the objective function  
 266 involves running complex hydrologic models as in our MAR formulation, then evaluating the  
 267 same candidate solution more than once makes the GA optimization inefficient. In this work we

268 use a hybrid genetic algorithm which combines the well-known GA NSGAI (Non Dominating  
269 Sorting Algorithm II, Deb et. al., 2002) and components of tabu search algorithms (Glover  
270 1989).

271 In particular, we introduce a tabu list which keeps the encoding of every solution that has been  
272 evaluated. All the new individuals are first compared against the tabu list. If they are identical  
273 with any member of the tabu list, the individuals undergo further mutation until they are unique.  
274 Using this approach has two distinct advantages. First it does not allow the evaluation of the  
275 same individual. Secondly, the mutation rate becomes self-adaptive. In general, the mutation  
276 operator is a mechanism to allow the GA to escape the local optimum. The mutation rate is  
277 usually a very small percent. Using large percentages makes the GA optimization unstable to  
278 converge to the global optimum. In our approach we are still setting a constant mutation rate  
279 which is however increased adaptively when the individual members of the population become  
280 identical, allowing the algorithm to converge to the optimum solutions while making it easier to  
281 search new areas of the decision variable space.

282

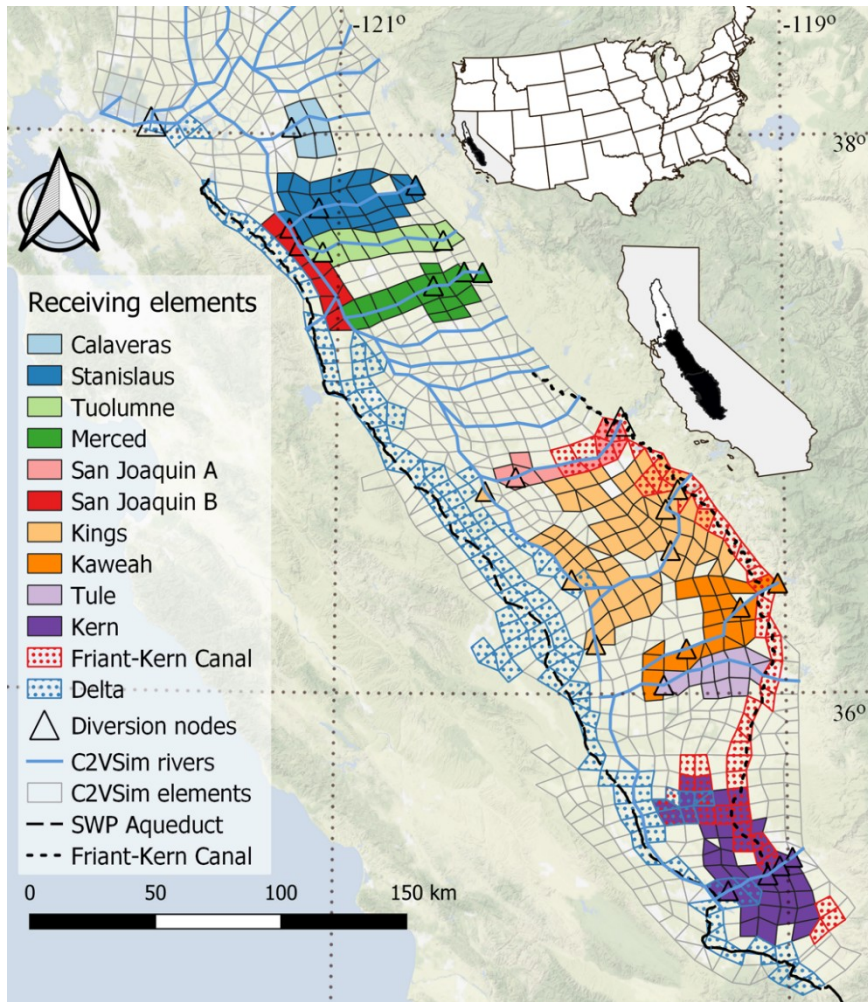
## 283 3 Application

### 284 3.1 Study Area

285 The simulation-optimization framework was applied to the San Joaquin–Tulare Lake basin  
286 (33,000 km<sup>2</sup>, 35°-38°N, 118°-120°W) located in the southern part of the Central Valley (CV) in  
287 California, USA (Fig. 1). The region is one of the most productive agricultural areas in the world  
288 with a total farm output of over \$41.5 billion in 2019 (CDFA, 2020). Situated in a Mediterranean  
289 climate, about 40% of water used in California comes from groundwater. As such, the region is  
290 representative for many semi-arid agricultural regions around the world that rely on groundwater  
291 for irrigation. Crop production in the CV uses a complex system of surface reservoirs and canals  
292 that move water from the wetter north to the drier south. Surface water in the state is managed  
293 through two major water infrastructure projects. The State Water Project (SWP) diverts water  
294 from the Feather River and Oroville reservoir to southern California via the California Aqueduct

295 and the A.D. Edmonton Pumping Plant over the Tehachapi Mountains to the Los Angeles  
296 metropolitan area. The Central Valley Project (CVP) operated by the federal Bureau of  
297 Reclamation consists of multiple reservoirs, canals, hydroelectric power plants and other  
298 facilities including the Friant-Kern Canal (FKC), a 245 km aqueduct located on the east side of  
299 the San Joaquin-Tulare Lake basin, which delivers water to Fresno, Tulare and Kern counties  
300 (Fig. 1). Total annual precipitation averages 582 mm a<sup>-1</sup> in California but can be as high as 3000  
301 mm in the north and <150 mm a<sup>-1</sup> in the south. Average annual evapotranspiration (1961–2003)  
302 in the CV ranges from 1100 to 1450 mm a<sup>-1</sup>, with the highest rates observed in the San Joaquin-  
303 Tulare Lake basins (Faunt 2009). In the past two decades, prolonged droughts and below-  
304 average precipitation have much reduced surface water reliability (Famiglietti et al., 2011; Xiao  
305 et al., 2017) leading to increased groundwater use and groundwater storage depletion in the  
306 Central Valley alluvial aquifer. Groundwater depletion has caused a number of other issues such  
307 as subsidence (Faunt et al., 2016), water quality degradation (Gailey 2017; Levy et al., 2021),  
308 loss of groundwater dependent ecosystems (Duffy & Kahara 2011) and increasing pumping costs  
309 due to groundwater level decline (Vasco et al., 2019; Gailey et al., 2019b; Pauloo et al., 2020).

310



311

312 *Fig. 1 Description of study area. The figure shows the diversion nodes and their corresponding*  
 313 *receiving elements in matching colors.*

### 314 3.2 Groundwater Storage computation

315 To estimate the groundwater storage efficiency from MAR operations we use an integrated  
 316 hydrologic model that simulates the surface water – groundwater balance in the region.

317 Specifically, we use the California Central Valley Groundwater-Surface Water Simulation Model  
 318 (C2Vsim), developed by the California Department of Water Resources (CDWR) (Brush et al.  
 319 2013), to identify suitable MAR locations considering economic cost of MAR and hydrologic  
 320 benefits. A retrospective modeling approach, similar to that of Kourakos et al. (2019) and Gailey  
 321 et al. (2019a), is used to identify promising MAR locations in the San Joaquin – Tulare Lake  
 322 basin over the period 1969 to 2009.

323 C2Vsim uses the Integrated Water Flow Model (IWFM) code, which is a finite element-based  
324 model code that simulates the majority of the hydrologic processes that take place in agricultural  
325 basins including groundwater and stream flow, stream-groundwater interaction, soil water  
326 balance, lake storage, and land surface flows (Brush et al. 2013). In addition, IWFM is capable of  
327 calculating agricultural and urban water demands considering a number of factors such as soils,  
328 land use/land cover, evapotranspiration, domestic water use, and population. The IWFM code  
329 was specifically developed by CDWR to support water resources management and planning  
330 efforts of water districts and Groundwater Sustainability Agencies (GSA) in California. More  
331 detailed information on the model structure, water balance components, calibration and  
332 validation can be found in Brush et al. (2013).

333 Multiple versions of the C2Vsim model have been developed over the last 15 years. In this study  
334 we use the C2Vsim Coarse Grid v3.02 version, which has a run time of a few minutes. The  
335 model simulates the historic surface water – groundwater system from 1921-2009 on a monthly  
336 time step. However, for this study we consider only the second half of the total simulation period  
337 from 1963-2009. Fig. 1 shows the model domain for the study area, the stream network, and the  
338 finite element mesh for the model. The coarse mesh C2Vsim model has an average finite element  
339 size of  $37.19 \text{ km}^2 \pm 13.54 \text{ km}^2$  while vertically the model is discretized into 3 layers. At that scale  
340 the model cannot capture fine details of groundwater flow such as flow around wells or represent  
341 recharge basins at field accuracy.

342 Within the C2Vsim framework, MAR is simulated as diversions of high-magnitude streamflow  
343 from stream nodes to finite elements that serve as spreading grounds. Most surface water in  
344 California's CV is legally allocated, according to Kocis & Dahlke (2017) winter flood flows and  
345 runoff from high-magnitude storm events (e.g., flow above the 90<sup>th</sup> percentile) that exceed  
346 environmental flow requirements provide the only viable and physically available surface water  
347 source left in California to expand MAR. For the San Joaquin-Tulare Basins, Kocis & Dahlke  
348 (2017) estimated that high-magnitude flows occur on average 4.7 out of 10 years from just a few  
349 storm events (5–7 1-day peak events) lasting on average for 10–30 days between November and  
350 April. In C2Vsim, surface water diversions are defined as time series, however, during the  
351 simulation the model adjusts the diversion amount to the streamflow available at each node. If

352 the requested diversion amount is greater than the available streamflow, the diversion amount is  
353 adjusted to the available streamflow and the difference is reported as diversion shortage. The  
354 water that is diverted from a stream node is applied as groundwater recharge (i.e., influx of water  
355 from the unsaturated zone into the first groundwater layer) to selected finite elements. The  
356 diverted water does not infiltrate and percolate through the root and unsaturated zone and is  
357 rather assumed to instantly reach the groundwater table, which is justified based on the fact that  
358 most recharge occurs in winter when evapotranspiration losses are small. The authors  
359 acknowledge that this approach does not consider the potential time lag that flow through the  
360 unsaturated zone will create. The time lag depends on factors that vary in space such as  
361 percolation rates, depth, soil etc. For example, in the northern part of the CV the unsaturated  
362 depth is generally less than 30 m (Gailey et al., 2019a) while in the southern part it can be as  
363 high as 200 m. Therefore, the influence of the time lag is different across the CV even within our  
364 study area. However, this time lag is negligible when assessing the long-term water budget and  
365 response of the groundwater – surface water system to MAR (e.g., see Maples et al. 2019 for a  
366 discussion).

367

### 368 3.3 Economic Objective Function for the test application

369 Land transaction data provided by CoreLogic (<https://www.corelogic.com/>) was used to estimate  
370 the land cost,  $P_{land}$ , in each finite element.  $P_{land}$  varies across elements from about  $\$1.48/\text{m}^2$   
371 ( $\$6,000/\text{acre}$ ) to  $\$4.94/\text{m}^2$  ( $\$20,000/\text{acre}$ ) (Fig. S3). The source water for MAR in our application  
372 is high magnitude flow (HMF), defined as flow either above the 90<sup>th</sup> or 95<sup>th</sup> percentile of the full  
373 record (Kocis & Dahlke, 2017). Since C2Vsim operates on a monthly time step we assume that  
374 the recharge water is only available for five days  $c_a = 1/5$  each month based on statistical  
375 analyses done by Kocis and Dahlke (2017). To estimate the corresponding land area needed to  
376 recharge the maximum daily volume we assume, based on field experiments and water  
377 availability (Dahlke & Kocis, 2018; Ma et al., 2022), that a maximum water depth of 4.52 m  
378 (15ft) ( $c_b = 15 \text{ ft}$ ) can be recharged within the winter rainy season (Nov-Apr). As the hydrologic  
379 model is too coarse to capture any spatial variability at a field level, the diverted water is spread



380 proportionally to the element area so that the elements that are receiving diversions from the  
381 same diversion node have the same rate. This reflects the fact that in larger elements it is likely to  
382 acquire more land.

383 To calculate the capital cost, we set a fixed per-acre construction cost  $P_{basin}$  at \$1.24 m<sup>2</sup>  
384 (\$5,000/acre) for the entire CV (personal communication Jonathan Parker, Kern Water Bank  
385 Authority).

386 To calculate the pumping cost, we estimate the vertical lift  $X_{lift}$ (ft) from a diversion point to a  
387 MAR site from the simulation model input data (Fig. S4). Based on the assumption that a  
388 perfectly efficient pump would take 2.7 Wh to lift one cubic meter of water one meter in  
389 elevation (1.02 kWh to lift one acre-foot of water one foot) we assume it would require  
390  $E_{lift}=3.857$  Wh per meter (1.45 kWh per foot) of lift for a pump with 70% efficiency. We also  
391 assume that irrigation districts would pay the average commercial price for electricity of  
392  $P_{el}=\$0.17/kWh$ . To construct the discount factor for each year, we use a discount rate of 3  
393 percent. This is a real discount rate that incorporates the assumption of an annual 2 percent  
394 inflation in energy prices.

395 For the conveyance cost we estimate the distance  $X_{dist}$  in miles from the diversion point to the  
396 barycenter of the recharge sites (Fig. S5) and estimate the overall conveyance cost  $P_{conv}$  as \$0.02  
397 per acre-foot per mile (\$0.026 per m<sup>3</sup> per m).

398

### 399 3.4 Recharge volume and MAR land scenarios

400 In this application of the SO framework, we explore different recharge volume and MAR land  
401 scenarios. The main source of water for all MAR scenarios evaluated in this study is high-  
402 magnitude flow as defined above (Kocis & Dahlke, 2017). For the optimization, we assume that  
403 conveyance infrastructure is mostly used during the summer months for transporting irrigation  
404 water and that conveyance is available at full capacity during the winter months to transport  
405 HMF to recharge areas. In addition, we only use existing diversion nodes and agricultural lands  
406 defined in the model to receive surface water from the diversion nodes. No new diversion nodes  
407 or agricultural areas are explored in the model for MAR to avoid the associated cost of building

408 new water infrastructure, which allows identifying optimal MAR locations that maximize  
 409 groundwater storage under the current infrastructure.

410 For the MAR land scenarios, we consider three possible sources of HMF in the optimization: (i)  
 411 Local scenario: diversion of HMF from ten major rivers exiting the Sierra Nevada mountains on  
 412 the east side of the San Joaquin-Tulare Lake basin onto nearby elements located within the  
 413 native river basin. This scenario does not transfer water across basins; (ii) Friant-Kern Canal  
 414 scenario: diversion of HMF from rivers and the Friant-Kern Canal onto associated elements  
 415 within nearby groundwater basin; and (iii) Delta scenario: diversion of HMF from local rivers,  
 416 the Friant-Kern Canal and the Sacramento-San Joaquin delta onto associated elements within the  
 417 San Joaquin-Tulare Lake basin (Fig. 1). Colored elements and triangles in Fig. 1 show the ten  
 418 rivers used in all three scenarios, surface water diversion nodes along each river, and associated  
 419 elements receiving water from each river. Fig. 1 also highlights that for some rivers there exist  
 420 multiple diversion nodes. More detailed descriptions of the diversion scenarios and their set up in  
 421 the optimization framework are given in section S2 [and Table S1](#) in the Supplemental Materials.

422

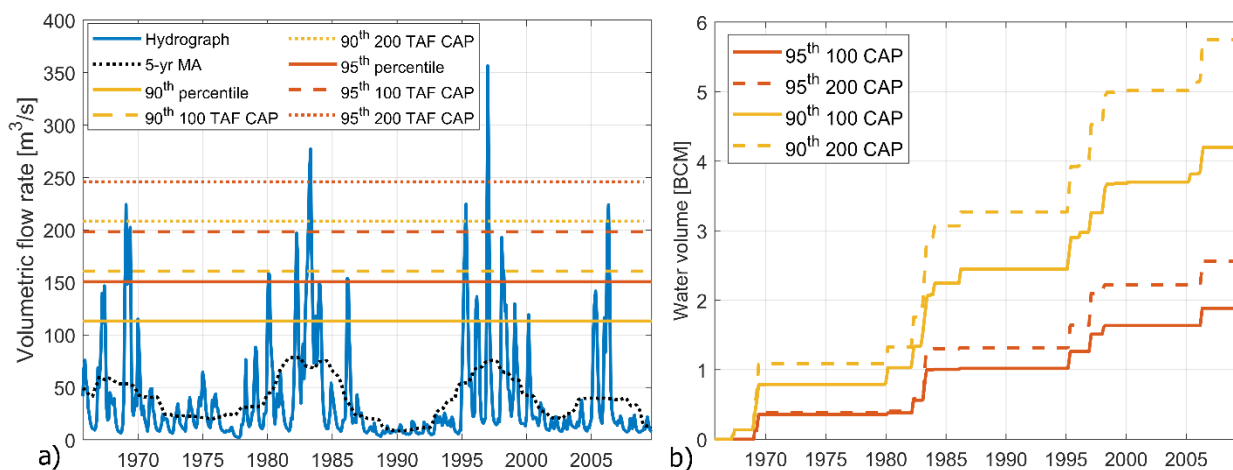
423 *Table 1: Surface water diversion scenarios used in this study and their set up in the optimization-*  
 424 *framework.*

<b>Diversion scenario</b>	<b>Decision variables</b>	<b>Populations</b>	<b>Generations</b>
<b>Local</b>	258	256	400
<b>Friant-Kern Canal</b>	320	384	300
<b>Delta</b>	459	512	400

425

426 In our study, two HMF thresholds (90<sup>th</sup> and 95<sup>th</sup> percentile) are evaluated. Fig. 2a shows the 90<sup>th</sup>  
 427 and 95<sup>th</sup> HMF percentiles for the Tuolumne River, which correspond to 113 m<sup>3</sup>/s and 150 m<sup>3</sup>/s,  
 428 respectively. When HMF flows occur, the volume of water that is available for MAR is quite  
 429 large (Fig. 2a). Conveyance of HMF likely requires an increase in existing conveyance  
 430 infrastructure capacity, which is quite expensive considering that these flows are only available  
 431 once every decade. To avoid this, we enforce a maximum diversion amount (cap). Two caps are  
 432 considered in this study: 1) 100,000 acre-feet (100 TAF) per month corresponding to 0.123 BCM

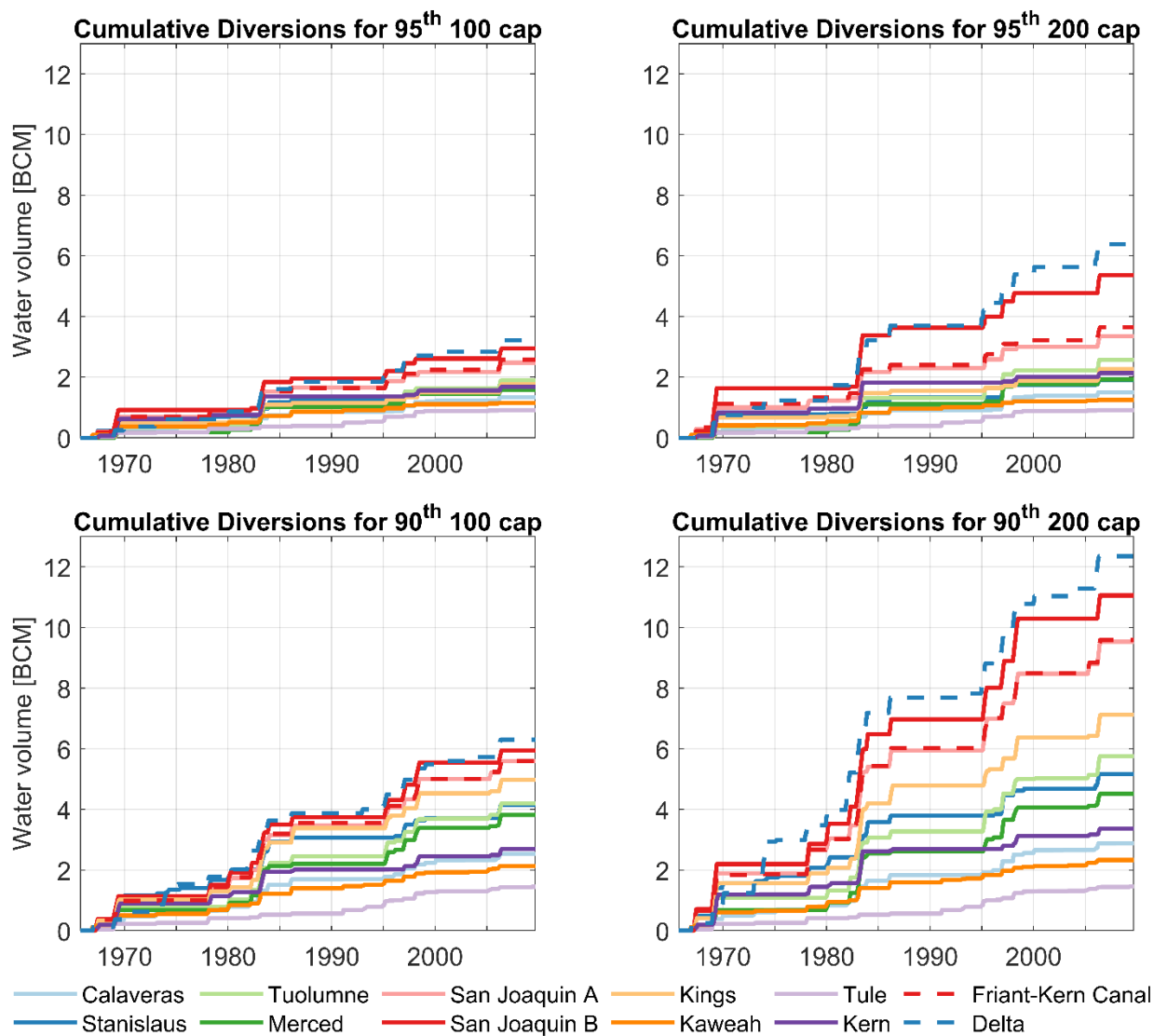
433 (billion cubic meter) and 2) 200 TAF corresponding to 0.247 BCM/month. Therefore, the total  
 434 amount that is diverted in the model for MAR ranges between the percentile and the cap. For the  
 435 Tuolumne River the total amount of water that can be diverted during the simulation period  
 436 (10/1965 – 9/2009) ranges between 2 BCM (95<sup>th</sup> percentile 100 TAF cap scenario) and 6 BCM  
 437 (90<sup>th</sup> percentile – 200 TAF cap scenario) (Fig. 2b). Since our simulation assumes that HMF  
 438 occurs for a few days every month ( $c_a = 1/5$ ), the maximum available HMF diverted in a given  
 439 month is  $\text{cap}/5$ . Likewise, because we assume that a maximum water depth of 4.52 m (15ft) ( $c_b = 15 \text{ ft}$ ) can be recharged within the winter rainy season (Nov-Apr), the recharge volume  
 440 requires a maximum MAR basin area of 5.4 km<sup>2</sup> (1.34 acres) for the 100 TAF cap and 10.8 km<sup>2</sup>  
 441 (2.67 acres) for the 200 TAF cap.  
 442



443 a) 444 *Fig. 2 a) Streamflow hydrograph extracted from C2Vsim for the Tuolumne River. B) Cumulative HMF*  
 445 *amount available for MAR for the 95<sup>th</sup> and 90<sup>th</sup> percentiles and the annual diversion limits of 100 TAF*  
 446 *and 200 TAF, respectively. MA in the legend means moving average.*

447 Depending on the HMF percentile and the cap threshold, the total cumulative amount of water  
 448 available for recharge over the 46-year, 1963-2009 modeling period is quite variable among the  
 449 scenarios. For the local scenario, the 95<sup>th</sup> percentile provides significant excess water only during  
 450 four wet years (1969, 1983, 1995-1998, 2006), while for the 90<sup>th</sup> percentile there are more than  
 451 ten years where excess water is available. Imposing a cap on the diversion amounts mainly  
 452 influences the total amount available from larger water sources (e.g. Delta, FKC, larger river) but  
 453 has limited effect on the amounts available from smaller systems. Overall, cumulative (1969-  
 454 2009) diversion amounts vary between 0.9 and 11 BCM for the ten rivers depending on the HMF

455 threshold and cap. In comparison, the cumulative diversion amounts available from the FKC and  
 456 Delta scenarios vary between 2.5 km<sup>3</sup> and 9.5 km<sup>3</sup> and 3.2 and 12.3 km<sup>3</sup>, respectively, with the  
 457 90<sup>th</sup> percentile and 200 TAF cap scenario providing the most water (Fig. 3). In reality, HMF  
 458 volumes available from the Delta are considerably larger than 200 TAF per month, but the  
 459 majority of this water is fully allocated to downstream users.



460

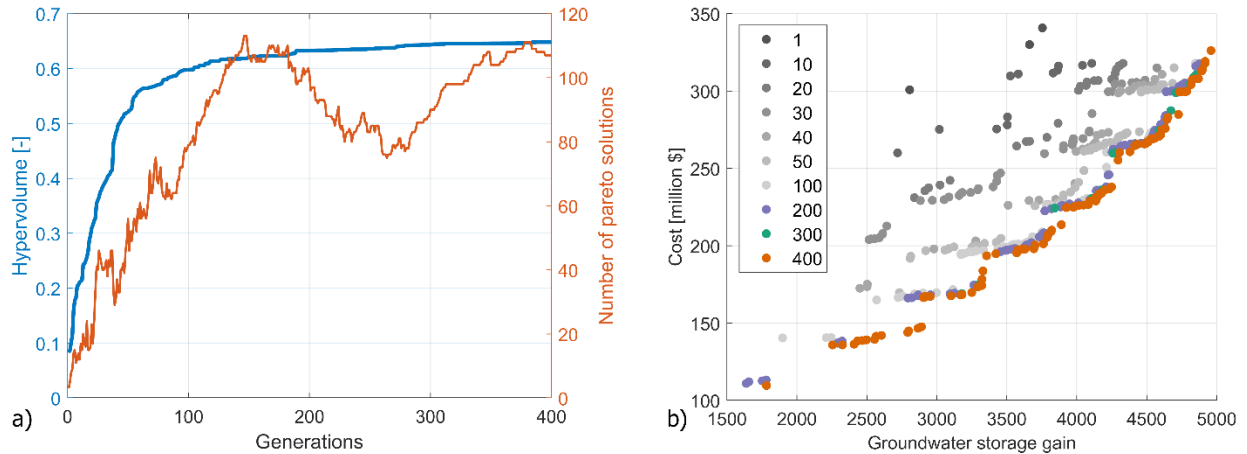
461 *Fig. 3 Cumulative surface water diversion amounts available from the ten rivers within the San Joaquin-*  
 462 *Tulare Lake basin, the Friant-Kern canal, and the Delta.*

463

## 464 4 Results and Discussion

### 465 4.1 Optimization

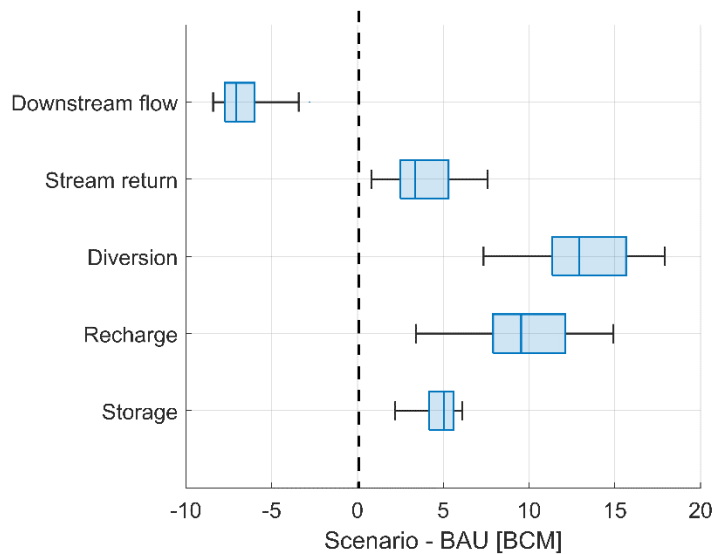
466 For each scenario we solve four optimizations considering the different HMF thresholds (90<sup>th</sup>,  
467 95<sup>th</sup>) and cap limits (100 TAF, 200 TAF), resulting in 12 total optimizations. In the following  
468 paragraph we describe in detail the optimization results of the SO framework application using  
469 the example of the local scenario with 95<sup>th</sup> percentile flows and a cap of 100 TAF. The goal of  
470 this exercise is to examine the evolution of the optimization and test whether it converged to a  
471 near optimum solution, which is done by calculating the hypervolume (i.e., area between the  
472 Pareto front solutions and a reference solution that is dominated by every possible solution) for  
473 each generation. During the first 100 generations the hypervolume expands rather rapidly (Fig.  
474 4a) as the optimization finds solutions that push the Pareto front away from the reference point  
475 (e.g. the worst-case solution for both objectives). After 100 generations the hypervolume  
476 increases at a slower rate until it reaches a plateau after about 300 generations. Fig. 4a (orange  
477 line) shows that the number of solutions is increasing over the first 150 generations following the  
478 same pattern as the hypervolume metric. After 150 generations the number of solutions starts to  
479 oscillate between 80 and 110. At the same time, we observe that the change in hypervolume for  
480 these generations is rather negligible. During the first stages of the optimization the entire Pareto  
481 front moves towards the optimal Pareto front while in the later generations the Pareto front  
482 undergoes minor shifts, and the optimization focuses on the density of the Pareto front. When  
483 comparing the optimizations across different scenarios, we find that the shape of the  
484 hypervolume evolution is very similar in all optimizations conducted in this study (Fig. S5S6),  
485 indicating that the evolution of the number of Pareto solutions depends highly on the random  
486 genetic operations, which is very different for each optimization but always follows a similar  
487 pattern – a rapid increase in the number of Pareto solutions followed by an oscillation pattern.



488

489 *Fig. 4: a) Normalized hypervolume (left axis) and number of solutions (right axis) for the optimization*  
 490 *for the local scenario with 95<sup>th</sup> percentile HMF and a 100TAF cap b) Evolution of the Pareto fronts for*  
 491 *selected generations.*

492 Fig. 4b shows that within 50-100 generations the Pareto front is shifted very close to the final  
 493 solution. However, the individual solutions of the final (400) Pareto front are spread more evenly  
 494 and are also expanded on both sides of the front. Similar trends were observed in all other  
 495 optimization runs, which gives confidence that the final solutions are very close to the near  
 496 global optimum Pareto front.



497

498 *Fig. 5 Difference in water budget components shown for the Pareto solutions for the local, 95<sup>th</sup>*  
 499 *percentile and 100 TAF cap scenario in comparison to the BAU scenario. Diversion is the amount of*  
 500 *surface water diverted from rivers for recharge and Recharge is the amount of water applied on*  
 501 *selected finite elements for recharge minus transportation losses.*

502 To understand the impact of the Pareto solutions on the long-term water budget, we examine the  
503 water budget components that are impacted by the MAR scenarios. These are the downstream  
504 flows  $Q_{down}$ , stream return flows  $Q_{return}$ , diversion flows  $Q_i$ , groundwater recharge  $Q_{rch}$ , and  
505 groundwater storage  $Q_{strg}$ . The upstream flows  $Q_{up}$  that are used in the following equations are  
506 identical between the BAU and MAR scenarios. The water budget at each stream node dictates  
507 that  $Q_{down} = Q_{up} + Q_{return} - Q_{diversion}$ , while at each element the groundwater storage is  
508  $Q_{strg} = \sum Q_i + Q_{rch} - Q_{return}$  where  $\sum Q_i$  represent all of the remaining flows in or out of an  
509 element. Fig. 5 shows the water budget components for each Pareto solution of the local, 95<sup>th</sup>  
510 percentile, 100 TAF cap scenario in comparison to the business-as-usual (BAU) scenario using  
511 the C2Vsim model (Fig. 5). The diversion of streamflow for MAR is negatively impacting  
512 downstream flows below the diversion point, as indicated by the lower streamflows in the MAR  
513 scenarios compared to the BAU simulation. However, the downstream flow reduction is  
514 approximately half of the diverted amount, indicating that about half of the recharged water is  
515 returned back to the stream at a later time thus increasing the flow downstream. As expected, the  
516 groundwater storage at the end of the simulation period is greater than the BAU scenario. The  
517 increase in storage is approximately 30% of the diversion amount. The remaining 70% is  
518 returned to the stream. When comparing the water budget components for all other scenarios, we  
519 observe that this pattern is consistent across all optimizations, however the exact water budget  
520 amounts differ considerably among the individual Pareto solutions.

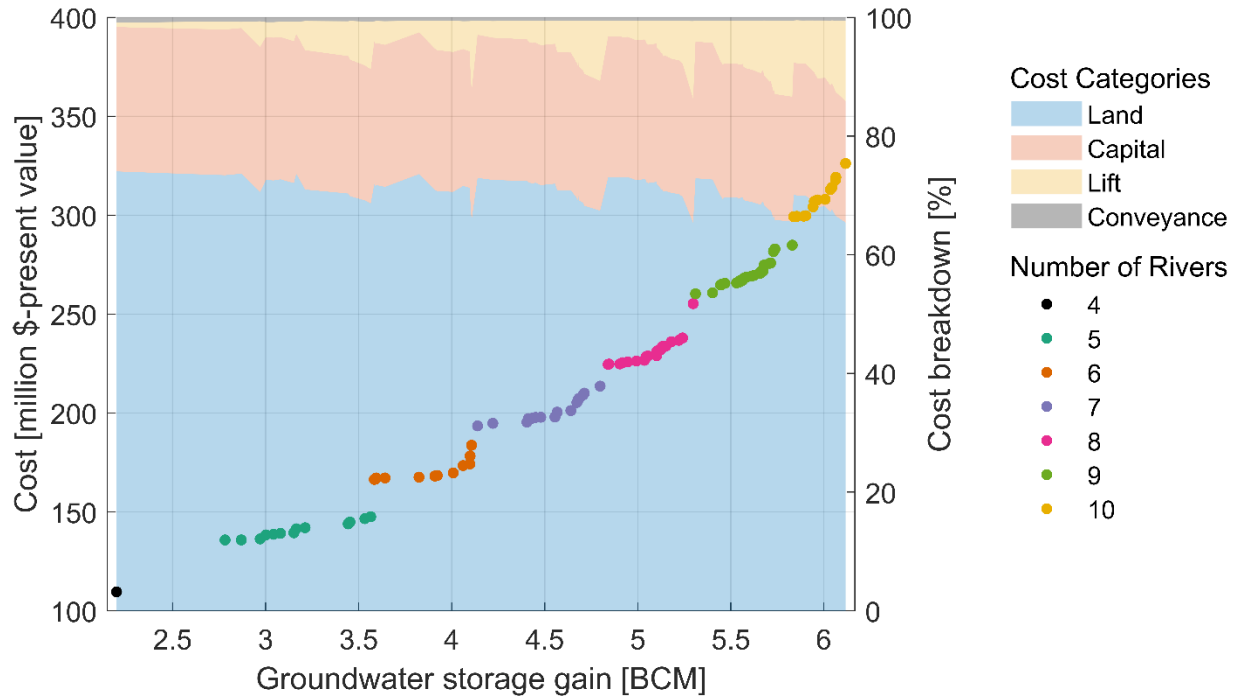
## 521 4.2 Pareto solutions of different MAR scenarios

### 522 4.2.1 The role of cost in Pareto solutions

523 Fig. 6 shows a step-like pattern for the Pareto front for the local, 95<sup>th</sup> percentile, 100 TAF  
524 scenario, which is mainly due to solutions being clustered based on the number of rivers  
525 considered in each solution. When examining the cost function of the Pareto front, we observe  
526 that the cost between clusters either increases stepwise (i.e., from  $N_i$ : 5 to 6 and 7 to 8, 9 to 10) or  
527 sharply (i.e.  $N_i$ : 6, 8). The cost jumps are mainly due to the fixed capital cost of a MAR basin,  
528 which is increasing for each river that is added to the solution.

529 As shown in Fig. 6, for the smallest number of rivers considered ( $N=4$ ), total MAR cost is  
530 mainly made up of land cost (70% of total cost; blue filled area) and capital cost (30%; orange  
531 filled area). In contrast, the lift cost exhibits a non-linear increase, because for every diversion  
532 node there are elements with zero lift (elevation of diversion point is higher than the receiving  
533 element) and elements with non-zero lift cost (elevation of diversion point is lower than the  
534 receiving element). Based on the optimization formulation (eq.1), elements with zero lift cost are  
535 generally more attractive. However, elements with zero lift cost can also be limited in their  
536 storage gain (e.g. due to storage availability, proximity to streams etc.). To overcome this limit,  
537 the algorithm has to either include non-zero lift cost elements or add an extra diversion from  
538 another river which expands the candidate list of elements for MAR including additional zero  
539 and non-zero lift cost elements. Fig. 6 suggests that it is cheaper to overcome this limit with non-  
540 zero cost element due to the high capital cost. However, there is a point where the lift cost is  
541 greater than the capital cost. For these cases, MAR locations that increase groundwater storage  
542 are located at higher elevations than the diversion node, hence requiring a more energy to lift the  
543 water to the recharge area. When a new river is added, the lift cost decreases sharply since  
544 optimal recharge locations can be found at locations with zero lift cost, thereby reducing the  
545 energy costs required to transport the diverted water. However, adding a new river increases  
546 capital and land cost, since the total number of MAR locations increases compared to a scenario  
547 that diverts water from fewer rivers. The overall conveyance costs are negligible in this scenario.





548

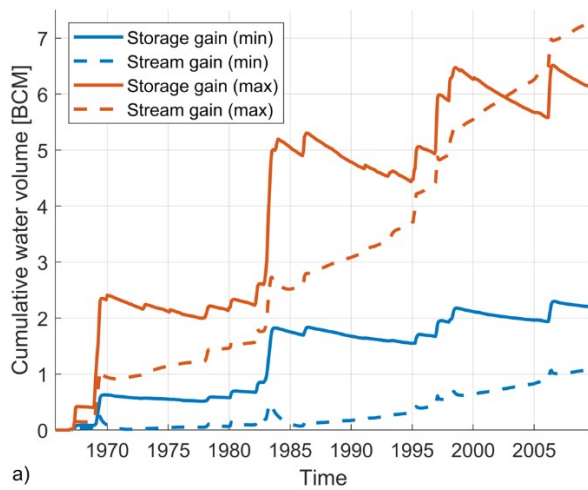
549 *Fig. 6 Pareto solutions for the local, 95<sup>th</sup> percentile, 100 TAF scenario. Solutions are clustered according*  
 550 *to the number of diversion points. The background colors indicate the cost breakdown as a percent*  
 551 *fraction of total cost (right axis).*

## 552 4.2.2 Efficiency of Pareto solutions

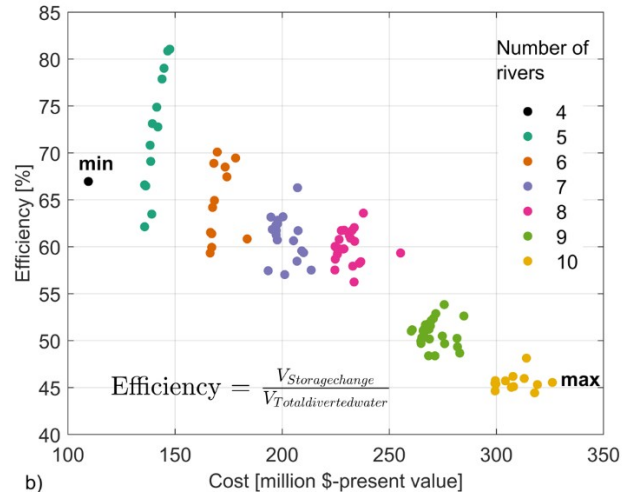
553 A key consideration for the hydrologic objective function is the selection of MAR sites that  
 554 maximize storage and reduce return flows of groundwater to streams. The trade-off between  
 555 these two competing objectives can be evaluated by assessing the efficiency of a particular  
 556 solution in terms of the share of total diverted water used for recharge that remains in the  
 557 groundwater aquifer. As shown in Fig. 7a, for the lowest cost, lowest storage solution about 33%  
 558 (1 BCM) of the total diverted water recharged (3.2 BCM) returned to streams and 67% (2.2  
 559 BCM) remained in aquifer storage. In contrast, for the most expensive solution with the largest  
 560 groundwater storage gain, 55% (7.2 BCM) returned to streams and only 45% (6 BCM) remained  
 561 in groundwater storage. However, as clearly shown in Fig. 7b, as the cost of the solution  
 562 increases, which also increases the groundwater storage gain, the overall efficiency of MAR  
 563 decreases at a rate of 14% per \$100 million. Note that the variability between the groups  
 564 decreases as the number of rivers increases. When five rivers are considered, the MAR efficiency  
 565 varies between 65 and 80%, while for 10 rivers it varies between 44 and 48%. This is because

566 there are multiple combinations of 5-river sets and the number of combinations decreases as the  
 567 river number increases.

568



569 a)



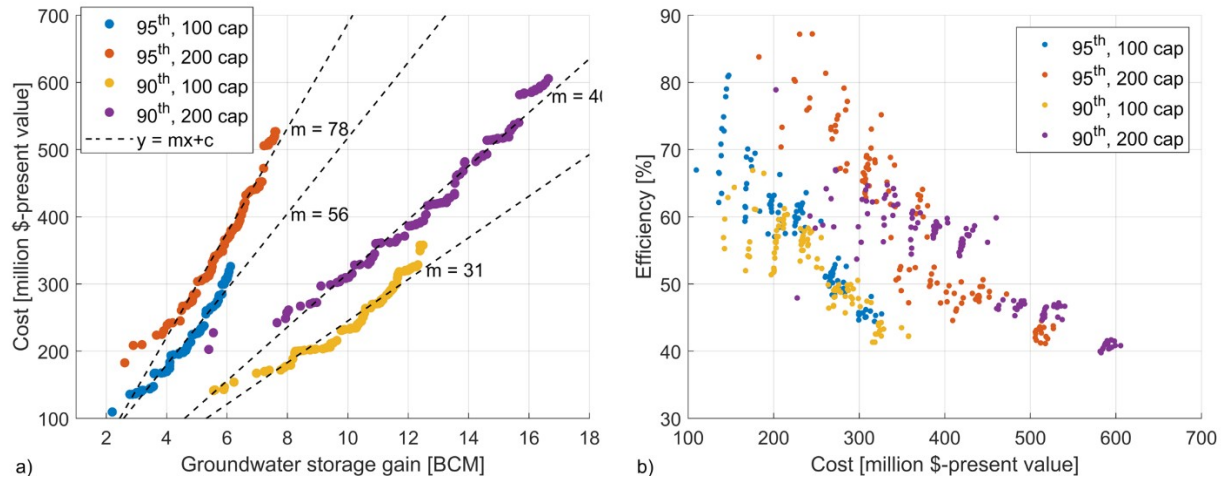
b)

570 Fig. 7 a) Groundwater storage and streamflow gain for the two most extreme solutions of the  
 571 optimization for the local, 95<sup>th</sup> percentile, 100 TAF cap scenario b) Efficiency of Pareto solutions for the  
 572 local, 95<sup>th</sup> percentile, 100 TAF cap plotted as a function of cost and grouped according to the number  
 573 of activated rivers.

574

### 575 4.2.3 Local diversions scenarios

576 Fig. 8a shows the Pareto fronts for the different HMF thresholds (90<sup>th</sup> and 95<sup>th</sup> percentile) and cap  
 577 (100 and 200 TAF) scenarios. As mentioned before, both the HMF threshold and the cap limit  
 578 affect the total amount of water diverted for MAR. For both HMF thresholds, there is a range of  
 579 solutions where the same amount of storage gain can be achieved at a lower cost if the cap is  
 580 lowered. For example, using the 90<sup>th</sup> percentile (yellow and purple dots), there is a range between  
 581 5.5 and 12.5 BCM of storage gain where the Pareto solutions of the 100 TAF cap achieve the  
 582 same storage gain as the 200 TAF cap, but at a much lower cost. However, because higher cap  
 583 values allow more water to be diverted, the overall storage gain that can be achieved under the  
 584 200 TAF cap scenario is higher. Under the 200 TAF scenario the diverted amount is doubled, yet  
 585 we see that the maximum storage gain is less than double for both the 95<sup>th</sup> and 90<sup>th</sup> percentiles.



586

587 *Fig. 8 a) Pareto fronts for all local scenario optimizations b) Efficiency of pareto solutions for the 4 local*  
 588 *scenarios.*

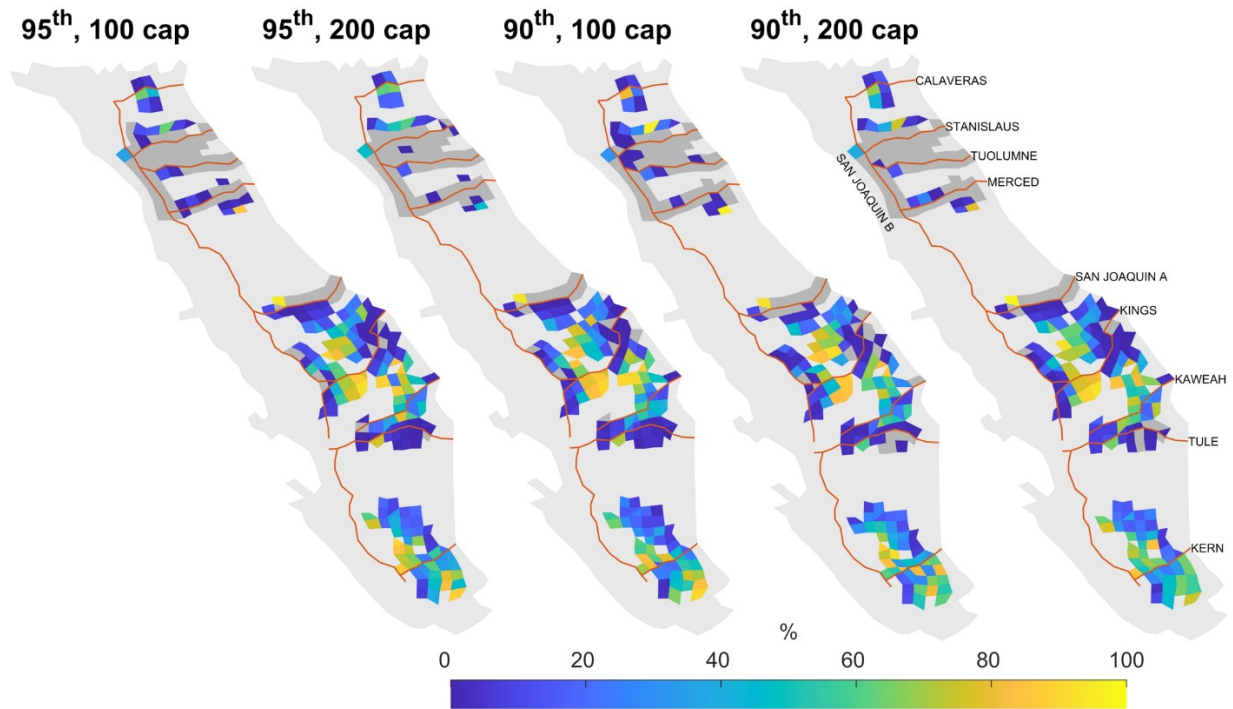
589

590 Fig. 8a also highlights the importance of the frequency of diversion events. The Pareto sets that  
 591 use the 95<sup>th</sup> percentile exhibit an average diversion cost of \$56 and \$78 million per BCM of  
 592 storage gain for the 100 and 200 TAF cap scenarios, respectively. The diversion cost of both 90<sup>th</sup>  
 593 percentile scenarios are approximately halved at \$31 and \$40 million per BCM for the 100 TAF  
 594 and 200 TAF scenarios, respectively. By comparing the Pareto fronts of both 100 TAF cap  
 595 scenarios (blue and yellow fronts) we see that for the price of \$300 million for example not only  
 596 is a higher volume of water diverted but also the storage gain is doubled for the same cost.

597 When comparing all optimizations, we observe that the efficiency of the Pareto solutions follows  
 598 the same pattern (Fig. 8b). In general, lower cost solutions, which divert less water compared to  
 599 the high-cost solutions, have a higher efficiency because these solutions minimize the return flow  
 600 to streams therefore yielding higher efficiency. Note also that the optimizations for the 95<sup>th</sup>  
 601 percentile return several (10-20) solutions with efficiencies greater than 70%. These are low-cost  
 602 solutions which divert water from a few rivers (5-6), therefore there are many more  
 603 combinations of MAR sites that minimize baseflow compared to scenarios where all rivers and  
 604 potential MAR sites are used. On the other hand, optimizations that use the 200 TAF cap are  
 605 generally more efficient for a given cost compared to the 100 TAF cap mainly due to the  
 606 frequency of water availability. For \$300 million, the efficiencies of the 100 TAF cap Pareto

607 solutions vary between 45-50%, while for the 200 TAF cap the efficiencies vary between 55 –  
608 75%.

609 The Pareto front of the local, 95<sup>th</sup> percentile, 100 TAF scenario consists of 107 individual  
610 solutions. Although each solution consists of a unique combination of diversion nodes and finite  
611 elements receiving water for MAR, there are several elements that tend to get selected more  
612 often than others by the SO framework. The elements selected under the two HMF thresholds  
613 and two cap scenarios follow a very similar probability selection pattern (Fig. 9). Elements  
614 located south of the Kings and Kern rivers and close to the San Joaquin River are selected more  
615 frequently (yellow colors). This is mainly due to the overall falling price gradient from east to  
616 west (Fig. S3). For the diversions from the San Joaquin, Merced, and Stanislaus rivers we see  
617 that there is one element for each diversion node, that is most frequently selected in the Pareto  
618 solutions while the other elements are either never selected or only a few times. It is interesting  
619 to note that although the Tuolumne River provides higher water volumes compared to the other  
620 rivers the optimizations do not choose elements that correspond to the Tuolumne River. This is  
621 likely due to the fact that land prices of the receiving elements within the Tuolumne River basin  
622 are the highest in the study area (Fig. S3).



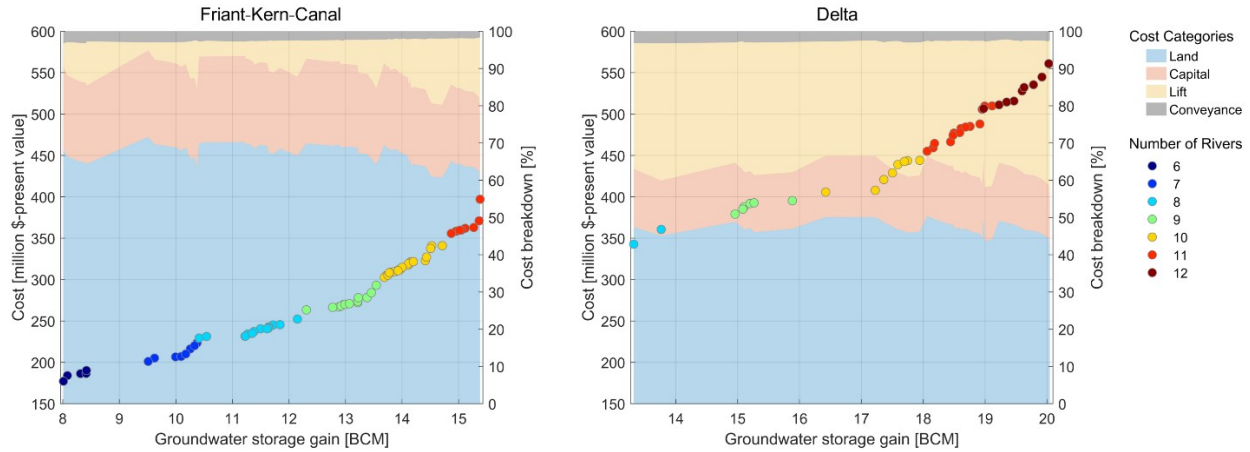
623

624 *Fig. 9 Probability (in percent) of finite elements being selected for recharge by a Pareto solution for the*  
 625 *local scenario.*

#### 626 4.2.4 Friant Kern Canal and Delta diversions scenarios

627 In the Friant-Kern-Canal (FKC) and the Delta scenarios (Fig. 10), where finite elements can  
 628 receive water from 2 or 3 diversion nodes at a time, the resulting Pareto fronts are very similar to  
 629 those for the local scenario. However, the FKC and Delta scenarios show a different behavior in  
 630 terms of cost breakdown. Land cost makes up about 60% and 50% of the total cost for the FKC  
 631 and Delta scenarios, respectively. Since the capital cost is fixed across these scenarios the change  
 632 in total cost is mainly caused by the higher energy or lift cost. For the Delta scenario the energy  
 633 cost is almost 40% of the total cost since water needs to be lifted from mean sea level to the  
 634 receiving elements (Fig. 10). The FKC and Delta scenario also show a higher conveyance cost  
 635 compared to the local scenario, which is caused by the longer distances over which water is  
 636 being transported.

637



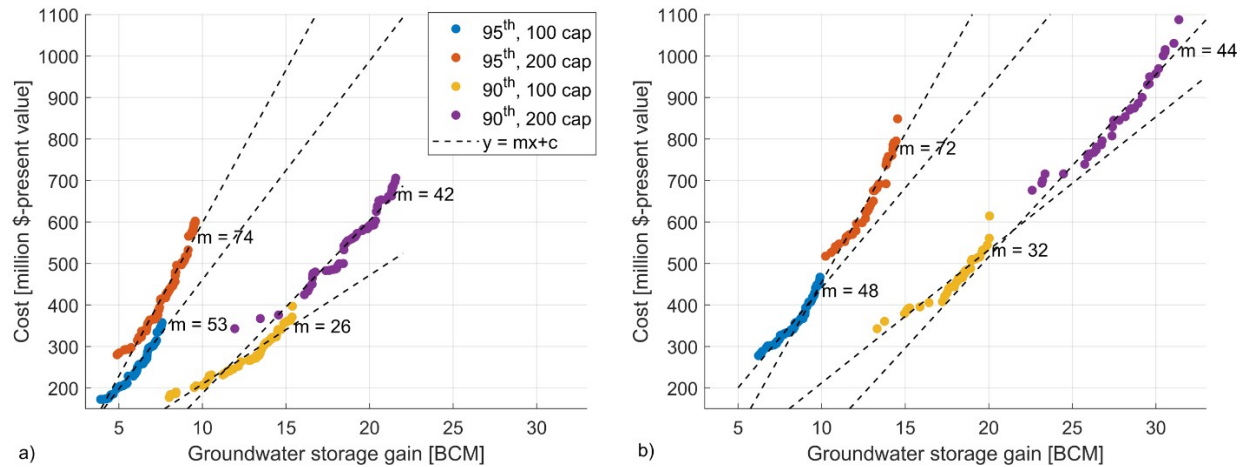
638

639 *Fig. 10 Pareto fronts and cost breakdown for the 90<sup>th</sup> percentile and 100 TAF cap scenario for the*  
 640 *Friant-Kern-Canal and Delta diversion scenarios.*

641

642 Because of the higher diversion amounts possible under the FKC and Delta scenarios, the  
 643 groundwater storage gain is larger for both scenarios than for the local scenario. However, the  
 644 increase in surface water used for MAR in both scenarios does not translate into a proportional  
 645 increase in groundwater storage. Large increases in storage are only achieved for the 200 TAF  
 646 cap scenarios (Fig. 11). The FKC optimizations show an approximately 25% greater storage gain  
 647 than the local scenario, while for the Delta optimizations the additional storage gain is 50-80%.  
 648 However, the increased storage comes at a higher total cost, which is about 10-15% higher than  
 649 observed in the local scenario. On the low storage gain, low-cost end of the Pareto solutions, the  
 650 FKC and Delta scenarios are quite similar (e.g., for the same price, the storage gain is of the  
 651 same order), but the overall cost per unit storage gain (dashed lines) is slightly lower in the FKC  
 652 and Delta scenarios compared to the local scenario. One exception to this pattern are the 90<sup>th</sup>  
 653 percentile runs, which due to the higher amount of diverted water resulted in considerably higher  
 654 storage gains compared to the 95<sup>th</sup> percentile scenarios.

655



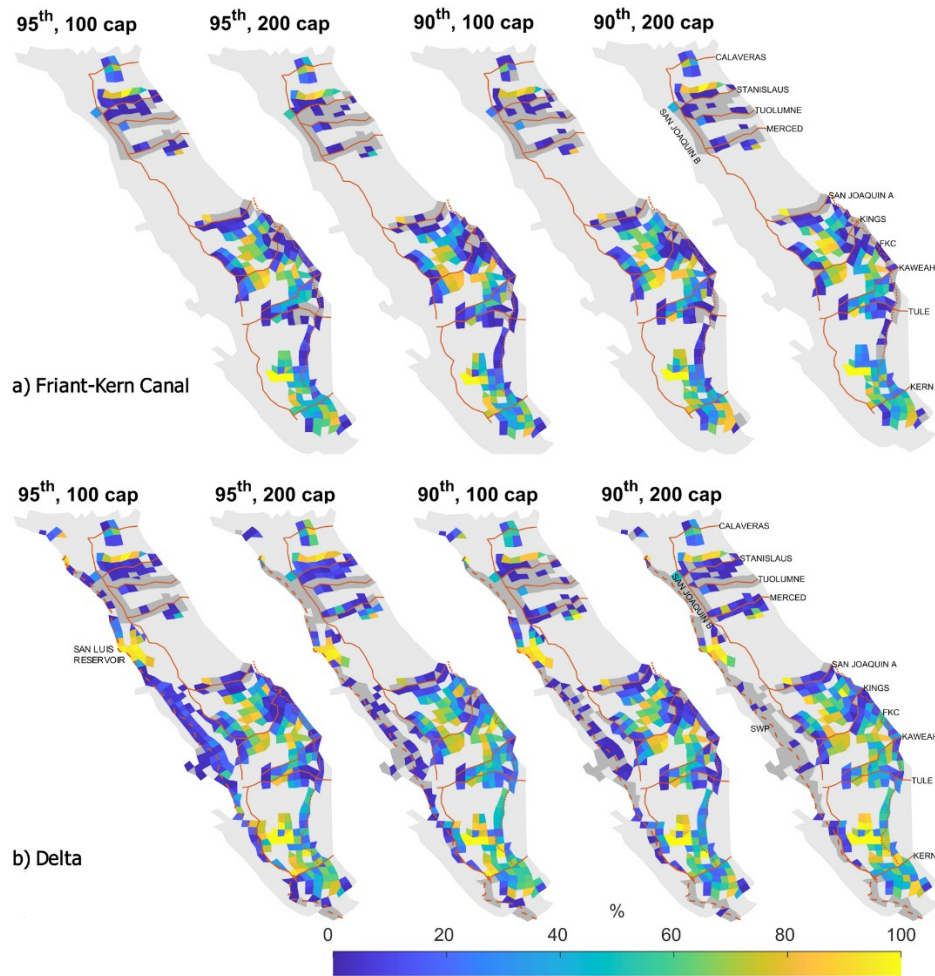
656

657 *Fig. 11 Pareto fronts for all HMF scenario optimizations for the Friant-Kern Canal scenario (a) and the*  
 658 *Delta scenario (b).*

659

660 The selection probability of individual finite elements in the FKC scenario is similar to the local  
 661 diversion scenario. The majority of selected elements that can receive water from the FKC are  
 662 located in the northwest of Kern County (e.g. region north of the Kern River shown in Fig. 12).  
 663 In particular, there are three elements (Fig. 12a) that have nearly 100% selection probability,  
 664 which are selected because of their low land and lift cost (east to west topographic gradient), and  
 665 as they are not very close to streams and can increase storage gain without losing significant  
 666 amounts of water to baseflow. Another group of elements with high selection probability can be  
 667 observed north of the Stanislaus River where land prices are lower compared to surrounding  
 668 areas (element prices in the Stanislaus and Tuolumne River basin are among the highest in the  
 669 study area; Fig. S3). However, we observe that the selection probability of these elements is  
 670 higher in the local diversion scenarios than the FKC scenario. The low-cost solutions of the FKC  
 671 scenario correspond to the mid-cost solutions of the local diversion scenario (Fig. 8a), with the  
 672 cost difference mainly coming from the increased lift cost in the FKC scenario. Lastly, we  
 673 observe that elements near the eastern boundary of the study area have very low selection  
 674 probability in the FKC scenarios. This is partly due to the higher land prices in this area as well  
 675 as low storage gain capacity that these elements have (Fig. S3).





676

677 *Fig. 12 Probability of element selection for the Friant Kern Canal (a) and Delta diversions (b). Dark grey*  
 678 *elements correspond to elements available for recharge that have not been selected by any solution.*

679

680 For the Delta diversion scenario, selection of elements is again mainly influenced by land price  
 681 and energy cost. Elements with the highest selection probability are located near the San Luis  
 682 Reservoir (Fig. 12b), however, as more water becomes available for MAR, fewer elements are  
 683 selected by the optimization to receive water from the Delta since more recharge can be  
 684 accommodated by the Sierra tributaries and the FKJ (e.g., Fig. 12a versus Fig. 12b). In Fig. 12,  
 685 dark grey elements indicate elements available for recharge that have not been selected by any  
 686 solution. In the 95<sup>th</sup> percentile – 100 TAF cap Delta scenario at least 25 elements are selected to  
 687 receive water for MAR, while only 7 elements are selected under the 90<sup>th</sup> percentile – 200 TAF



688 cap scenario. This is because the local diversions are always cheaper in terms of energy and  
689 conveyance cost.

690

## 691 5 Conclusions

692 Managed Aquifer Recharge (MAR) is increasingly being recognized as a promising management  
693 option to replenish overdrafted aquifers in groundwater-dependent agricultural regions.

694 However, identifying suitable locations for MAR remains a challenge since it often involves a  
695 combination of multiple biophysical factors and rarely economic factors (e.g., capital cost,  
696 conveyance cost, land cost) that are often perceived as constraints on the selection of a MAR  
697 site. We propose the use of a simulation-optimization framework that allows identifying trade-  
698 offs between environmental benefits of MAR and the cost of implementing managed aquifer  
699 recharge facilities in multiple locations. The proposed simulation-optimization framework  
700 utilizes a NSGAI multi-objective genetic algorithm with an integrated surface water-  
701 groundwater model capable of evaluating different water balance components and MAR  
702 scenarios. As such it provides a solution front (i.e. Pareto front) that allows stakeholders to  
703 [evaluate tradeoffs between competing criteria such as MAR project cost and environmental](#)  
704 [benefits.](#)

705

706 The SO framework was tested with the California Central Valley Groundwater-Surface Water  
707 Simulation Model (C2Vsim) in the San Joaquin–Tulare Lake Basin in California with the goal to  
708 identify suitable MAR locations that maximize groundwater storage and minimize MAR cost  
709 over a 46-year simulation period (1963-2009). Several diversion scenarios (90<sup>th</sup> and 95<sup>th</sup>  
710 percentile flows, water sources (local river flow vs imported water), and diversion caps [100 and  
711 200 thousand acre-feet]) were evaluated with the SO framework, which provided some specific  
712 insights into the benefits of using the SO framework in hydro-economic modeling.

713

714 1. Using the SO framework with a sophisticated numerical groundwater model allowed  
715 evaluating a wide variety of possible scenarios stakeholders might want to consider when

716 discussing the implementation of MAR projects. Stakeholders can choose between MAR  
717 sites that maximize the groundwater storage gain, sites that minimize MAR project cost,  
718 or any level of compromise in-between.

- 719 2. Parallelizing the code allowed simulation of several scenarios with several hundreds of  
720 different decision variables and solutions in a matter of a few days.
- 721 3. Diverting and recharging excess water from local rivers within the same basin is the most  
722 cost-efficient MAR approach in terms of cost per unit of groundwater storage gain due to  
723 the low water transportation cost.
- 724 4. Diverting more water may not yield the most efficient groundwater storage gain (e.g. cost  
725 per unit of groundwater storage gained in the aquifer). Total MAR cost for imported  
726 water is higher (10-15%) due to longer distances, elevation changes, and potential  
727 seepage losses encountered during transport.
- 728 5. Depending on physiographic characteristics (e.g. elevation and distance of recharge area  
729 to diversion points) and land prices, some recharge locations are preferably selected over  
730 other locations. This is mainly due to the enormous storage gain that these areas can  
731 provide.

732 Currently the model results are based on a hydrologic model that has a relatively low spatial  
733 resolution ( $\sim 10 \text{ km}^2$ ) and distinguishes only three groundwater layers. It therefore lacks  
734 detailed hydrogeologic characterization of the subsurface. Future studies may consider using  
735 more refined models such as the fine-mesh C2Vsim model ( $\sim 2.7 \text{ km}^2$ ) as well as  
736 incorporating more detailed subsurface information from airborne electromagnetic surveys  
737 currently acquired over California's CV to improve subsurface characterization. Lastly, this  
738 study does not take into account groundwater quality, which can be an important factor in  
739 MAR design (Guo et al., 2023).

740 Overall, the results indicate that different combinations of high-magnitude flow diversion  
741 thresholds and receiving MAR locations maximize groundwater storage at minimum cost,  
742 which provides water resources managers with different options depending on source water  
743 availability for recharge. Water resource managers can explore the trade-offs between

744 different scenarios in a webtool of the results, which is available at  
745 <http://subsurface.gr/joomla/MAR/OptimResults.html>.

746

#### 747 **Data Availability Statement**

748 The data and results of this paper can be found at  
749 <https://www.hydroshare.org/resource/f3a3e4e3697e484e8d71852b92ffbc90/>

750

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756

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