Contributions of climate change and groundwater extraction to soil moisture trends

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Abstract. Climate change affects water availability for soil, and groundwater extraction influences water redistribution by altering water demand, both of which significantly affect soil moisture. Quantifying their relative contribution to the changes in soil moisture will further our understanding of the mechanisms underlying the global water cycle. In this study, two groups of simulations were conducted with and without groundwater (GW) extraction (estimated based on local water supply and demand) from 1979–2010 using the land surface model CAS-LSM with four global meteorological forcing datasets (GSWP3, PRINCETON, CRU-NCEP, and WFDEI). To investigate the contribution of climate change and GW extraction, a trajectory-based method was used. Comparing the simulated results with the in-situ dataset of the International Soil Moisture Network (ISMN) and the satellite-based soil moisture product of the European Space Agency's Climate Change Initiative (ESA-CCI) indicated that the CAS-LSM reasonably reproduced the distribution of soil moisture, and well matched the temporal changes. Globally, our results suggested a significant decreasing trend in surface soil moisture (0-10 cm, 0.98 e−4 $mm^3\ mm^{-3}\ yr^{-1}$) over the 32-year period tested. The drying trends were mainly observed in arid regions such as the tropical desert regions in North Africa and the Arabian Peninsula. While the wetting trends were primarily in tropical forested areas in South America and Northeast Asia. Climate change contributed 101.2% and 90.7% to global drying and wetting trends of surface soil moisture, respectively, while GW extraction accounted for −1.2% and 9.3%, respectively. In deep soil, GW extraction contributed 1.37% and −3.21% to the drying and wetting trends, respectively. The weak influence of GW extraction may be because this activity occurs in limited areas. GW extraction contributed more than 35%

to the change in surface soil moisture in wetting areas where GW overexploitation occurs. GW is mainly extracted for irrigation to alleviate soil water stress in semiarid regions that receive limited precipitation, thereby slowing the drying trend and accelerating the wetting trend of surface soil. However, GW exploitation weakens the hydraulic connection between soil and aquifer, leading to deeper soils drying up. Overall, climate change dominated the soil moisture trends, but the effect of GW extraction cannot be ignored.

1. Introduction

Soil moisture plays a critical role in controlling the exchange of water, energy, and carbon between the land–vegetation–water–atmosphere system (Seneviratne et al., 2010; van den Hurk et al., 2011). Soil drying could increase the possibility of agricultural drought and fire (Dai et al., 2011), and affects plant transpiration, photosynthesis, microbial activity, and a number of biogeochemical processes. Significant decreasing trends in soil moisture can lead to water scarcity, threatening water supply and associated food production (Döll et al., 2009; Wisser et al., 2010; Albergel et al., 2012; Wada et al., 2013; Dai, 2013; Zhan et al., 2016). Soil moisture trends are affected by both climate (e.g., precipitation and temperature) and human activities (e.g., groundwater (GW) extraction). Climate change can affect water availability for soil (Dai, 2013; Wentz et al., 2007; Feng, 2016), and human activities influence the soil water content through altering the surface water flux of soil (Min et al., 2011; Douville et al., 2013; Feng, 2016). GW extraction, such as for irrigation, also has been shown to affect local soil moisture. However, it remains unclear which of these factors exerts more influence owing to the complex interactions involved. Therefore, quantifying the contribution of climate change and GW extraction to soil moisture trends will improve our understanding of how human activities affect soil water content and will help to determine the mechanisms underlying the global water cycle.

Traditionally, trends in soil moisture have been studied using ground-based observations (Robock et al., 2005), which provide a direct record of soil moisture and are used as reference measurements for calibrating other methods for measuring soil moisture (Yin et al., 2018). Since they are limited in space, require significant manpower for sampling (Seneviratne et al., 2010), and cannot always represent larger

55 scales, remote sensing methods (e.g., passive and active microwave remote sensing) that provide global
56 coverage and excellent temporal sampling of soil moisture are widely used (Albergel et al., 2013).
57 Nevertheless, the accuracy of these measurements depends on the retrieval approach strongly, and
58 determining the contribution of climate and human activities is not easy. As a result, recent studies have
59 mostly relied on model estimates (Wei et al., 2008; Zhan et al., 2016).
60 Land surface models (LSMs) can be used to calculate soil moisture trends at regional or global scales (Li
61 et al.,2011; Jia et al., 2018). Different LSMs have been developed to simulate soil moisture as a function
62 of meteorological input variables and soil and vegetation parameters over a few decades (e.g., Kowalczyk
63 et al., 2006; Lawrence et al., 2011; Best et al., 2011). Much previous research has focused on the effect
64 of climate change on soil moisture using comprehensive LSMs forced with realistic forcing data (Berg
65 et al., 2003; Guo et al., 2006; Wei et al., 2008; Wang and Zeng, 2011). For the global average,
66 precipitation had a dominant effect on the variability of soil moisture at interannual to decadal time scales;
67 however, temperature was the main cause of the long-term trend in soil moisture. Increased soil drying
68 in the transitional regions was primarily caused by global warming, which is illustrated by regression
69 analysis and LSMs (Cheng and Huang, 2016). Since 1950, rising temperatures have contributed 45% to
70 the total soil moisture reduction (Cai et al., 2009). In semiarid regions, precipitation and temperature are
71 equally important to the simulations of soil hydrological variables (Wang and Zeng, 2011). Jia et al.
72 (2018) found that precipitation controlled the direction of soil moisture changes using remote sensing
73 data ESA-CCI and modeling of soil moisture by Community Land Model 4.5 (CLM4.5) in China.
74 Recently, researchers have focused on incorporating human activity into the hydrological processes of
75 LSMs to assess the influence of anthropogenic activities on hydrological variable simulations. For
76 example, irrigation has been shown to affect soil water content through increased local
77 evapotranspiration and decreased temperatures near the surface (Yu et al., 2014; Zou et al., 2014). GW
78 over-extraction lowers GW tables, reduces total terrestrial water storage, weakens hydraulic connections
79 between aquifers and rivers, and may decrease lake area (Coe and Foley, 2001). Wada et al. (2013)
80 reported that human water consumption is one of the more important mechanisms intensifying
81 hydrological drought. GW exploitation caused drying in deep soil layers and wetting in upper layers,
82 lowering the water table and rapidly reducing terrestrial water storage with severe levels of GW
83 consumption (Zeng et al., 2016a, 2016b, 2017; Xie et al., 2018).

Thus, to our knowledge, the influence of anthropogenic activities (GW extraction) on soil moisture has not been explicitly quantified. Therefore, the main purpose of our study was to assess the relative contribution of GW extraction and climate change to soil moisture trends. To address this issue, the historical land simulations of the Land Surface, Snow and Soil moisture Model Intercomparison Project (LS3MIP) were employed (van den Hurk et al., 2016). Four global meteorological forcing datasets covering the 20th century were used with the land surface model for the Chinese Academy of Sciences (CAS-LSM), which considers human water regulation (HWR) and the movement of frost and thaw fronts (Xie et al., 2018). We compared the simulations with in-situ observations and the ESA CCI satellite-based product to validate the capacity of the CAS-LSM to simulate soil moisture trends. Furthermore, we investigated the interannual variation and trends in simulated soil moisture. Finally, the response of soil moisture temporal variability to climate change and GW extraction was investigated, which can further our understanding of the relationship between soil moisture and climate.

Section 2 discribes the model used in this study, and describes the experimental designs, in-situ observations, and satellite-based data. Then Sect. 3 evaluates the soil moisture simulations in comparison with in-situ observations and satellite-based data. Also, the contributions of climate and GW extraction to soil moisture are discussed, while Sect. 4 outlines our conclusions.

2. Model, data, and experimental design

2.1 Description of CAS-LSM

Xie et al. (2018) incorporated GW lateral flow (GLF), Human Water Regulation (HWR), and the changes in the depth of frost and thaw fronts into CLM4.5 (Oleson, 2013) to develop the high-resolution CAS-LSM. For a detailed description of the physical processes within the CAS-LSM, see Xie et al. (2018). In the present study, only the HWR module was activated. Owing to the coarse resolution (0.9° × 1.25°) of the experiment, it is not possible to describe the water intake of the river, that is, the surface water. Therefore, only GW extraction was considered in our study. Here, only the processes associated with soil water are briefly described below.

The following equation represents the total water balance of the hydrological system:

$$\Delta W_{can} + \Delta W_{sfc} + \Delta W_{sno} + \Delta W_{soil} + \Delta W_a = \left(q_{rain} + q_{sno} + q_s + q_g - ET_{veg,ground,hum} - q_{over} - q_{h2osfc} - q_{drai} - q_{rgwl} - q_{ice}\right)\Delta t \quad \text{Eq. (1)}$$

where the left side denotes the change in canopy water, surface water, snow water, soil water, and ice and water in the unconfined aquifer in turn. q_{rain} is rainfall, q_{sno} is snow, and q_s and q_g represent the rate of surface and GW water use respectively, some of which will return to the soil. q_{over} is surface runoff, q_{h2osfc} is runoff from surface water storage. q_{rgwl} and q_{ice} are liquid and solid runoff, respectively, from glaciers, wetlands, and lakes. q_{drai} is subsurface drainage and $ET_{veg,ground,human}$ is evapotranspiration from vegetation, ground, and human water use. Δt is the time step(s).

2.2 Experimental setup

In this study, GSWP3 (Kim et al., 2016), WFDEI (Haddeland et al., 2011; Weedon at al., 2014), CRU-NCEP (Viovy and Ciais, 2009), and PRINCETON (Sheffield et al., 2006) were used to run the offline model. The fields included were air temperature, wind speed, specific humidity, solar radiation, and precipitation. The GSWP3 is based on a dynamical downscaling of the 20th century reanalysis project (Compo et al., 2011), covering the entire 20th century and some of the 21st century (1901–2012) at 0.5° spatial resolution and 3-h intervals. The WATCH forcing data (WFD) are based on the ECMWF-ERA-40 reanalysis data, and were also at 0.5° resolution and 3-h intervals, ceasing in 2001. A subsequent project, EMBARCE, provided the WFDEI, which consisted of 3-h-interval ECMWF ERA-Interim reanalysis data interpolated to 0.5° spatial resolution (1979–2014). Thus, there are offsets for some variables in the overlap period with the WFD. The CRU-NCEP provided 6-h-interval data at 0.5° horizontal spatial resolution (1901–2010). The PRINCETON is based on 6-h-interval surface climate data from the NCEP-NCAR reanalysis. These data are available at 0.5° resolution and 3-h intervals. The version used in this study is from 1901–2012 with a real-time extension based on satellite precipitation and weather model analysis fields. General information about these datasets is summarized in Table 1. Four forcing datasets were bilinearly interpolated to construct a field to a uniform 0.9° × 1.25° to ensure that every simulation had the same soil and vegetation parameters.

We replaced the land cover data with the new generation of "land-use harmonization" (LUH2), which builds on past work from CMIP5 (Hurtt et al., 2011). In addition, monthly irrigation datasets (Zeng et al., 2016b) were used for land model runs, which were developed based on the Food and Agriculture Organization of the United Nations (FAO) global water information system and the Global Map of Irrigation Areas, version 5.0 (GMIA5; Siebert et al., 2005) and reflected the hydrological response to the water consumption.

Two sets of numerical experiments were conducted using the default CLM4.5 (hereafter referred to as CTL) and using the CAS-LSM with the HWR module activated (hereafter referred to as NEW). Thus, CTL and NEW contained four simulations, CTL-GSWP3, CTL-CRUNCEP, CTL-PRINCETON, and CTL-WFDEI (prefixed with NEW- for the NEW model). The CTL runs did not include GW extraction, while the NEW runs did include it. Therefore, the difference between the NEW and CTL models would provide a measure of the effect of GW extraction. Simulation spin up followed the TRENDY protocol (http://dgvm.ceh.ac.uk/node/9) by recycling the climate mean and variability from 20 years (1901–1920) of the meteorological forcing. Land use and CO_2 concentration were set to constant at the 1850 level during spin up. All simulations were conducted with horizontal spacing of 0.9° × 1.25°. However, there were differences among the four forcing datasets; therefore, the simulation period covers between 1901 and 2010 at a time step of 30 min. Considering that the ESA CCI was available from 1979–2010, our evaluation focused on the same time interval.

2.3 In-situ soil moisture and satellite-based data

To evaluate the capability of the CAS-LSM to simulate soil moisture variation, we retrieved in-situ soil moisture data from the International Soil Moisture Network (ISMN) (Robock et al., 2000; Dorigo et al., 2011; Dorigo et al., 2013). The ISMN is based on in-situ measurements from different regional monitoring projects. For our study, we used data from Africa, Asia, Europe, Australia, and North America networks. Stations with >75% of the observational data missing during the evaluation period were excluded. After which a subset of 225 stations remained (Fig. 3). There were only three dominant contiguous areas in the world (the central USA, the North China Plain, and northern India) with severe levels of GW extraction (Zeng et al., 2016b). Therefore, we focused on validating the ability of the model to accurately represent the soil moisture in these three areas. Further site information is presented in Table 2.

The European Space Agency's Climate Change Initiative (ESA CCI) involves remote sensing projects to monitor global key climate variables with feedback effects on climate change. Soil moisture was then included in 2010. There are three ESA CCI soil moisture products available based on the two types of sensors employed by the project: active microwave remote sensing, passive microwave remote sensing, and a combined product of both active and passive data. The active product was obtained using the SCAT scatterometer and the METOP-A satellite-equipped C-band scatterometer using the algorithm proposed

by Wagner et al. (1999). The passive product includes observation data from four satellites, namely the tropical rainfall measuring mission microwave imager, the scanning multichannel microwave radiometer, the specific sensor microwave imager, and the advanced microwave scanning radiometer-Earth observing system. In the present study, we used the combined product (version 3.2), which covers 38 years from 1978–2016 at a daily temporal resolution.

2.4 Analysis method

Taylor's skill score (*S*) (Taylor, 2001) was used to quantitatively evaluate the spatial correlation of modeled soil moisture against the observations with standard deviations as follows:

$$S = \frac{4(1+R)^4}{(\sigma_f + 1/\sigma_f)^2(1+R_0)^4} \quad \text{Eq. (2)}$$

where σ_f is the ratio of the standard deviation of the simulations to the observations, R is the spatial correlation coefficient between the simulation and observation, and R_0 is the maximum possible spatial correlation coefficient. As the model variance approaches the observed variance (i.e., as $\sigma_f \to 1$) and as $R \to R_0$, the skill approaches 1. Thus, a higher value of S indicates a better model performance, and S = 1 when the simulation and observation data are identical.

All simulated datasets were converted to annual means by averaging for the growing season (March–October) before the trend analysis. Precipitation and temperature were treated the same as soil moisture. Trends were calculated using the nonparametric Mann-Kendall test and the Theil-Sen median slope (Sen, 1968) was used to delineate the trends.

To quantify the contribution of the climate and GW extraction to the trends in soil moisture, we used a trajectory method (Feng et al., 2014). The "trajectory" refers to studying the change of GW extraction that occur within a certain period of time for a given grid or region. We can study the effect on soil moisture due to GW extraction in this way. Soil moisture in the CTL experiment represented the effect of climate on soil moisture trends and served as a reference for isolating the contribution of GW extraction. The contributions were calculated with area weight summarization as follows:

$$Con_{gw,global} = \frac{R_{gw}(T_{gw} - T_{ctl})}{T} \times 100\% \quad \text{Eq. (3)}$$

$$Con_{cm,global} = (1 - Con_{gw,global}) \times 100\% \quad \text{Eq. (4)}$$

where $Con_{gw,global}$ and $Con_{cm,global}$ are the global contributions of GW extraction and climate, respectively; R_{gw} is the area ratio of GW extraction in the drying or wetting areas; T_{gw} and T_{ctl} are

198 the drying or wetting soil moisture trends in the GW and non-GW extraction regions, respectively; and
199 T is the soil moisture trend in the global drying or wetting zones.
200 Contributions of climate and GW extraction to certain grids were calculated as follows:

201 $$Con_{gw,grid} = \frac{(T_{gw} - T_{ctl})}{T_{gw}} \times 100\% \quad \text{Eq. (5)}$$

202 $$Con_{cm,grid} = (1 - Con_{gw,grid}) \times 100\% \quad \text{Eq. (6)}$$

203 where $Con_{gw,grid}$ and $Con_{cm,grid}$ are the contributions of GW extraction and climate to each grid,
204 respectively; T_{gw} and T_{ctl} are the soil moisture trends at each grid in the NEW and CTL experiments,
205 respectively.

206 **3. Results**

207 **3.1 Validation**

208 First, we compared the spatial distribution of simulated soil moisture with the ESA CCI product. Figure
209 1a, c, e, g shows the linear correlation coefficients between the ESA-CCI and the simulated top-10-cm
210 soil moisture time series from 1979-2010. The top-10-cm soil moisture is a weighted average of the first
211 four soil layer thicknesses (1.75, 2.76, 4.55, and 7.5 cm; the weights are 0.175, 0.276, 0.455, and 0.094,
212 respectively). The correlations between the simulated and ESA CCI data were significantly positive in
213 most areas ($r > 0.6$). Modeled results were more accurate in humid and temperature zones especially in
214 India and Southeast Asia ($r > 0.9$). Results revealed that the interannual variability of soil moisture cannot
215 be well captured in northern high-latitude areas (no correlation or negative correlations). This is partly
216 due to the limited ability of remote sensing technique in detecting soil moisture in frozen soils or under
217 snow cover.
218 Figure 1b, d, f, h shows the differences between NEW-simulations and ESA CCI data. Soil moisture
219 from all forcing datasets presented similar broad patterns. ESA-CCI had lower soil moisture compared
220 with the simulated results from Europe and the eastern USA. While Fig. 1f shows the results from CRU-
221 NCEP are drier than those from the other three at high latitudes in the northern hemisphere. The
222 simulation results in WFD were wetter overall, and the PRINCETON drier in South America and Central
223 Africa. However, overall, the results from PRINCETON and GSWP3 simulation were closer. Soil
224 moisture from NEW was 0.06% to 0.09% higher than that from CTL. The area represented by NEW is
225 irrigated; thus, the top 10 cm of soil is wetter in NEW than in CTL. However, the increase in soil moisture

was slight (about 0.001 to 0.2 $mm^3\ mm^{-3}$). The differences between NEW and CTL indicate that GW extraction caused a significant increase in top-10-cm soil moisture in the central USA, the North China Plain, and North India. The three areas with severe levels of GW extraction (Fig. 2).

Figure 3 presents Taylor diagrams comparing the four NEW experiments with the in-situ ISMN observations over the eight subregions (see Table 2 for site details). Figure 3 clearly shows that the model can generally capture the changes in soil moisture in these regions (with high correlation and close to 1). However, the performance of the model decreases as the soil depth increases. Results suggest that the standard deviation ratios at most stations in Africa, Australia, Europe, and North America were close to 1, while those for India, Mongolia, China, and Former Soviet Union countries deviated from 1. Moreover, the different forcing datasets did not perform similarly. GSWP performed relatively poorly in deep soil in Europe, while PRINCETON provided a good estimation for Mongolia. CRUNCEP performed poorly in China and Mongolia. In general, GSWP and WFDEI performed well, except for Europe and Mongolia. Three areas (the central USA, North China Plain, and northern India) with severe levels of GW exploitation were used as key areas for validation. The ground observations of soil moisture in the three regions were retrieved from the ISMN. The usable stations were as follows: seven sites on the North China Plain from 1981–1999, 15 sites in Colorado of central US from 2003–2010, and one site in Kanpur of northern India from 2011–2012. The regional soil moisture from observations and simulations were averaged from all stations and corresponding grid points. Before the comparison, hourly values from all stations were converted into a monthly time series. The soil layer depths in the CAS-LSM did not match those from the ground observations, and the depths of soil moisture observations varied among the three regions. Therefore, we used different methods to match the soil depth of observations to the corresponding soil layer of simulations for the different areas (Table 2).

We evaluated the performance of each forcing dataset over the three regions using Taylor's skill scores, as shown in Fig. 4 (left panel). As Fig. 4a shows, the individual forcing datasets show a varying ability to capture the soil moisture distribution. In the 0–10 cm soil layer, WFD performed well and had the highest skill scores (S = 0.86). Generally, all meteorological forcing datasets performed consistently well for the North China Plain in both the near-surface and deeper soil layers. Performance was also evaluated using a Taylor diagram as shown in Fig. 4d–f. GSWP captured the temporal variability of observed soil moisture with higher correlations than the other datasets. Correlations tended to cluster around 0.7, with the exception of CRUNCEP. Then, the correlations between observations and simulations decreased with

soil depth. The radial distance from the origin represents the standard deviation of simulations relative to the standard deviation of observations. CRU-NCEP exhibited much higher ($\sigma_{sim}/\sigma_{obs}$ >1) variation than that of the in-situ observations.

In the central US, WFD performed better with a higher skill score, and CRU-NCEP had the lowest score. Correlations between the simulated 5-cm soil moisture and observations (Fig. 4e) were all lower than 0.5. This may be because the offline runs do not consider the strong interaction between land and atmosphere. All simulations resulted in lower standard deviations than those for observations at 50 cm soil depth. This indicates that the true variability in soil moisture cannot be well reconstructed in this layer using the four forcing datasets tested herein. Errors were also associated with the varying degrees of mismatch between the soil layers of the observations and the model.

Owing to the limitations of the observational data in Kanpur, only three sets of data were compared in that area. Based on the skill scores, WFD and PRINCETON performed well at both 10 cm and 25 cm soil depths, and WFD performed better in deeper soil. The results of a correlation analysis indicated that the simulations from three meteorological forcing datasets (GSWP3, PRINCETON, and WFD) were able to capture the variation in soil moisture (Fig. 4f). Notably, the correlation was higher (>0.9 at North India) when considering the GW extraction, which was not obvious in the other two areas (Fig. 4f). This is because, according to FAO statistics, about 91% of GW extraction was to supply irrigation in India, whereas 64% and 38% of GW extraction was used by agriculture in China and the USA, respectively (Zeng et al., 2016b). Figure 4f shows that the relative standard deviations decreased as soil depth increased, which indicates relatively large errors of fluctuation in the deeper soil layers. Overall, WFDEI provided a better simulation with a higher correlation and a relative standard deviation close to 1.

3.2 Trends in soil moisture

Owing to the uncertainty in meteorological forcing, especially regarding precipitation, which had large differences between different forcing datasets (Table 3), the ensemble average approach was used here. Figure 5 presents the trends in surface soil moisture (0–10 cm), deep soil moisture (200–300 cm), precipitation, temperature, and GW extraction from 1979–2010 from the NEW experiment. Globally, results suggested a significant decreasing trend in surface and deep-soil moisture (−0.98 e−4 and −0.24 e−4 $mm^3\ mm^{-3}\ yr^{-1}$, respectively; $p < 0.05$) over the 32-year period, but the soil moisture trend from PRINCETON was not significant (Table 3). There was a consistent significant warming trend (about

285 0.016°C yr^{-1}; $p < 0.05$) and a non-significant decreasing precipitation trend ($p > 0.05$). Furthermore, the
286 drying of the surface soil moisture slowed when considering the HWR. The global surface soil moisture
287 decreased at a rate of −0.99 e−4 $mm^3\ mm^{-3}\ yr^{-1}$ without GW extraction. Conversely, the deep soil dried
288 (−0.21 e−4 $mm^3\ mm^{-3}\ yr^{-1}$ in CTL) owing to the rapid lowering of the water table following GW
289 extraction, and the hydraulic connection between the soil and aquifer weakened. More specifically, GW
290 extraction slowed the drying of surface soils in drying areas and increased the wetting trend in wetting
291 areas. The trend in 1.3% of GW extraction areas changed from drying to wetting, with an average GW
292 extraction rate of 171 mm yr^{-1}. The opposite effect was observed in the deeper soil layers.
293 Figure 6 shows the spatial distribution of soil moisture trends from 1979–2010 obtained from simulations
294 of surface- and deep-soil moisture and ESA CCI. As the depth of the soil increased, the proportion of
295 apparent dryness increased. For the surface soil, the drying trends were mainly found in North Africa,
296 Central Asia, Southwestern USA, Southeast Australia. The wetting trends were primarily in northern
297 South America, northwest Africa, and northeast Asia. This result is consistent with those of previous
298 studies on satellite-based data (Feng, 2015; Dorigo et al., 2012). The trend in the deep soil was consistent
299 with that in the surface layer in most areas, except for Central Asia. Regions with a drying trend always
300 coincided with statistically significant increasing temperature. Many of the strong drying trends occurred
301 over regions that already have relatively low soil moisture. Drying trends were the most prominent in the
302 Sahel in northern Africa. This could be explained by deficits in precipitation during the 1970s and 1980s
303 (Hulme, 1992; L' Hôte et al., 2002). The majority of north Asia exhibited wetting trends with non-
304 significant increasing temperature. Wetting trends were found in the central US, India, and North China
305 Plain, but there were no significant changes.
306 We further evaluated the ratios of drying/wetting trends for surface and deep soil in different climate
307 regions using the Köppen-Geiger climate classification (Kottek et al., 2006). A brief description of the
308 climate classification is as follows: the first letter refers to the climate types: tropical (A), arid (B),
309 temperate (C), and cold (D). The second letter indicates the precipitation conditions: rainforest (f),
310 monsoon (m), and savannah (s) in tropical and desert (W) and steppe (S) in arid, dry summer (s), dry
311 winter (w), and without dry season (f) in temperate and cold climates. The third letter refers to hot (h)
312 and cold (k) in arid and hot summer (a), warm summer (b), cold summer (c), and very cold summer (d)
313 in temperate and cold climates. At the same time, we used the climate regions defined by Feng et al.
314 (2015), the first climate letter labelled Arid was the arid regions, the second letter "f" was the humid

315 regions and the other regions were the transitional regions. As Figure 7a shows, some arid regions became
316 significantly drier (16.9%) or wetter (9.8%); as did some humid regions (9.8% drier, 9.5% wetter) and
317 transitional regions (12.8% drier, 5.4% wetter). The area of increasing wetness in the Af subregion, which
318 is characterized by tropical rainforests, comprised 22% of its total area. The Dfd subregion is
319 characterized by areas without a dry season and 42.6% of this region rapidly became wetter (about 1.2
320 e−3 mm^3 mm^{-3} yr^{-1}). Conversely, 21.5% of the BWh subregion, which is characterized by hot deserts,
321 was drying. In the Ds and Dw subregions, which have a hot summer or winter in a year, 30–40% was
322 drying out with a moisture decreasing rate more than −1.2 e−3 mm^3 mm^{-3} yr^{-1}. These results indicate
323 that the drying trends were mainly in arid regions, while the wetting trends were primarily in humid
324 regions. Figure 7b shows that there are proportionally more significant changes in the deeper soil layers.
325 However, the changes are not as great as those in the surface soil. In arid regions (BW and BS subregions),
326 the proportion of apparent drying exceeded 40%. In humid regions (Cfc, Dfc, and Dfd subregions), 30–
327 71% of these areas were significantly wetting. The climatic zone differences in deep soil changes were
328 basically consistent with those in the topsoil, except in Dwc and Dwd regions.

329 **3.3 Contribution of climate change and GW extraction to soil moisture trends**

330 The trend in soil moisture was basically consistent with climate change, but the role of GW extraction
331 was not negligible. Then we quantified the relative contribution of climate and GW intake to the soil
332 moisture trends using the trajectory approach [Eqs. (*2*)–(*3*)]. Results showed that −1.2% of the significant
333 drying trends in the surface soil originated from GW extraction. Thus, the contribution of climate was
334 101.2%. Regarding the wetting trends, the contribution was 9.3% for GW extraction, with climate
335 contributing 90.7%. In deep soil, GW extraction contributed 1.37% and −3.21% to the drying and wetting
336 trends, respectively. This indicates that GW extraction only weakly contributes to global wetting and
337 drying trends. This is mainly due to the limited regions of GW extraction. The contribution of GW
338 extraction to surface soil moisture trends is presented in Fig. 8a. In the drying regions, GW extraction
339 and climate change accounted for −19.91% and 119.91%, respectively. Notably, the negative
340 contribution is because that the surface soil moisture is decreasing, while GW extraction slows down the
341 reduction trend (but still decreasing), $T_{gw} - T_{ctl}$ in Eqs. (*5*) is positive, but T_{gw} is negative. In the
342 wetting regions, the contributions were 11.55% and 88.45%, respectively. GW exploitation is mainly
343 used for irrigation to increase moisture in the surface soil, which slows the drying of the surface soil,

promoting wetting. Figure 8b shows the contribution of GW extraction in the deeper soil layers. GW extraction positively contributed to the drying trends (109.7%) and negatively contributed to the wetting trends (−5.48%). This indirectly reflects that GW exploitation weakens the hydraulic connection between soil and aquifers. In summary, GW is exploited to provide irrigation, which alleviates water stress in the surface soil, and the deep soil dries due to the loss of hydraulic connection.

As shown in Fig. 8, the contribution of GW extraction mainly occurs in northern Africa, the North China Plain, and central US. Thus, the three regions were selected for further evaluation. Figure 9 further shows the relative contributions to soil moisture trends in three subregions. Contributions of GW extraction to surface soil moisture wetting and drying trends were evident on the North China Plain (drying, up to −62.39%; wetting, 77.74%), northern India (drying, up to −13.56%; wetting, 72.1%), and central US (drying, −57.42%; wetting, 38.51%). For deep soil, the contribution of GW extraction was: North China Plain (drying, 15.12%; wetting, −18.16%), northern India (drying, 56.54%; wetting, 2.07%), and central USA (drying, 23.8%; wetting, −20%). GW extraction can increase the water content of the surface soil, and thus leads to increased moisture in both humid and arid regions. The results revealed that GW extraction contributes more to the soil moisture trends in typical exploitation areas than in the regions without GW extraction. Climate change dominated the soil moisture trends, while the contribution of GW extraction at the regional scale was much greater than that at the global scale, especially in the areas with GW overexploitation.

4. Conclusions and discussion

In the present study, we quantified the relative contribution of climate and GW extraction to soil moisture trends using a LSM (CAS-LSM) that considers HWR based on four global meteorological forcing datasets. Comparing the simulations, the in-situ observational datasets, and the satellite-based ESA-CCI surface products demonstrated that the CAS-LSM is able to reliably represent soil moisture trends.

The main conclusions of this study are as follows. First, all four forcing data resulted in similar patterns of surface soil moisture, and have higher soil moisture than ESA-CCI. Results at the regional scale (Fig. 4) indicated that the uncertainty of the forcing data affected the simulated soil moisture. Therefore, the ensemble average results were used to reduce the uncertainty caused by the forcing data. Second, our results show a significant decreasing trend in surface and deep soil moisture over the 32-year period

investigated. For the surface soil, GW extraction slowed the drying trend in drying areas and increased the wetting trend in wetting areas. This is because GW extraction is mainly used for irrigation as effective water input into the topsoil. While has opposite effect on deep soil when the hydrological connection between the aquifer and deep soil was weakened due to the extraction severely. Third, climate contributed 101.2% and 90.7% to global drying and wetting trends of surface soil moisture, while GW extraction had a relative weak effect on soil moisture (−1.2% and 9.3% for global drying and wetting, respectively). For deep soil, GW extraction contributed 1.37% and −3.21% to the drying and wetting trends. This is because there are limited areas that exploit GW. Regionally, GW extraction contributed more in regions with high water demand for irrigation, production, and human consumption. In typical water-use areas, including the North China Plain, Central US, and North India, GW extraction contributed more to the soil moisture trends than in the regions almost without GW extraction. In summary, climate change dominates the soil moisture trends, while GW extraction accelerates or decelerates soil moisture trends under climate change.

Our study demonstrated the effect of GW extraction on soil moisture. Future research should focus on developing strategies to adapt to climate change. At the same time, the effect of GW exploitation on regional soil moisture cannot be ignored. Over-exploitation weakens the hydraulic connection between soil and aquifer, which may affect root growth and development. Furthermore, GW extraction also impact atmosphere. Zeng et al. (2016b) found that the cooling caused by GW extraction in northern India weakened the Indian monsoon and its water vapor transport and the precipitation decreased. Therefore, the development and utilization of water resources must consider the local ecological and atmospheric environment.

The mismatch of soil layers between the simulations and observations may affect the evaluation results. Also, our results indicate that it is necessary to consider human activities in LSMs, and improved descriptions of hydrological processes in LSMs are required. For example, GW extraction is assumed to be occur in the area it is consumed in. Moreover, meteorological forcing data can introduce uncertainty for simulation results. The precipitation data used in our study showed significant differences. The WFD precipitation evidently decreased (1.96 mm yr^{-1}), and the GSWP precipitation slightly decreased (0.16 mm yr^{-1}), while for CRU-NCEP and PRINCETON, precipitation slightly increased. Temperature varied similarly for all four forcing datasets (slightly increasing). The ensemble averaging method used in this study is not the optimum choice. However, considering that the purpose of this study was to explore the

contribution of GW extraction to soil moisture trends, this simple averaging approach was reasonable. It is necessary to use a more appropriate averaging method to minimize the uncertainty caused by the forcing data in future work.

Future studies should focus on two aspects. First, GW extraction should be improved to reflect realistic levels of water consumption. The GW extraction scheme used in this study is a simple bottom-up representation, the irrigation demand is the water required to bring the soil moisture to saturation at each time step, which describes an extreme water requirement and significantly overestimates the actual irrigation water demand. Next work will focus on a more realistic definition of irrigation water demand, such as the demand based on the difference between the potential evapotranspiration and available water. Thus, simulations using the improved model would more accurately reflect hydrological effects and enhance water resource management. Second, since only the effect of HWR was discussed in this study, other human activities could also be considered. For instance, the association between soil moisture and land-cover change can be evaluated. Changes in land-surface cover affect the hydrothermal properties of the surface soil, which further affects soil moisture.

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619 Tables

620 **Table 1.** General information of the meteorological forcing datasets

Data	Spatial	Interval	Time period	Source
GSWP	0.5°	3-hourly	1901–2012	[Kim et al., 2016]
WFD/WFDEI	0.5°	3-hourly	1901–2000/1979–2014	[Haddeland et al., 2011; Weedon at al., 2014]
CRU-NCEP	0.5°	6-hourly	1901–2010	[Viovy and Ciais, 2009]
PRINCETON	0.5°	3-hourly	1901–2012	[Sheffield et al., 2006]

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622

623 **Table 2.** Details for the stations used in this study.

Continent	Network name	Country	Number of sites used	Depths (m)	Corresponding simulated soil layer	References
Africa	AMMA-CATCH	Benin, Niger	4	0.05;0.2,0.4	3,5,6	Cappelaere et al. (2009); de Rosnay et al. (2009); Mougin et al. (2009); Pellarin et al. (2009)
Australia	OZNET	Australia	8	0–0.3;0.3–0.6; 0.6–0.9	1–5;6–7;7	Smith et al. (2012)
Europe	SMOSMANIA, ORACLE, SWEX_POLAND	France, Poland	20	0.05;0.1; 0.2;0.3	3;4;5;6	Albergel et al. (2008); Calvet et al. (2008); https://bdoh.irstea.fr/ORACLE/ Marczewski et al. (2010)
North America	SNOTEL, SCAN	US	82	0.05;0.2;0.5	3;5;6–7	http://www.wcc.nrcs.usda.gov/snow/ http://www.wcc.nrcs.usda.gov/scan/
Asia	IIT_KANPUR	India	1	0.1;0.25; 0.5;0.8	4;5;6–7;7	http://www.iitk.ac.in/
Asia	CHINA	China	40	0–0.1;0.1–0.2; 0.2–0.3;0.3–0.5	1–3;4;5;7	Robock et al. (2000)

Asia	MONGOLIA	Mongolia	28	0–0.1,0.1–0.2, 0.2–0.3	1–3;4;5	Robock et al. (2000)
Asia	RUSWET-GRASS	Former Soviet Union	30	0–0.1,0–1	1–3;1–8	Robock et al.(2000)

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626 **Table 3.** Trends in NEW simulated surface soil moisture and precipitation and
627 temperature of forcing data. * = $p < 0.05$.

NEW	SM ($m^3m^{-3}yr^{-1}$)	Pre ($mmyr^{-1}$)	Tem ($°C\ yr^{-1}$)
GSWP	*−0.89e−4	−0.16	*0.017
CRU-NCEP	*−0.97e−4	−0.27	*0.017
PRINCETON	−0.65e−4	−0.008	*0.017
WFD	*−0.15e−3	*−1.96	*0.019

628
629

Figures

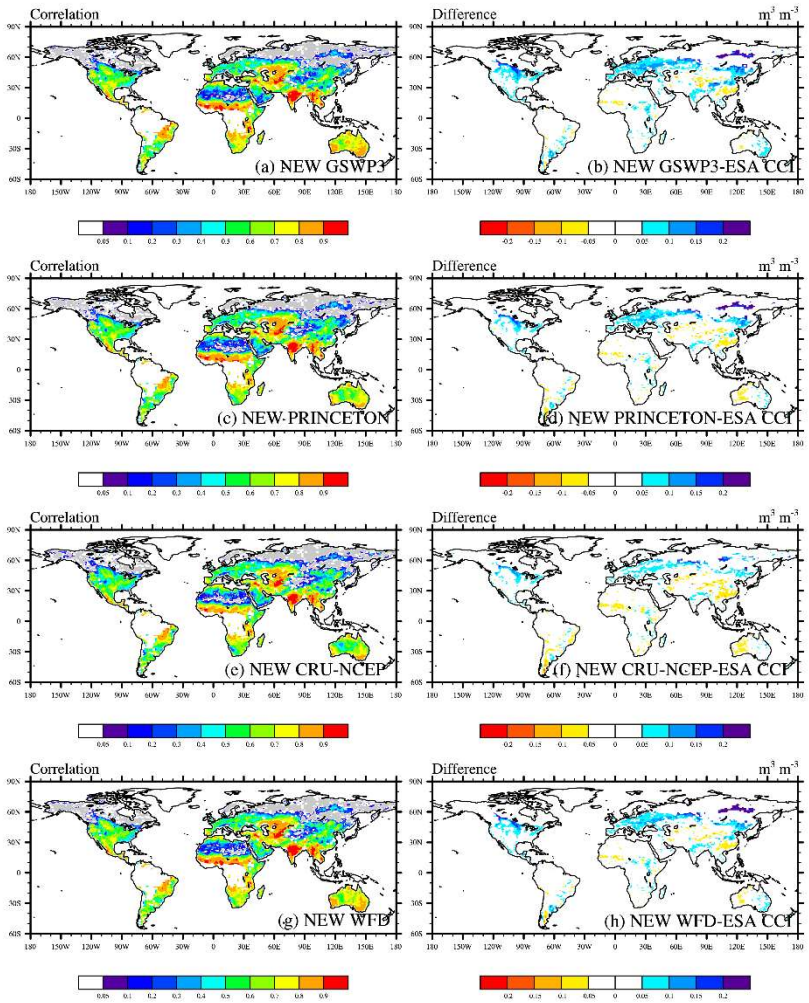
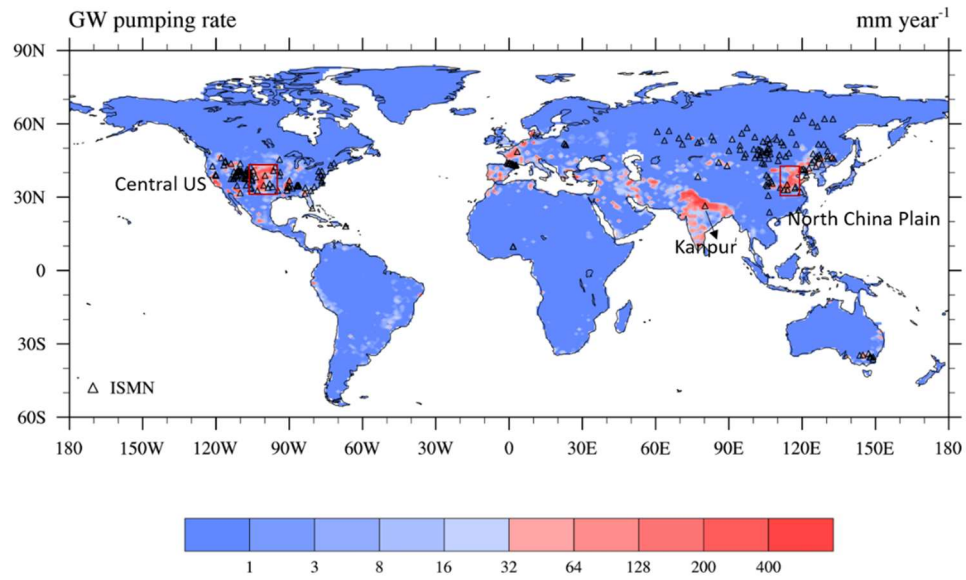


Figure 1. Correlation coefficients (a, c, e, g) and differences of spatial patterns (b, d, f, h) of the ESA CCI soil moisture and the corresponding simulated top 10 cm soil moisture from 1979–2010. Gray pixels indicate no correlation and negative correlation.



637

638 **Figure 2.** Distribution of soil moisture stations and three subregions. Seven stations on the North China Plain, 15
639 in central US, and one in Kanpur of North India). The background is the groundwater (GW) extraction rate.

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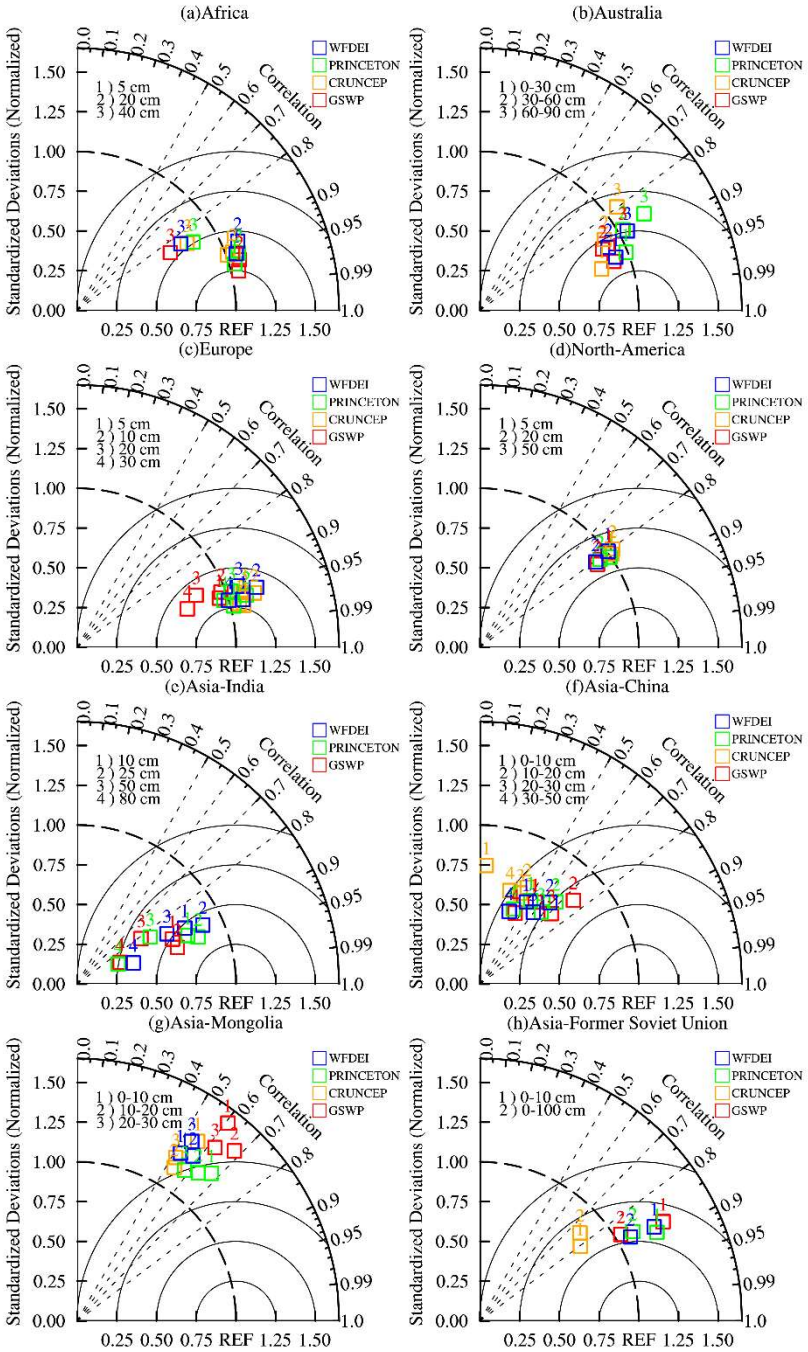
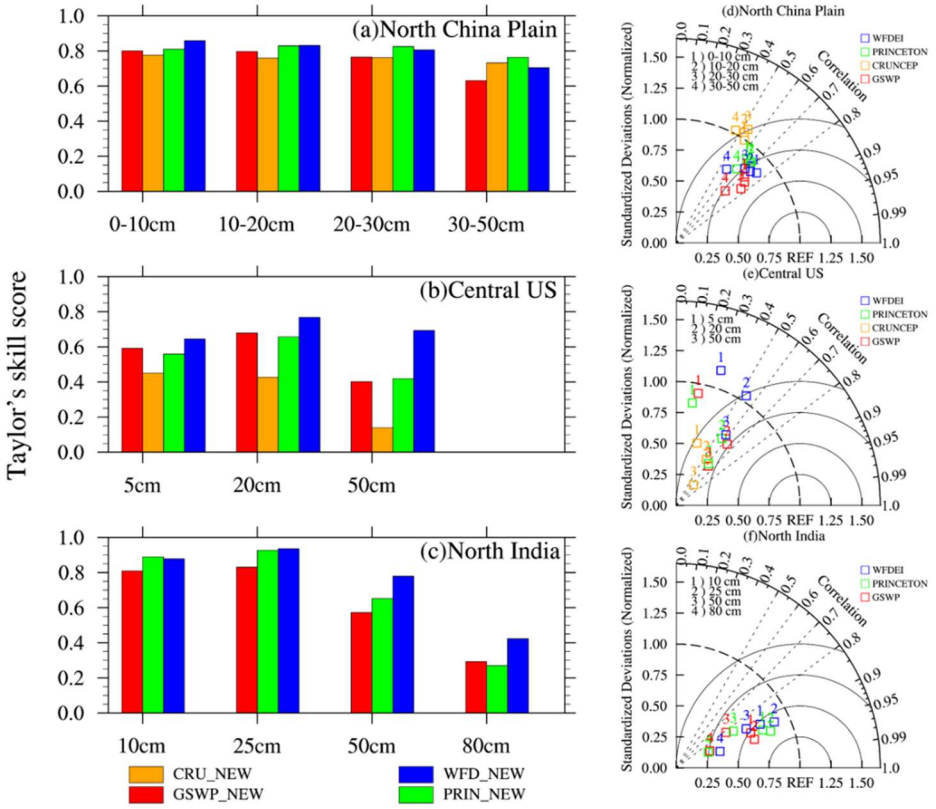


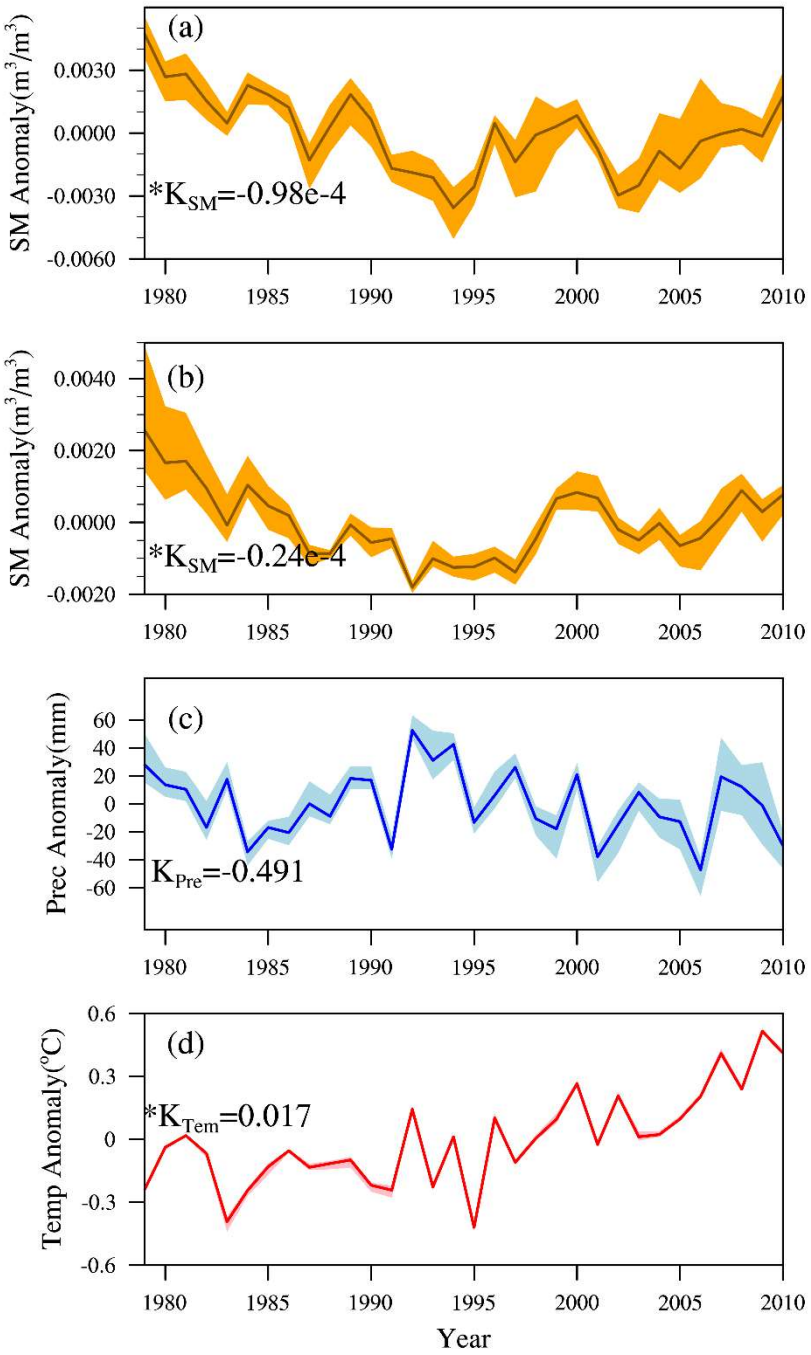
641

642 **Figure 3.** Taylor diagrams illustrating the comparisons among GSWP, CRUNCEP, PRINCETON, WFDEI, and in-
643 situ observation data.



644

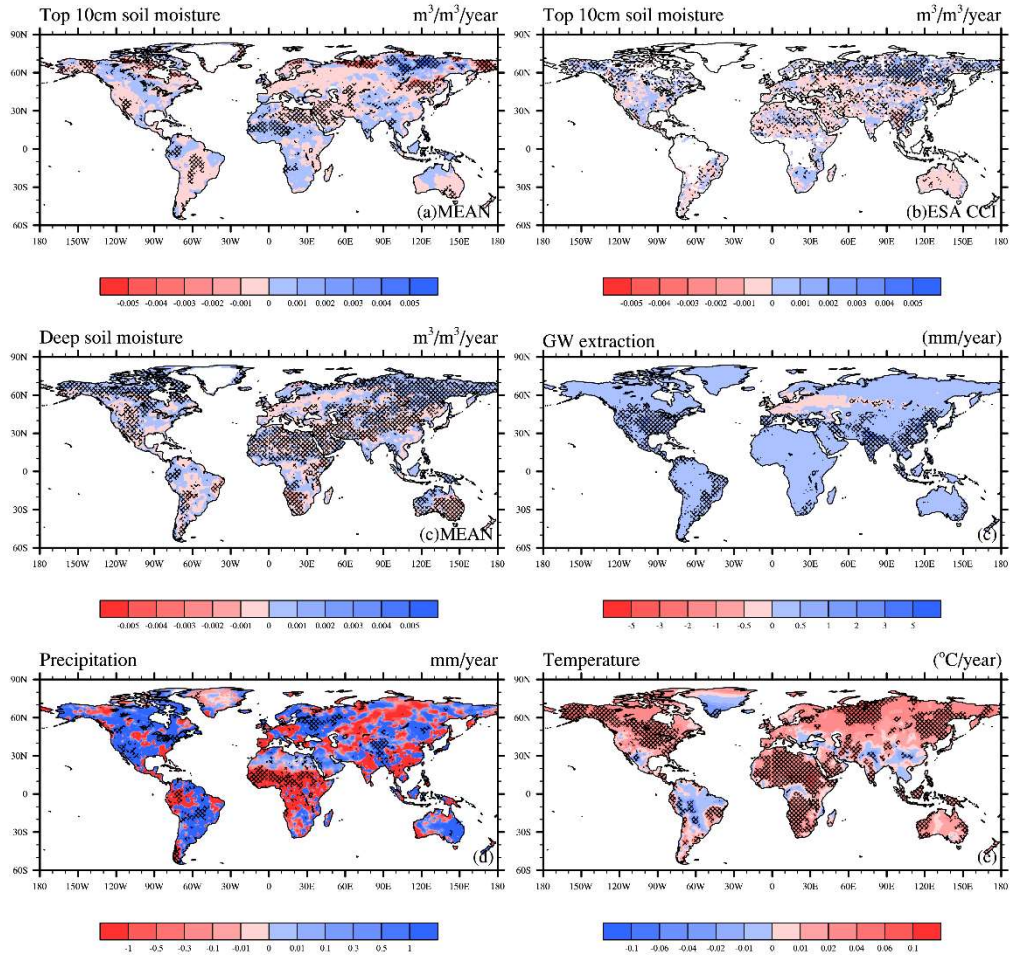
645 **Figure 4.** Taylor's skill scores and Taylor diagrams illustrating the comparisons among GSWP, CRUNCEP,
646 PRINCETON, WFDEI, and in-situ observations. (a, d) North China Plain; (b, e) Colorado of Central US; (c, f) North
647 India. The azimuthal angle represents the correlation coefficient, and radial distance is the standard deviation
648 normalized to observations.



649

650 **Figure 5.** Annual mean of (a) surface soil moisture, (b) deep soil moisture, (c) precipitation, and (d) temperature
651 averaged globally from 1979–2010. * = $p < 0.05$.

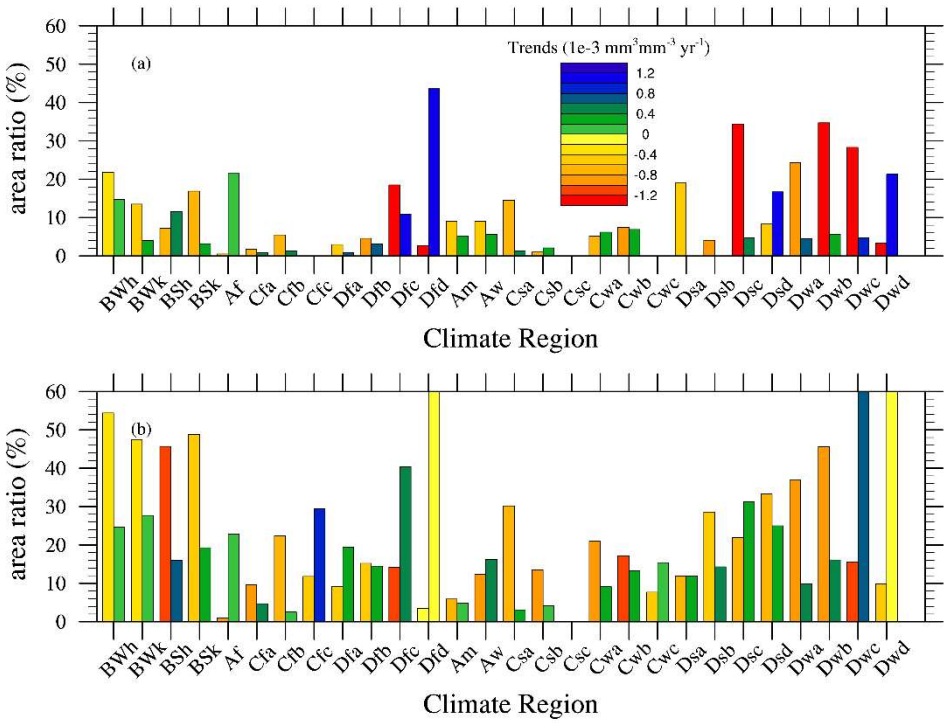
652



653

654 **Figure 6.** The spatial distribution of linear trends for (a) and (b) surface soil moisture (m^{-3} yr^{-1}), (c) deep soil
655 moisture (m^{-3} yr^{-1}) , (d) and (e) precipitation (mm yr^{-1}), temperature (°C yr^{-1}), groundwater extraction (mm yr^{-1}).
656 The shaded areas represent grids with statistically significant trends ($p < 0.05$).

657



658

659 **Figure 7.** Statistics of the soil moisture trends. (a, b) The ratio of surface and deep soil moisture to wet and dry for
660 28 Köppen-Geiger climate types. For each type, the left bar is the drying ratio and the right bar is the wetting ratio.

661

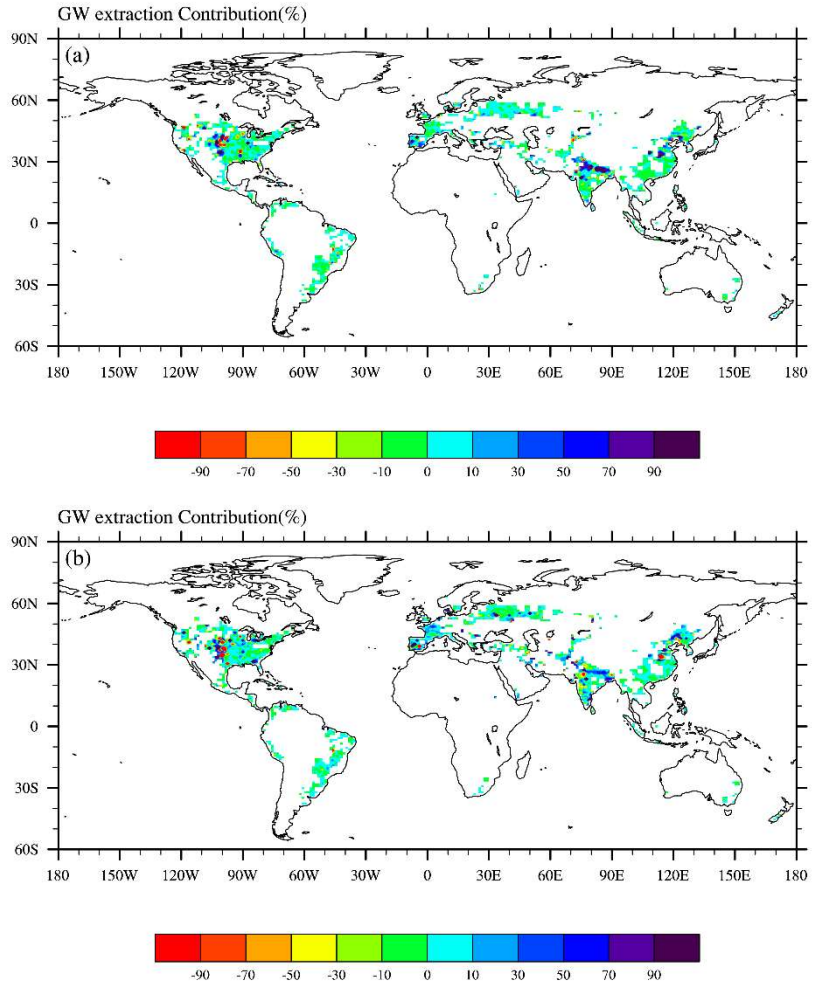
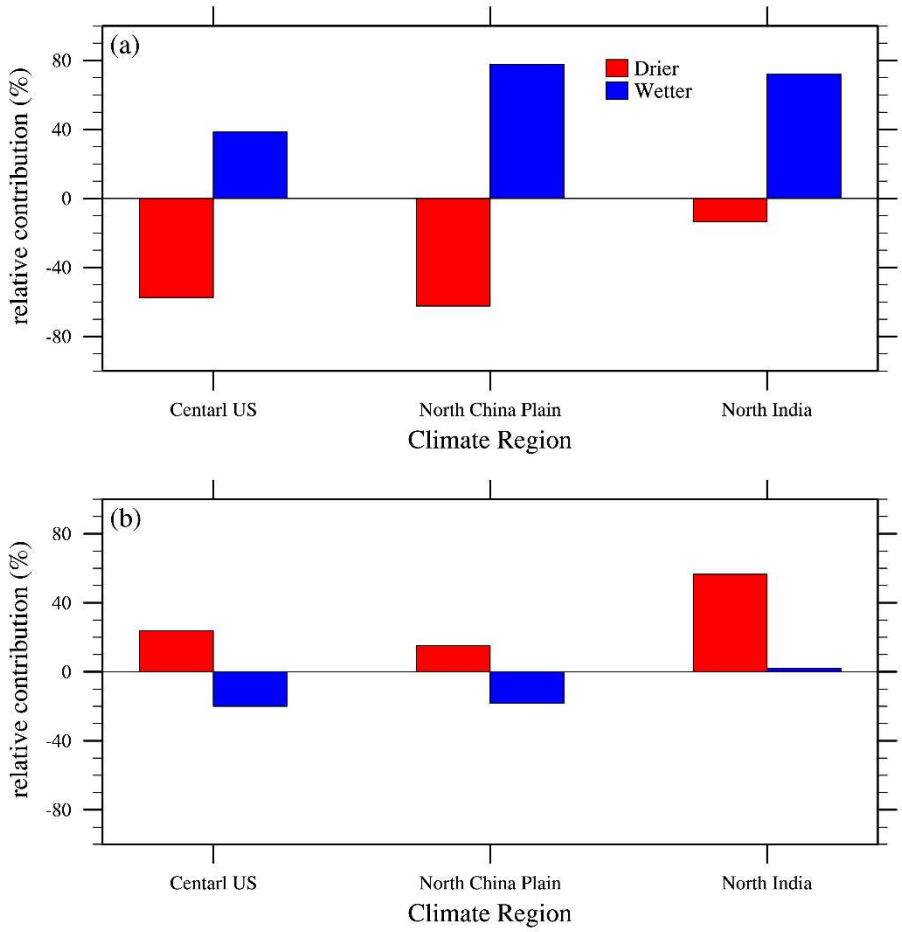


Figure 8. The relative contribution of groundwater extraction to (a) surface and (b) deep soil moisture trends (%).



667

668 **Figure 9.** The relative contribution of GW extraction to regional (a) surface, (b) deep soil moisture trends (%). North
669 China Plain (34N–40N, 110E–120E), northern India (23N–33N, 68E–78E), central US (33N–42N, 97W–105W).