

# Making the case for Water Funds: *Evidence and gap assessment*

**The Nature Conservancy**

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**Note to readers**

This document represents a ‘working paper’ that will be updated and revised as we collect additional evidence and literature relevant to the key research questions. Additionally, we welcome feedback and contributions from readers. Please [email](mailto:stan.kang@tnc.org) Stan Kang (stan.kang@tnc.org) and Nathan Karres (nkarres@tnc.org) with your comments.

## Summary

Water fund programs from around the world are keen to build their projects with the best available science, and excited by the prospect of obtaining answers to key science questions related to source water protection. Program managers are generally in agreement about the highest priority science questions—or categories of questions—yet to be adequately assessed, with the greatest interest around the impacts of source water protection on downstream water flows (e.g. dry season flows and floods). Our initial review of the literature—focused on a small number of priority questions, revealed commonalities around a lack of empirical studies at meaningful temporal and spatial scales, and a lack of representativeness across ecosystem types and geographies. In addition, our review suggests that many documented impacts are generalizable only across a limited range of contexts.

The key guidance from our limited investigation is that **many of the proposed benefits resulting from source water protection activities—including those within the context of water fund type projects—cannot be assumed**. Caution is required in communications regarding proposed benefits in order to avoid misrepresenting the likelihood of potential benefits from water fund projects. This review further **suggests the importance of data-driven conservation planning and the need for robust project monitoring and project documentation** in order to augment existing scientific evidence gaps. Adhering to this guidance will help ensure the continued credibility of Water Fund projects and increase efficiency and efficacy of future efforts.

## Introduction

Interest in water funds as a source water protection mechanism is growing rapidly. The Nature Conservancy and partners have established 30 operating water funds around the world and some 30 more are in development. The core objective of water funds is the improvement or maintenance of water quality and/or water quantity conditions using land management activities to support water security for people and biodiversity. Some additional objectives relate to climate change mitigation and adaptation, and human health and well-being.

To date, empirical evidence for project-level impacts resulting from on-the ground interventions in many of these benefit areas lacks adequate robustness required to substantiate predicted outcomes or solicit adequate stakeholder support. This is due to a combination of project-specific factors, including: constraints on available resources and expertise; temporal lag for certain impacts at certain scales; insufficient implementation of activities at necessary spatial extents; and scientific knowledge gaps related to source water protection activities and expected results. Without stronger evidence, it will be challenging to secure sustainable financing for existing water funds and expand the adoption of nature-based solutions globally across additional source watersheds.

Key first steps in building the evidence base are to ascertain the current state of empirical evidence, and to identify essential information gaps. The project described here represents an initial effort to rapidly document existing evidence and identify major gaps in evidence, and then lay out a path forward for further, more detailed investigations of the literature and for priority monitoring needs.

## Methodology

Our approach consisted of two main steps: (1) Identify and prioritize key science questions, and; (2) conduct rapid literature reviews related to the highest priority questions and summarize the findings.

To identify and prioritize key science questions, a core team drafted an initial set of questions organized into benefit categories (water quality, water quantity, biodiversity, human health and well-being, climate change mitigation and adaptation) and several thematic categories (e.g. modeling). The team then invited approximately thirty experts within and outside TNC to provide feedback to the list, add their own questions, and identify their highest priority questions. These experts included project-level professionals affiliated with specific water funds as well as scientists who have provided guidance to water funds over time.

Based on the feedback we received, we compiled a final list of questions and identified the highest priority questions in each category. We restricted our full list to biophysical and social science questions related to source water protection activities, and excluded questions related to water funds as a source water protection mechanism (e.g. around the benefits that upstream communities accrue via participation incentives, or around factors affecting landowner participation). We then selected four representative questions for a 'deep dive' exploration.

Because a comprehensive systematic literature review of any one question could take as long as several years given our capacity ([Collaboration for Environmental Evidence 2013](#)), we undertook a rapid assessment approach to provide an initial starting point for identifying significant and common information gaps. For each question, we developed a set of search terms to query the Web of Science database, which compiles articles from over 33,000 journals. We restricted our search to articles published since 1990 and, for searches that generated large numbers of results, we looked first at systematic reviews and meta-analysis reports. Because Web of Science does not typically capture 'gray' literature, where relevant we also searched AGRICOLA (the U.S. Department of Agriculture's National Agricultural Library database) and, to a lesser extent, the worldwide web. We also screened bibliographies of articles for relevant studies that were not included in initial search results but met the inclusion criteria.

Using a standardized template, we briefly summarized our findings from each question's literature review. We focused on characterizing evidence identifying key information gaps, considering subject matter gaps as well as gaps related to ecosystem type and geographic representation. We also synthesized key findings from each review, and suggested areas for future investigation. Given that many findings from individual studies are highly context-specific, we did not attempt to summarize all study results, but instead focused on big-picture conclusions where those could be drawn. Where we did highlight the results of individual studies, it was typically either to underscore the diversity of findings or to exhibit examples of supporting evidence. Additionally, we did not attempt to review or summarize the methodologies and tools applied in data collection and analysis across studies.

We solicited reviews of each summary from a small number of TNC and external experts, and incorporated that feedback.

# Results

## Key representative questions

Below is the list of four representative questions that were selected for literature review. The full set of questions from which these were drawn can be found in the *Appendix*.

- 1) To what extent can different source water protection activities contribute to aquatic ecosystem and biodiversity benefits?
- 2) To what extent can common source water protection activities affect baseflows, groundwater quantity, and flooding through changes in infiltration and runoff?
- 3) To what extent can specific agricultural best management practices result in crop productivity gains or cost reductions?
- 4) What are the relative expected magnitudes of change to water quality and quantity from climate change as compared to land use/land cover change?

## Reviews in brief

Highlights of the four rapid reviews are found below. Detailed review commentary and literature citations are in the *Appendix*. Each review has a slightly different structure due to the distinct nature of each question. The cited literature focuses on key papers, reviews, and illustrative studies; the references reviewed and listed are generally extensive but should not be considered comprehensive. Access to the literature libraries assembled as part of each review is available upon request.

## Aquatic biodiversity

**To what extent can different source water protection activities contribute to aquatic ecosystem and biodiversity benefits?**

### *Summary*

The ability to generalize the types and degrees of beneficial freshwater biodiversity responses from source watershed actions that address surface sediment and nutrient loading is not supported by the literature. Studies indicate conflicting outcomes within and across taxa, and there is limited observation of biotic responses to actions addressing only a single type or source of ecosystem stress.

### *Key findings*

There is a wealth of evidence linking excess sediments and nutrients (phosphorus and nitrogen) to negative impacts on ecological conditions and native biodiversity composition in freshwater systems (Allan, 2004; Carpenter et al., 1998; Castro & Reckendorf, 1995; Correll, 1998; Smith, 2003). There is little doubt that the reduction of unnaturally high levels of sediments and/or nutrients in freshwater systems can confer benefits to aquatic ecosystems and native aquatic species. However, rarely will these nonpoint source pollutants be the only stresses on aquatic systems and, in many cases, they may not be the primary stressors (as many aquatic species are concurrently impacted by water abstraction, instream barriers, invasive species, overexploitation, and direct habitat alteration, as well as point

source pollution). Nonpoint pollution reduction via source water protection may result in little or no easily measurable impact on aquatic biodiversity, given the predominance of other threats and land use legacies (e.g. Harding, Benfield, Bolstad, Helfman, & Jones, 1998; Maloney et al., 2008; Teels, Rewa, & Myers, 2006). Some source water protection activities aimed at reducing nonpoint source pollution may even have unintended consequences for freshwater systems and species, such as increasing no-till agriculture to reduce soil erosion and sediment loading into freshwater ecosystems but with the increased use of pesticides (Elias, Wang, & Jacinthe, 2018).

Our review finds a dearth of studies measuring the direct impact of source water protection activities on aquatic ecosystems and biodiversity. Further, there is often a lack of consensus among existing studies as to the direction of impact. This result aligns with a recent synthesis of the effectiveness of a variety of conservation interventions on a number of biodiversity elements, which finds an alarmingly small number of available empirical studies, and frequent contradictions among their conclusions (Sutherland, Dicks, Ockendon, & Smith, 2017). For instance, looking at amphibian conservation, that assessment concluded that there was conflicting evidence across conservation interventions including agricultural management and pollution control, unknown effectiveness on amphibian populations resulting from the management of grazing regimes, and no evidence at all related to reduced tillage farming (Smith, Meredith, & Sutherland, 2017).

Conflicting findings, especially when the overall number of studies is small, may be a function of different taxonomic groups, ecological contexts, scales, intervention practices, measurements, seasons, or any number of other parameters. Importantly, lack of published studies should not be interpreted as a lack of on-the-ground impact, as projects often suffer from poor written documentation (Palmer, Allan, Meyer, & Bernhardt, 2007). For the most part, we are left to infer potential impacts of any given tactic based on known relationships (e.g. there is evidence that rural road management can reduce sediment inputs, and reduced sediment inputs should benefit native freshwater species). Riparian zone protection or restoration is an exception, with a greater number of studies linking vegetated (primarily forested) riparian buffer zones with maintained or improved ecological conditions of adjacent and downstream aquatic systems. However, even the specifics of how riparian zones can best be managed to provide species and system benefits are not entirely resolved (e.g. Richardson, 2008).

An important but unsurprising conclusion that we can draw from this review is that, while source water protection activities *can contribute* to aquatic biodiversity conservation, in many cases, such activities may be necessary but not sufficient to achieve conservation objectives on their own.

Source water protection programs may need to invest in comprehensive assessment of impacts to aquatic species and ecosystems of interest to understand how specific source water protection activities alone can contribute, what the expected response based on those actions alone would be, what additional interventions might be required to achieve conservation goals, and whether those interventions fall within the remit of the program.

### *Key gaps*

- Studies that assess impacts from actions that address surface runoff as a sole type and source of impact, since most freshwater ecosystems and species have multiple and significant types and

sources of impacts, precluding the ability to observe benefits that may be necessary but insufficient to result in measurable responses

- Studies of beneficial impacts to aquatic biodiversity from agricultural BMPs, agroforestry, and silvopasture outside of North America. Well-designed monitoring programs associated with existing and new source water protection programs in different geographies and environmental contexts could contribute to filling gaps in geographic representation and results from actions in different contexts and with different associated mixes of counterfactuals.

*Summary table*

	Land protection	Re-vegetation	Riparian restoration	Ag BMPs	Ranching BMPs	Fire risk management	Wetland restoration and creation	Road management
Level of available scientific information	Low	Low	High	Med.	Med.	Low	Med.	Low
Degree of consensus in findings	Med.	Med.	High	High	Med.	Med.	Med.	Med.

**Land management interventions and flow changes**

**To what extent can source water protection activities affect baseflow, groundwater quantity, and flooding through changes in infiltration and runoff?**

*Summary*

Based on current evidence and in the absence of additional site-specific information, it is not possible to infer the direction or magnitude of changes to hydrologic flux resulting from source water protection activities. Benefits to baseflow or groundwater recharge are site-specific and cannot be generalized. Changes in baseflow, groundwater recharge, and flood mitigation have been measured in some instances, but neither the outcomes nor the significance to people are readily generalizable. In short, beneficial changes to flow-related outcomes resulting from land management changes cannot simply be presumed without additional evidence.

*Key findings*

On balance, the existing literature suggests that source water protection activities should not be assumed to generate definitive benefits in terms of increased total water yield, baseflow, groundwater recharge, and/or mitigated flood flows—though in some contexts such impacts have been measured and are statistically significant.

Our review finds a wealth of evidence measuring and discussing the impacts on hydrology from (temperate) forest-related activities, including forest protection, natural forest regrowth (passive

revegetation), deforestation, reforestation, and afforestation. Nonetheless, evidence is skewed towards streamflow or water yield (as opposed to dry-season flows or groundwater recharge) and tree plantations (instead of native forest restoration).<sup>1</sup> In general, the surveyed literature provides evidence that these activities can alter the balance between soil conditions (infiltration) and forest water use (evapotranspiration), hence affecting water quantity fluxes. The magnitude and direction of hydrologic flux changes, however, is highly context-specific. A recent meta-analysis suggested reforestation generally results in a reduction in annual water yield due to evapotranspiration/infiltration ratios, a lack of consistent results for groundwater recharge, and extended dry-season baseflow. Our review of forest-related activities and water quantity impacts points to the following gaps: (1) a lack of empirical understanding of the interactions of climate and land-use change, and subsequent hydrologic impacts<sup>2</sup>; (2) a relative lack of evidence on long-term and large-scale relationships, particularly how hydrologic responses may change with forest composition and maturity; (3) unequal representation across forest types<sup>3</sup>; (4) a relative paucity of information in the tropics and (semi-) arid tropics; (5) relatively poor documentation of the relationship between natural reforestation or afforestation (not monoculture tree plantations) and soil infiltration; and (6) the continued need for more site-specific information on hydrologic function at varying spatial scales.

For non-forest related source water protection activities, evidence of water quantity impacts is relatively sparse. A small number of high quality studies documented the hydrologic roles of non-forest ecosystems including grassland, wetland, and riparian zones, implying the importance of protecting native habitats. On the other hand, water quantity impacts from restoring these ecosystems have been extensively discussed and potential benefits modeled, but published empirical studies are lacking. For other source water protection activities (e.g. agricultural BMPs, road management, or fire risk management), we found that some studies documented evidence that implementing certain practices such as conservation agriculture or forest road removal *could* improve infiltration and reduce runoff on-site. However, the impacts of these changes on baseflow or groundwater recharge remain mostly theoretical (empirical linkages need to be established).

Further, when statistically significant changes in baseflow, groundwater recharge, and flood mitigation have been documented in the literature, the magnitude of such impacts may not translate into changes that are large enough to be meaningful to society. It is also critical to note the *bases of inference* when assessing water quantity changes (i.e. significant change compared to what?) when assessing the evidence base. Another critical factor to note when assessing hydrologic impacts is the *trajectory of change*—impacts from certain source water protection activities (revegetation in particular) would be expected to vary depending on differences in baseline conditions and the composition and age of the revegetated landscape—particularly with forests.

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<sup>1</sup> This lack of evidence is in part due to the increased complexity of measuring and attributing changes to sub-surface flows.

<sup>2</sup> In contrast, scientific understanding of the impacts of climate change and land use change separately is comparatively well studied.

<sup>3</sup> For instance, studies focused more on plantations compared to intact or secondary forests or reforested lands. Of studies on reforestation, evidence is skewed towards forestry and exotic species instead of native species (Filoso et al. 2017).

Given the breadth of this question, and the variability across published studies in terms of hydrologic measures, a more systematic review could examine whether there is greater consensus and generalizability across more specific interventions or biomes.

### *Key gaps*

- For targeted land protection and revegetation activities, literature is skewed towards forests (where studies are biased towards forestry/plantations instead of reforestation using native species), and empirical evidence on the impacts from wetland, grassland, and riparian restoration is sparse.
- For other source water protection activities—agricultural BMPs (e.g., conservation agriculture, including tillage, cover crops/residue retention, and crop rotation, agroforestry, and buffer strips), ranching BMPs (e.g., grazing management, livestock management), forest fuel reduction, and road management—scientific evidence of watershed scale water quantity impacts is sparse.
- A large body of literature across activities (agricultural BMPs in particular) documents *changes in infiltration and/or runoff* at local scales. However, whether and how such changes in runoff or infiltration could accumulate and translate to observable or meaningful flow changes (groundwater recharge, baseflow, or flood reduction) is less clear. Lack of empirical evidence on the direct linkage between infiltration/runoff changes and watershed scale water quantity impacts remains an important gap.
- To demonstrate potential hydrologic benefits, there is a need to evaluate water quantity impacts for people and aquatic ecosystems and biodiversity through the lens of specific stakeholder groups. There is a paucity of information on the extent to which source water protection can deliver hydrologic changes that are meaningful to society.
- There is limited understanding of the impacts resulting from broader climate and land-use interactions relative to potential hydrologic services/benefits from source water protection activities.
- There is a lack of information on how different land use changes, including a mixture of SWP activities, may interact and influence changes in flow regime at the landscape or watershed scale. To make a stronger case for the hydrologic benefits of source water protection, empirical evidence is needed at larger scales and over longer timescales that represent the matrix of land uses and land cover commonly found in source water protection efforts.
- Understanding the time-scale at which impacts will occur across different objectives is also a key gap. For instance, as groundwater processes tend to be much slower than surface water, changes in land use/cover/management may take months, years, or even decades to propagate through groundwater flow systems to impact surface water bodies. The scientific understanding of such processes across extended timescales is limited.

### Summary table

	Land protection	Revegetation	Riparian restoration	Ag BMPs	Ranching BMPs	Fire risk management	Wetland restoration / creation	Road management
Level of available scientific information	High	High	Med. - low	Med. (on changes in runoff or infiltration)	Low	Low	Med.	Low
Degree of consensus in findings	Mixed	Mixed	Mixed	Mixed	Med.	High (related to consensus in forest hydrology)	Mixed (too context specific)	High

## Agricultural practices and crop yield

**To what extent can specific agricultural best management practices result in crop yield gains or cost reductions?**

### Summary

Overall, there is limited agreement on direct benefits of agricultural BMPs in terms of crop yield gains to farmers across geographical regions and farming contexts. Variations are significant depending on site conditions and factors. There is no guarantee of direct benefits to farmers, and it takes time to realize benefits and/or avoid future losses, which may be difficult to appreciate. To improve farmer livelihood, and realize the full potential of Water Funds, there is a need to include additional practices targeting soil quality and farming system improvements.

### Key findings

Agricultural best management practices (BMPs) that are commonly adopted or promoted as source water protection activities—such as crop rotation, cover crops, conservation tillage, contour farming, buffer strips, and nutrient management—have been encouraged to reduce erosion risks and improve soil and water conservation, among other benefits (OECD 2016; Liu et al. 2017). A suite of environmental benefits (e.g. improving soil structure, enhancing soil biological activity, nutrient cycling, soil water holding capacity, water infiltration) have been theorized and documented (Brouder & Gomez-Macpherson 2014; OECD 2016). Resulting improvements in crop yield and/or economic benefits to farmers overall (e.g. reducing production costs through decreases in energy consumption) have also been extensively discussed in literature. Our review focused on peer-reviewed studies assessing the crop yield of on-field agricultural BMPs *relevant to source water protection*. Studies on profitability (in terms of production costs) of BMPs were also included in the search, where possible. We focused on

those BMPs with a clear and direct relationships to crop yield or cost reduction, setting aside those (such as riparian buffers) which necessitate the removal of land from agricultural production.<sup>4</sup>

In general, our review found a rich body of literature (case studies, reviews, and meta-analyses) across cropping systems and geographic areas. Studies were dominated by conservation agriculture, defined by a combination of conservation tillage, crop rotations, and cover crops (e.g. Ogle et al. 2012; Brouder & Gomez-Macpherson 2014; Giller et al. 2015; Pittelkow et al. 2015b; Zhao et al. 2017), and to a lesser extent, agroforestry. As expected, the effects on crop yield vary based on different farming contexts, including practices employed, climate conditions, crop type, biophysical conditions, and farming resources (smallholder or large-scale). There is a limited ability to generalize the direct benefits of soil protection BMPs in terms of crop yield gains to farmers across geographical regions.

There is evidence suggesting that conservation agriculture has the greatest potential to increase crop yields when implemented as a set of integrated practices in rainfed systems in water-limited or water-stressed regions, including potentially on millions of hectares within Sub-Saharan Africa and South Asia (Brouder & Gomez-Macpherson 2014; Palm et al. 2014; Pittelkow et al. 2015a, 2015b; OECD 2016). Studies also point out that, when combined with residue retention (e.g. cover crops) and crop rotation, declines in yield resulting from no-till practices can be minimized (Rusinamhodzi et al. 2011; Pittelkow et al. 2015a).

For agroforestry (agriculture incorporating the cultivation and conservation of trees), impacts on crop yield tend to be most influenced by the type and objective of the particular agroforestry system. For example, agroforestry supporting soil fertility increased crop yields in Africa (Ajayi et al. 2011), whereas shade grown coffee and cacao agroforestry, targeting other ecological benefits, shows more nuanced effects on yield and income (e.g. Steffan-Dewenter et al. 2007; Tschardt et al. 2011).

It is often assumed that implementing conservation agriculture might increase farmers' incomes mainly through cost reductions (fuel consumption-related costs in particular) and economies of scale (for large mechanized farms) rather than yield increases. For small farmers in developing countries, economic benefits are limited due to farm size, degree of mechanization, and capital investment capacity (Giller et al. 2015; OECD 2016). Detailed economic studies on how agricultural BMPs might affect production costs or profitability are limited. On the other hand, despite the limited economic provision in terms of cost reduction, there may be economic incentives for farmers to implement agricultural BMPs (e.g., where agroforestry enables a diversification of products to sell), and non-economic impacts may also motivate participation (e.g., climate resiliency benefits as one of the major drivers to adopt agricultural BMPs). On balance, the evidence suggests that agricultural BMPs may not, at least in the short term, pay for themselves, especially for smallholder farmers, and should be carefully designed, managed, and monitored.

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<sup>4</sup> These BMPs, including building terraces, planting buffer strips, planting trees etc., do not necessary improve yields, and/or may improve yields in the longer term (not immediately) as soil quality is built up or local water quality is improved, and/or may simply avoid future losses – such benefits are rather hard to appreciate from a farmer livelihood point of view, and/or may actually compete with farm production by taking land out of production. However, we recognize that practices like these may have both costs (in terms of productivity losses or input of labor and materials) and benefits and that these practices could be the subject of a valuable separate review.

At a fundamental level, our review suggests that there is a lack of agreement on how agricultural BMPs deliver direct benefits such as crop yield to farmers. To better answer this question in a more applicable way, we suggest narrowing the scope and focusing on a suite of conditions (e.g. climate, soil, slope, scale, smallholder or large holder, crop type, land uses) that are generally the target for source water protection and conduct a meta-analysis using existing datasets. Furthermore, within the context of source water protection, farm level productivity gains and livelihood improvements may require farming system changes that are more complex to interpret than how a single BMP may or may not affect plot level yields. Therefore, our review calls for the need to look beyond just direct crop yield gains or cost savings, and to assess the holistic societal benefits of agricultural BMPs at a watershed scale.

*Key gaps*

- Given the range of factors influencing yield outcomes, generalization of potential outcomes via systematic review requires higher quality, more standardized monitoring data that cover a range of explanatory factors, over a longer period of time (Brouder and Gomez-Macpherson 2014).
- Compared to conservation agriculture, fewer studies of yield outcomes were found for agroforestry, irrigation management, and nutrient management.
- For conservation agriculture, studies on large-scale farms in North America and Australia suggest potential profitability through increased crop yield and/or reduced input costs. However, for smallholder farmers in the developing world, empirical evidence is sparse, limiting our ability to generalize how much and under which conditions conservation agriculture can generate benefits.
- In terms of geographies, all major regions were represented in the literature, but fewer studies were found from Southeast Asia and Latin America.

*Summary table*

	Conservation ag	No-till	Cover crops	Agroforestry	Other BMPs
Level of available scientific information	High	High	Medium	Medium-low	Overall low (depending on the practice)
Degree of consensus in findings	Medium	Medium	Medium	Mixed (agroforestry systems matter)	Difficult to assess given the practice types and numbers of studies reviewed

**Impacts of anthropogenic change: climate and land use**

**What are the expected relative magnitudes of contributions to hydrologic outcomes from anthropogenic climate change as compared to land use/land cover change?**

## *Summary*

The direction and comparative impacts of climate change and land use/land cover patterns cannot be generalized across regions or sites from retrospective or forecasting studies. Depending on site-specific conditions, either climate or land use conditions can be a dominant driver. The aggregate results of these studies suggest that changing climate conditions has the potential offset beneficial impacts that might result from water fund interventions. Accordingly, it is imperative to consider future climate conditions during the development of conservation plans for any source water protection project, including water funds.

## *Key findings*

For retrospective studies of historical flow outcomes, the relative impact of climate versus land use change varies. Some studies identified climate as the greater driver of past changes to flow. Others identified land use change as the greater driver. A majority of studies evaluated here indicated that both drivers had impacts on flow changes and were of similar magnitude.

For prospective studies of potential flow outcomes, several studies found climate and land use changes to have similar magnitudes of impact, while others identified climate change as the primary driver of future flow changes. Only one study identified land use change as the primary driver of future flow conditions (Ma et al., 2014).

Beyond these broad patterns, it is difficult to generalize study results towards predicting the direction and magnitude of potential climate and land use change impacts on hydrology, given the importance of local context (climate and land use/cover characteristics and trends) and specific study design choices (time periods and scenario selection). Additionally, the combined effects of climate and land use change vary. In some cases, changes in land use were or would be additive, further amplifying changes in precipitation and evapotranspiration (Bari, Silberstein, & Aryal, 2011; DeBano et al., 2016; Ma et al., 2014; Mishra et al., 2010; Montenegro & Ragab, 2012; Records et al., 2014; Woltemade & Hawkins, 2016; Yang et al., 2015). In other cases, land use changes served or could serve to mitigate climate related impacts (Diaz & Querner, 2005; Kharel, Zheng, & Kirilenko, 2016; Ma et al., 2009; Mishra et al., 2010; Yang et al., 2015).

Considerations of both current and future climate and land use patterns are critical for assessing the potential for interventions to influence watershed outcomes. Projects that do not consider the implications of climate change effects could fail to realize project outcomes even where implementation targets have been achieved.

## *Key gaps*

- The lack of a generalized and comparable approach to prospective assessments of climate and land use change limits the ability to draw comparisons between ecosystem types. Whether this is in and of itself a meaningful shortcoming is debatable. However, the lack of agreement on approach could pose a roadblock for project-focused assessments which could likely benefit from clearer guidance on how to incorporate climate considerations into project planning and prioritization.

- Given large regional differences in the expected hydrologic effects resulting from climate change<sup>5</sup>, greater regional representation among studies would be welcome. Latin America, North and Sub-Saharan Africa, Middle East, Southeast Asia, and Oceania, in particular, are underrepresented.
- Comparing the relative impacts of climate and land use on water quality outcomes is a notable gap in the existing literature. As noted below, investigations of flow-related outcomes dominate. In light of the primary role that source water protection can play with regard to water quality outcomes<sup>6</sup>, additional assessment of these parameters under future climate and land use change would be a valuable contribution to the evidence needed to support watershed management planning.

## Discussion

### Conclusions

This rapid literature review to identify critical information gaps related to source water protection within the context of water funds, yielded several findings worth highlighting:

- 1) There is a fair amount of consensus among water funds experts as to the key science questions that they face in the process of designing and implementing activities and programs of work. Questions around water quantity/flows were prioritized by nearly all experts, which is understandable given that water quantity concerns are growing due to the convergence of increasing water demands, landscape change, and climate change.
- 2) Knowledge gaps are largely the result of a lack of scientific evidence, as opposed to a lack of information transfer to practitioners. The majority of empirical studies have been conducted in North America and, to a lesser extent, Europe and Oceania. Studies have rarely been conducted over the variety of site-specific situations or spatial or temporal scales that are necessary for substantially informing project-level decisions.
- 3) The reviews underscore the highly context-specific nature of each question, meaning that few conclusions can be generalized across a wide range of contexts, and even the direction of change can often be different from one study to another.

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<sup>5</sup> However, we recognize that practices like these may have both costs (in terms of productivity losses or input of labor and materials) and benefits (e.g. improved local water quality) and that these practices could be the subject of a valuable separate review.

<sup>6</sup> Mulligan, M. (2009). The human water quality footprint: agricultural, industrial, and urban impacts on the quality of available water globally and in the Andean region. In Proceedings of the International Conference on Integrated Water Resource Management and Climate Change, Cali, Colombia. Retrieved from [http://www.ambiotek.com/publications/CINARA\\_Industry\\_and\\_mining.pdf](http://www.ambiotek.com/publications/CINARA_Industry_and_mining.pdf)

- 4) Practitioners should take great care about presuming the direction or magnitude of impacts that have not been well modeled with locally-appropriate data or, better yet, measured *in situ* at appropriate scales and within similar contexts.

## Next steps

There are both potential immediate and longer-term next steps emerging from this effort. In the immediate term, the deep dive summaries would benefit from additional review by recognized external experts. These experts should include individuals with expertise on geographies, taxa, and mechanisms that were poorly represented in our literature reviews to ensure that key studies and reports have not been overlooked. Following review and revision, summaries can be repackaged for one or more targeted audiences, such as senior management within organizations exploring and establishing water funds, and policy makers (e.g. multilaterals) considering whether and how to invest in source water protection programs around the world.

For the highest priority questions, a more extensive and systematic identification of key findings and data gaps would be worthwhile. Already, as an outgrowth of this effort and in collaboration<sup>7</sup> with the Natural Capital Project, we have been awarded a SNAPP (Science for Nature and People Partnership) to further investigate components of this work. Through the SNAPP project, we will be convening leading scientists and practitioners to answer the question of whether, and how, source water protection activities can generate meaningful water quantity impacts for different upstream and downstream stakeholder groups, and we will provide guidance on this issue to key decision makers.

We see this initial effort as ultimately leading to development of a shared collaborative research agenda with one or more organizations or research institutions. There is a clear appetite and need for strengthening the science behind water funds in the service of supporting improved efficiency and effectiveness of actions, accelerating the development of new projects, and building a track record of credibility in performance—namely, achieving measurable and meaningful benefits for people and nature.

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<sup>7</sup> Our formal implementing partners for the proposal are Forest Trends and the Alliance for Global Water Adaptation (whose members include institutions like the World Bank), along with TNC and NatCap.

# Appendix

## List of key questions

Below is the full list of key biophysical and social science questions identified that are related to source water protection, within the context of water funds. Highest priority questions are in **bold**.

### Water quality

1. Effectiveness
  - 1.1. What are the most effective source water protection activities in different biophysical contexts to address surface and subsurface runoff loading of pollutants into waterways?
  - 1.2. What are the most cost-efficient source water protection activities in different biophysical contexts and geographies?
2. Groundwater
  - 2.1. Which source water protection activities can improve groundwater quality, and which components of water quality can they affect?
3. Activities
  - 3.1. How much can improved forest management actually reduce the risk of catastrophic fires? For example, what is the reduction in expected severity and/or extent and or occurrence over a given time period?
4. Time scale
  - 4.1. What is the lag-time between the onset of land use change and measurable differences in water quality, and what is the temporal profile for achieving full functionality of interventions (i.e., maximum effectiveness)?
  - 4.2. What is the rate of change (i.e., how do benefits change over time; are they immediate/remain constant over time)?
5. Spatial scale
  - 5.1. How much is enough? How much area for different actions do you need to intervene in, relative to the size of the overall catchment, to have a measurable impact on water quality? Are there general guidelines/rules of thumb for areas of natural lands and interventions across different typologies of ecoregions/development impact type and extent/water quality concerns?
  - 5.2. What are the key variables that affect attenuation of water quality impacts between intervention site and beneficiary locations?
6. Context

- 6.1. What are the most important site characteristics that affect the impact of specific activities at a given site for a given pollutant type (e.g., soil type and depth, slope, vegetation type and cover, precipitation type, intensity and temporal distribution)?
- 6.2. To what extent do different environmental settings influence the types of appropriate activities and expectations for water quality results in a watershed? To what extent are empirical water quality results from one biome or major habitat type applicable to another?**

## Water quantity

### 1. Water yield

- 1.1. To what extent can common source water protection activities affect baseflows, groundwater quantity, and flooding through changes in infiltration and runoff?**
  - 1.1.1. What forest management activities are ideal to maximize baseflow/increase dry season water yields, and with what levels of confidence?
  - 1.1.2. What are the infiltration benefits that result from agricultural BMPs?
  - 1.1.3. In what settings/regions/climatic conditions do natural ecosystems increase water yield in streams through infiltration, versus settings where they decrease water yield in streams due to evaporation or storage? In which regions of the world is the science more certain vs. too uncertain to inform decisions?
  - 1.1.4. To what extent can flood peaks be reduced through different source water protection activities, and how does the reduction in flood peaks differ for different recurrence intervals (5, 10, 50, 100 year)? In what landscape contexts can flood peaks be most reduced?
  - 1.1.5. To what extent can source water protection activities help replenish groundwater systems in a range of land cover and soil conditions? What are the dynamics of groundwater recharge zones, and how do they influence the design and effectiveness of source water protection activities?
- 1.2. What is the lag-time between the onset of land use change and measurable differences in baseflows resulting from restoring natural hydrologic modifiers? What activities would be expected to result in relatively shorter or longer response times?
- 1.3. To what extent can source water protection activities increase fog capture as a form of water yield?
- 1.4. How does reforestation affect water yield to streams and aquifers over time? How do results change over the maturity of forest cover and growth?
- 1.5. To what extent can improved forest management (and subsequent reduced risk of fire) contribute to seasonal water regulation?
- 1.6. What are the trade-offs in implementing activities for different outcomes? E.g., increasing vegetative cover to reduce landslides may have important trade-offs on water yield

## 2. Context

- 2.1. To what extent do different environmental settings influence the types of appropriate activities and expectations for water quantity results in a watershed? To what extent are empirical water quantity results from one biome or major habitat type applicable to another?

### Biodiversity/habitat outcomes

#### 1. Evidence

- 1.1. To what extent can different source water protection activities contribute to terrestrial ecosystem and biodiversity benefits?
  - 1.1.1. Which agricultural BMPs, individually or in combination, produce the best terrestrial biodiversity outcomes?
- 1.2. To what extent can different source water protection activities contribute to aquatic ecosystem and biodiversity benefits?**
  - 1.2.1. Which agricultural BMPs, individually or in combination, produce the best aquatic biodiversity outcomes?

#### 2. Trade-offs

- 2.1. What are the trade-offs and risks associated with source water protection activities from a biodiversity conservation perspective?

### Climate change mitigation

#### 1. Forests

- 1.1. How much can improved forest management and restoration activities actually contribute to carbon storage? What criteria most highly affect carbon storage outcomes?
- 1.2. What scales of work are required to make a significant difference in carbon stocks?

### Health and well-being

#### 1. Health

- 1.1. Under what circumstances can source water protection activities reduce the risk of water-borne diseases?
  - 1.1.1. Which activities are most effective at reducing the risk of water-borne diseases?
- 1.2. Under what circumstances can source water protection activities reduce the risk of vector-borne diseases?
  - 1.2.1. Which activities are most effective at reducing the risk of vector-borne diseases?
- 1.3. Who are the direct beneficiaries of disease risk reductions?

#### 2. Livelihoods

- 2.1. When/for what changes in land management are negative livelihood impacts likely?**

- 2.2. What are the most appropriate and low-cost measures to minimize and compensate for negative livelihood impacts?

#### Agricultural best management practices

1. Livelihood benefits

- 1.1. To what extent can specific agricultural best management practices result in crop yield gains or cost reductions?**

- 1.1.1. Under what particular contextual parameters are productivity gains predicted? How much variability can be expected with regard to productivity outcomes?

- 1.2. Which BMPs are likely to have the highest net benefits to farmers and to other stakeholders?

2. Trade-offs

- 2.1. In what situations are the intended co-benefit outcomes of agricultural BMPs in potential conflict with each other?

#### Watershed scale questions

1. Watershed-scale land use/land cover

- 1.1. What is known about how different proportions and positioning of land use/land cover and BMPs in a watershed affect water quality, water quantity, and biodiversity?**

#### Modeling

1. Uncertainty/future change

- 1.1. How do we evaluate the extent to which natural infrastructure planned today will perform into the future under uncertain climate changes?

- 1.1.1. What are the relative expected magnitudes of contributions to water quality and quantity outcomes from climate change as compared to land use/land cover change?**

2. Validation

- 2.1. To what extent have the benefits predicted by water quality and quantity models been validated by real-world results?**

- 2.2. How do we design studies that can ground-truth models?

3. Assumptions

- 3.1. In water fund planning, how can we a priori account for the difference in outcomes between optimized (modeled) activity portfolios and actual implemented portfolios?

- 3.2. What costs assumptions are modelers using? Do these assumptions include transaction costs? How many water funds calibrate their models? In what context are uncalibrated results credible?

- 3.3. How do we frame or establish sound assumptions for results or data we're not sure about?

#### 4. Best practice

- 4.1. How important is spatial resolution? In what context are lower res sufficient? In what context is higher res a must?
- 4.2. What are the preferred models for predicting particular watershed hydrologic responses (quality, flow regulation etc.) to water fund interventions, and what does this depend on?
- 4.3. When are global data sets enough to answers questions and when do we need more specific information?

## Detailed reviews

### Aquatic biodiversity

#### **To what extent can different source water protection activities contribute to aquatic ecosystem and biodiversity benefits?**

##### *Targeted land protection*

Protecting intact, native terrestrial systems should rarely if ever produce negative consequences for aquatic biodiversity, but benefits are not assured. While protected terrestrial systems themselves are beneficial, the size and locations of them in a watershed can affect their efficacy for freshwater conservation. The aquatic biodiversity benefits of formal protected areas (PAs) have been little studied, in part because so few protected areas have been designated based on freshwater objectives (Abell, Allan, & Lehner, 2007; Adams, Setterfield, Douglas, Kennard, & Ferdinands, 2015; Chessman, 2013; Chu, Ellis, & de Kerckhove, 2017; Mancini et al., 2005). Existing studies have pointed to factors influencing impact and effectiveness:

Spatial scale – Small protected areas may have little impact, though if they drain to small headwater streams the impact may be greater than if they are located downstream (Thieme et al., 2016). While there is no universal threshold for how much of a catchment should be protected to conserve freshwater biodiversity, some studies (e.g. Death & Collier, 2010) have attempted to identify thresholds for particular settings.

Spatial scale – Small protected areas may have little impact, though if they drain to or comprise small headwater streams the impact may be proportionately greater than if they are located further downstream in river networks (Thieme et al., 2016). While there is no universal threshold for how much of a catchment should be protected to conserve freshwater biodiversity, some studies (e.g. Death & Collier, 2010) have attempted to identify thresholds for particular settings.

Location – Some sub-watersheds or even stream reaches may support higher priority freshwater biodiversity elements than others, but most terrestrial protected areas have not been sited with these elements in mind (Abell et al., 2007; Herbert, McIntyre, Doran, Allan, & Abell, 2010).

Upland vs. riparian – Protecting riparian buffers is almost universally considered an effective conservation activity, though larger catchment influences may swamp riparian benefits (see Riparian Restoration below).

Type and level of protection – Even well-protected land cannot provide comprehensive protection for aquatic species if there are direct threats like overfishing, instream barriers, and water withdrawals (Chessman, 2013). As well, the designation of a terrestrial protected area does not in itself ensure the existence and maintenance of natural land cover (Mancini et al., 2005), and the legacy of past land uses may continue to produce stresses on local and downstream aquatic communities via water quality and flow impacts (Harding, Benfield, Bolstad, Helfman, & Jones, 1998).

Exogenous threats – Freshwater systems sit at the lowest point on the landscape and are subject to hydrologically-mediated threats traveling downslope and downstream. As a result, from a freshwater perspective especially, no protected area is an island, and threats outside a PA's borders (e.g. dams, water withdrawals, agriculture, mining, forestry, urbanization) can impinge upon the species and systems inside (Rodríguez-Jorquera et al., 2017; Thieme et al., 2016). As well, many aquatic species are highly mobile, and they may encounter threats outside a PA that reduce their viability inside it. Finally, climate change is already manifesting itself largely through hydrologic impacts; protected areas may be able to build resilience for freshwater species (e.g. through providing thermal refugia or serving as dispersal corridors) but there will be limits to their threat mitigation potential (Kingsford, 2011).

Formally designated PAs are only one form of targeted land protection, and 'other effective area-based conservation measures' (OECMs) may be equally if not more relevant to source water protection programs. A formal designation does not ensure effective management, and other land protection approaches (e.g. through indigenous or community-managed areas) may produce beneficial aquatic biodiversity outcomes as well.

### *Revegetation*

Afforestation. Many but not all studies of afforestation – the planting of stands of trees where there were none previously – focus on plantation forestry, looking primarily at the impacts of afforestation with non-native (typically conifer) species on stream chemistry (Friberg, Rebsdorf, & Larsen, 1998). There are a small number of studies that generally confirm the negative impacts of afforestation on native aquatic biota (Sievers, Hale, & Morrongiello, 2017; Tierney, Kelly-Quinn, & Bracken, 1998), though that response is not uniform (Quinn, Croker, Smith, & Bellingham, 2009; Tierney et al., 1998). Most afforestation studies have taken place in Europe and New Zealand, with a focus on riparian zones.

Reforestation. Reforestation studies are largely focused on riparian zones (see below). Despite the prevalence of reforestation (active and passive) in some geographies (e.g. in North America), we found virtually no studies that evaluate the impacts of upland reforestation on aquatic biodiversity. While we can assume that on balance the impacts of reforestation using native species should be positive for freshwater biodiversity, there are few empirical data to confirm that assumption. One modeling study of re-establishing old-growth forests suggested potentially negative impacts on freshwater fisheries productivity, at least in the near term (Nislow, 2005), underscoring the possibility of unintended consequences of more natural conditions on native species composition and abundance. The legacy of

past land use (e.g. agriculture, mining) within a catchment may be a stronger indicator of present-day ecological status than current land use, suggesting that upland or riparian reforestation can in some circumstances have limited benefits in terms of native species recovery (Brady, 2016; Harding et al., 1998; Ogden, Crouch, Stallard, & Hall, 2013; Scott, 2006). As well, the biotic impacts of reforestation may be manifested over longer time scales than water quality impacts (Yeung, Lecerf, & Richardson, 2017).

Grassland restoration. There is virtually no literature exploring the impacts of grassland restoration on aquatic biodiversity. However, depending on the classification some grassland types may be considered wetlands (Dixon, Faber-Langendoen, Josse, Morrison, & Loucks, 2014), and as noted below (see Wetland Restoration and Creation) there is a richer literature on wetland restoration. Some grasslands will need to be maintained by natural disturbance processes like fire or grazing, and re-created disturbances may have negative impacts on aquatic systems if not carefully designed and implemented (see Ranching BMP below).

### *Riparian restoration*

The role of riparian zones in sustaining healthy aquatic systems has received ample research attention (e.g. Gregory, Swanson, McKee, & Cummins, 1991; Naiman & Decamps, 1997). However, more research is focused on physical habitat attributes than on biotic indicators, and long-term studies of the biotic impacts of riparian restoration (as opposed to management, often as part of forestry practices) are relatively sparse (e.g. Roni, Hanson, & Beechie, 2008; Roni et al., 2002; Sievers, Hale, & Morrongiello, 2017). Measures of benefits to aquatic systems have often focused on representative species and system attributes – often measured with indexes of biotic integrity or ecosystem function – and the response of those attributes to riparian land use (sometimes in comparison to upland land use). In other cases – generally in North America and Europe – restoration has been driven by one or more endangered fish species, such as salmon in the Pacific Northwest (Palmer et al., 2007; Sievers, Hale, & Morrongiello, 2017). Our review focused primarily on riparian restoration within agricultural contexts, recognizing that the abundance of literature has focused on riparian management in the context of forestry practices.

There is consensus that vegetated riparian zones can serve as filters for nutrients and sediment, thereby improving water quality; can contribute important woody debris and other organic materials that are essential to sustaining aquatic systems and species; can regulate stream temperature (especially in the case of forests); can contribute aquatic and terrestrial invertebrates and detritus important for sustaining downstream systems; and can provide habitat for diverse assemblages of riparian-dependent species (Naiman & Decamps, 1997). Importantly, these generalizations apply to restoration, rather than to afforestation. Despite largely positive results, empirical studies of the biotic impacts of riparian restoration have not been uniform in their findings for riparian-dependent and aquatic biota (Marczak et al., 2010; Quinn et al., 2009; Sievers, Hale, & Morrongiello, 2017), and time lags on the order of a decade or more may occur before native biota are restored (Becker & Robson, 2009; Orzetti, Jones, & Murphy, 2010). Mixed results have occurred for a variety of reasons, including but not limited to an inability to recreate natural ecosystem composition, structure and function through plantings or passive restoration (e.g. Faulkner, Barrow, Keeland, Walls, & Telesco, 2011). The dependencies of riparian zones

on natural flow patterns for appropriate seasonal inundation can also determine the potential for riparian restoration in systems with altered flows, and flow management may be the primary tactic for riparian restoration (e.g. Rood et al., 2003; Rood, Braatne, & Hughes, 2003; Rood et al., 2005).

As with all source water protection activities, the degree to which these benefits can be realized is context-specific, and in the case of extensive natural land cover conversion and/or development, catchment-scale and in-stream conditions may swamp the services that riparian zones can provide (Death & Collier, 2010; Houlihan & Findlay, 2004; Lennox et al., 2011; Teels et al., 2006; Walsh, Waller, Gehling, & Mac Nally, 2007).

Despite a rich literature, most studies of riparian restoration have been focused on North America and Oceania, with a smaller number from Europe. We found few relevant studies from Latin America, Africa, or Asia.

### *Agricultural BMPs*

While there is a wealth of literature on the impacts of land use/land cover on aquatic ecosystem and biotic conditions, there are few empirical studies of the results of agricultural best management practices on them, other than riparian buffer zone management. As with other source water protection tactics detailed above, there is a presumption that reductions in sediment and nutrients will benefit aquatic ecosystems and species, but few studies have documented the impact (Holmes, Armanini, & Yates, 2016). Measures of ecological impact in the context of agricultural land use are frequently based on indicator species, indices of biotic integrity, or habitat measures, which specify overall habitat quality but by definition give no information about particular species of concern; these species may fail to show improvement due to a range of factors outside the influence of spatially-limited BMPs (e.g. Wang, Lyons, & Kanehl, 2006).

Of the existing literature on agricultural BMP impacts on aquatic biodiversity and environmental conditions, many show positive (though sometimes limited) impacts (e.g. Barton & Farmer, 1997; Sallenave & Day, 1991). Other studies find that, as with other source water protection activities, observed impacts – or lack thereof -- may result from broader catchment-wide land use as well as the legacy of past practices and additional threats (Maret, MacCoy, & Carlisle, 2008; Nerbonne & Vondracek, 2001; Pearce & Yates, 2015). Thresholds of areas of BMP implementation resulting in benefits to biodiversity may exist (Marshall, Fayram, Panuska, Baumann, & Hennessy, 2008; Yates, Bailey, & Schwindt, 2007), and BMPs applied only in riparian zones may be necessary but insufficient in scope (Wang, Lyons, & Kanehl, 2002).

We were unable to find literature exploring the impacts on aquatic biodiversity of agroforestry systems, though there is a relatively abundant literature on agroforestry in general.

### *Ranching BMPs*

The relationship between animal grazing and aquatic ecosystems is complicated. Because grasslands can require natural disturbance or active management to prevent succession to forest, grazing at certain levels and times of the year may be an appropriate and necessary activity in some systems and can contribute to maintaining native aquatic biodiversity (Bloom, Howerter, Emery, & Armstrong, 2013; Burton, Gray, Schmutzer, & Miller, 2009; Marty, 2015; Mester, Szalai, Mero, Puky, & Lengyel, 2015;

Schaich & Barthelmes, 2012). However, overgrazing can have impacts on sediment and nutrient delivery, as well as on hydrology. Furthermore, livestock congregating in riparian zones and entering streams in order to cross or access water can have direct impacts on stream banks and can introduce bacterial and nutrient contaminants into water, as well as increase sediments (Fitch & Adams, 1998).

The literature examining livestock or ranching BMP impacts on biodiversity is focused primarily in three areas: 1) impacts on grassland plant, bird, and amphibian species from changes in grazing intensity or timing, with an emphasis on wet grasslands and wetland birds; 2) impacts on native riparian plants, birds and mammals from livestock exclusion (via fencing); and 3) impacts on stream ecosystem condition from livestock exclusion. Studies generally confirm the value of excluding livestock from streams, reducing grazing intensity, and providing livestock with alternative water sources (Ellison, Skinner, & Hicks, 2009; Jansen & Robertson, 2001a, 2001b; Kauffman, Thorpe, & Brookshire, 2004; Line, Harman, Jennings, Thompson, & Osmond, 2000; Sievers et al., 2017); however, the degree and scope of benefits may be localized and overwhelmed by larger catchment land uses (Magierowski, Davies, Read, & Horrigan, 2012; Ranganath, Hession, & Wynn, 2009; Raymond & Vondracek, 2011), and exclusion may also facilitate the establishment and spread of invasive plant species (Loo, Mac Nally, O'Dowd, & Lake, 2009). The effects of intensive grazing may also persist over many years after the removal of livestock, and recovery times for species will depend on a variety of factors (like dispersal ability) (Homyack & Giuliano, 2002). Some other ranching best management practices (e.g. rotational grazing) may be appropriate in different contexts (Magner, Vondracek, & Brooks, 2008), though there is little information to support a significant positive impact on aquatic biodiversity and other factors (e.g. riparian buffer function) may be more important (Brand, Vondracek, & Jordan, 2015; Sovell, Vondracek, Frost, & Mumford, 2000). A main discriminator may be whether a system historically experienced natural grazing pressure or not. In the absence of native grazers, the creation and maintenance of wetlands (e.g. vernal pools) may depend on cattle grazing, with benefits for native and even endemic aquatic species (Marty, 2005; Mero, Lontay, & Lengyel, 2015; Pelinson, Garey, & Rossa-Feres, 2016).

Most studies of grazing impacts have examined North American systems, though a smaller number have examined grazing and ranching in Europe and South America (e.g. the Pantanal). We were unable to find literature exploring the impacts on aquatic biodiversity of silvopastoral systems.

### *Fire risk management*

The impacts of fire risk management on aquatic systems and species are complicated and in general have received relatively little attention (Bisson et al., 2003; Dwire & Kauffman, 2003; Pilliod, Bury, Hyde, Pearl, & Corn, 2003). The question of whether and how severe wildfire itself is damaging to aquatic systems and species is context-specific. Fires mobilize nutrients, sediments and debris, increase runoff and river discharge, and have impacts on turbidity, light and temperature, and organic inputs. The types and time-lags of biotic responses are influenced by the scope of fires and the pre- and post-fire patterns of droughts and floods. Biotic responses vary by life cycles, habitat specificity, dispersal abilities, and the availability and distribution of refugia (See Bixby et al., (2015) for a summary of impacts of fires on patterns, processes and biological responses.)

A meta-analysis of studies of amphibian responses to severe wildfires found both positive and negative impacts and noted that natural recovery of species populations affected by fire may be hampered by

land use change and fragmentation (Hossack & Pilliod, 2011). A review of the impacts of forest fires on fishes in North America found that although some populations might be extirpated by severe fires, recolonization by more mobile species is relatively rapid (Gresswell, 1999; Howell, 2006). For species with low mobility (either naturally or due to habitat fragmentation), high habitat specificity, or for those species with highly reduced population numbers, the impacts may be greater and more long-lasting (Dunham, Young, Gresswell, & Rieman, 2003; Gresswell, 1999).

Activities designed to lessen the severity and/or risk of fires can impact stream biota. Of those studies that have addressed the question of how fire risk management activities affect aquatic species and systems, virtually all have examined North American coniferous systems. Typically, studies have investigated combinations of prescribed burning and tree thinning. Some aquatic species are adapted to systems that experience lower-level, periodic fires so in principle might benefit from prescribed burns, especially in conjunction with mitigation of other threats (Whitney, Gido, Pilger, Propst, & Turner, 2016). However, already vulnerable species with low population viability may be an important exception (Driscoll & Roberts, 1997). Stream ecosystems flowing through forested landscapes are also typically reliant on terrestrial inputs of coarse woody materials, and forest thinning in the service of reducing the risk of catastrophic fires may deprive streams of that material if the cut trees are removed (Rieman et al., 2003). Additionally, forest thinning activities may involve the construction of logging roads, with their concomitant chronic impacts (Rieman et al., 2003). The importance of retaining riparian buffer zones is a common theme across many studies (Olson, Leirness, Cunningham, & Steel, 2014), as is the importance of being aware of unintended consequences (Rieman & Clayton, 1997). Based on the limited literature, the impacts of forest fuel reduction on aquatic species are mixed and highly context-specific.

### *Wetland restoration and creation*

There is a reasonably good literature on wetland restoration and creation impacts on biodiversity. In general, restored or rehabilitated wetlands are found to provide greater aquatic biodiversity and ecosystem function benefits than created wetlands, yet less than natural wetlands (Meli, Rey Benayas, Balvanera, & Martinez Ramos, 2014; Sebastián-González & Green, 2016; Spadafora et al., 2016). Some studies examining wetland birds, invertebrates, and amphibians have found evidence of positive change in terms of population abundance or species presence, though these changes are not necessarily sustained over time (Brown, Smith, & Batzer, 1997; Hapner et al., 2011; Locky, Davies, & Warner, 2005; Ruhi et al., 2012; Walls, Waddle, & Faulkner, 2014). Restored peatlands have been shown to support aquatic communities comparable to those in natural wetlands (Brown, Ramchunder, Beadle, & Holden, 2016). Created compensatory wetlands often fail to achieve the same ecosystem functions as restored/rehabilitated natural wetlands (Brown & Smith, 1998; Brown & Veneman, 2001; Español, Gallardo, Comín, & Pino, 2015; Spadafora et al., 2016; Wan, Qin, Li, & Liu, 2001; Whigham, 1999). ‘Dual purpose ponds’ or multi-objective wetlands on agricultural landscapes, aimed at biodiversity conservation as well as nutrient retention and/or flood abatement, result in generally positive impacts but there is also a recognition that no single wetland can indefinitely provide all these services (Zedler, 2003). Wetland restoration for biodiversity conservation may be most effective when a density of wetlands is achieved within a landscape, both to facilitate dispersal among species and because wetlands undergo successional processes (Thiere et al., 2009).

It is important to note that these studies have looked at the impacts of biodiversity within the created or restored wetlands, rather than examining downstream aquatic biodiversity, which presumably would benefit to some extent from improved water quality. Many of the studied wetlands are not connected directly to river systems and so there would be minimal exchange of obligate aquatic species among them.

Studies of the biodiversity and ecosystem integrity impacts of wetland restoration and creation are almost exclusively focused on North America and Europe, with a small number examining wetlands in Asia.

### *Road management*

Roads, especially but not exclusively those that are unpaved, are widely acknowledged to be substantial sources of sediment to streams, though even that conventional wisdom has been empirically challenged (Al-Chokhachy et al., 2016). Literature on the impacts of road management, including road removal, on aquatic species is sparse (Angermeier, Wheeler, & Rosenberger, 2004; McCaffery, Switalski, & Eby, 2007; Roni et al., 2008; Switalski, Bissonette, DeLuca, Luce, & Madej, 2004), with much of it focused on forested landscapes in the Pacific Northwest of North America (Jones, Swanson, Wemple, & Snyder, 2000; Roni et al., 2002). Many studies of the impacts of roads on aquatic biodiversity focus on the barriers that road-stream crossings pose to species movement. Others look at stormwater-related impacts of urban roads, but these are often modeled (Roni et al., 2008). There is some literature providing guidance on managing unpaved roads (typically associated with forestry operations) to reduce sediment impacts, but the literature is largely focused in the United States (Roni et al., 2008). At the same time, the sediment contributions of roads at basin scales may be dwarfed by other contributors, such as from wildfire (Goode, Luce, & Buffington, 2012), underscoring the multi-faceted nature of threats to freshwater systems. A rare study in the Amazon found that reduced-impact logging, which includes minimizing construction of access roads, can reduce negative impacts to aquatic communities (Dias, Magnusson, & Zuanon, 2010).

While there is a dearth of literature on the measured aquatic biodiversity impacts of road management (other than removing instream barriers), there seems to be a reasonably clear pathway between road management that successfully reduces sediment loading to streams, and benefits to aquatic species (with the caveat that many species will be affected by multiple threats, of which sediment will be only one).

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## Land management interventions and flow changes

### To what extent can source water protection activities affect baseflow, groundwater quantity, and flooding through changes in infiltration and runoff?

#### *Targeted land protection and revegetation*

In general, protecting intact, native terrestrial ecosystems and preserving ecosystem integrity are key to maintaining provisioning ecosystem services and the hydrologic status quo (Dudley et al. 2003; Bruijnzeel 2016; Ellison et al. 2017). However, the interplay of changing land use and climate, and complex ecohydrologic responses to those changes at various scales, creates significant uncertainty regarding the provision of water quantity services. Ecosystem restoration via revegetation is even more complex than protection and may result in ambiguous or unintended consequences such as reduced water yield or baseflow.

Scientists argue that full consideration of the roles of soil and surface degradation are oftentimes missing from discussions of hydrologic impacts (Bruijnzeel 2004). Other factors that affect the effectiveness of land protection and restoration activities on water quantity include ecosystem type, location (e.g. upstream vs. downstream), watershed size, timing, context (e.g. soil characteristics, moisture status), and interactions with other land use types and landscape linkages.

#### *Forest protection and restoration/afforestation*

A wealth of literature on forest hydrology in different geographic contexts exists, and the impacts of primary forest deforestation, afforestation and/or reforestation on hydrology, at local and catchment scales, are reasonably well-documented and reviewed. Several comprehensive review articles and reports summarize ongoing discussions around the impacts of forests on water quantity, including streamflow, flooding, and dry-season flows (Smakhtin 2001; Dudley et al. 2003; Andréassian 2004; Bruijnzeel 2004; Scott et al. 2005; Brown et al. 2005, 2013; Farley et al. 2005; Ilstedt et al. 2007; Bradshaw et al. 2007; Ellison et al. 2012, 2017; Beck et al. 2013; Garcia-Chevesich et al. 2017; Filoso et al. 2017). For instance, **Ellison et al. (2017)** provided an extensive review of research on how forests regulate water supplies, namely through: fog and cloud water capture, infiltration and groundwater recharge, and flood moderation/mitigation. Below we summarize the major gaps identified using a similar categorization:

- **Cloud and fog capture:** Several studies were found regarding the hydrometeorology and hydrology of cloud forests, highlighting (1) the importance of tropical montane cloud forest conservation both in ecological and hydrologic terms, (2) the need for site-specific information on hydrologic functioning at spatial scales and across cloud forest types, and (3) the lack of understanding on the hydrologic impacts of climate and land-use change, and their interactions (Bruijnzeel 2004; Bruijnzeel et al. 2010, 2011; Muñoz-Villers et al. 2015; Ellison et al. 2017). Evidence also points out that cloud forest conversion to agriculture, pasture, or agroforestry showed mixed results in terms of streamflow/downstream water yield, and that the direction and magnitude of changes should be examined in a context- and site-specific manner. For example, **Bruijnzeel et al. (2010)** presented cases showing that converting cloud forests to pasture can have either positive (defined as increased flow, as in eastern Mexico), negative

(defined as decreased flows, as in Pacific Northwest of US) or neutral (as under particularly wet conditions in Costa Rica) hydrologic impacts. For cloud forest regeneration and restoration, our review did not find documented studies on water quantity impacts. In a recent systematic review about the impacts of forest restoration on water yields, the authors recorded 5 cases from Central America showing positive water yield results from forest expansion (suggesting implications for cloud forest restoration), but also emphasized the general lack of information in the humid tropics (Filoso et al. 2017). Variation among cloud forest types also suggests caution when extrapolating hydrologic functions of one forest type to another.

- **Infiltration, baseflow, and groundwater recharge:** A variety of case studies documented changes in *annual* streamflow following forest clearing, forest thinning (as a forestry practice), afforestation (mostly plantations) or reforestation, adopting an underlying paradigm of trade-off between forest cover and streamflow. Some scientists argue that this paradigm is biased and factors such as soil characteristics are insufficiently considered (Bruijnzeel 2004; Scott et al. 2005; Ellison et al. 2012).<sup>8</sup> Without a better understanding of what happens underground, simply planting trees (especially using plantations as an afforestation approach) won't necessarily generate beneficial outcomes (Garcia-Chevesich et al. 2017). The following gaps were identified: (1) evidence focuses on total annual streamflow or water yield, but studies on dry-season baseflows and groundwater recharge dynamics are lacking; (2) long-term and large scale relationships are missing; (3) studies are skewed towards young, fast-growing plantations; (4) evidence from the tropics and (semi-) arid tropics is scarce; (5) how reforestation or afforestation may rebuild soil infiltration capacity is poorly documented (Bruijnzeel 2016; Ellison et al. 2017).
- **Flood mitigation:** A smaller body of literature exists around the role of forests in flood risk reduction (Bradshaw et al. 2007; van Dijk et al. 2009; Wahren et al. 2012; van Noordwijk et al. 2017a, 2017b), with a greater focus on riverine flooding and urban stormwater management than watershed impacts. While it is commonly assumed that deforestation and removal of

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<sup>8</sup> One prominent school of thought, for example, demonstrates that the trade-off should be between positive impacts (e.g. increases in water yield or reduction in runoff peak) due to enhanced soil water recharge and infiltration on the one hand, and negative impacts (e.g. reduced baseflow or decreases in soil water reserves) on the other hand due to the higher water use of trees compared to crops, pasture, or scrubs. Put simply, there is a balance between soil infiltration and forest water use (evapotranspiration) (Bruijnzeel 2016). Soil degradation due to land use change (e.g. conversion to pastures or agricultural lands) results in reduced soil infiltration and water retention capacity, and consequently reduce groundwater reserves critical for maintaining dry-season baseflows. Without a better understanding of what happens underground, simply planting trees (especially using plantations as an afforestation approach) won't necessarily generate beneficial outcomes. Unless infiltration capacity is restored, reforestation may even reduce water yield or flow, as shown in many case studies. In other words, while reforestation may increase dry season baseflows via restored soil infiltration and water holding capacity, such effects should not be taken as universal. Furthermore, hydrologic change due to soil degradation may be slow, and largely underrated in case studies that measure various other hydrologic parameters. How reforestation or afforestation may rebuild the infiltration capacity is also poorly documented (Bruijnzeel 2016). One study in the seasonally dry tropics proposed an optimum tree cover theory, suggesting that intermediate tree densities on degraded lands may maximize groundwater recharge via improved soil hydraulic properties (Ilstedt et al. 2016).

forest may increase flood risks, and restoring forests or planting trees could mitigate floods, the available literature indicates such statements are debatable. In addition to the aforementioned factors that affect forest hydrologic function (e.g. changes to soil infiltration and conductivity), event-specific conditions also matter for flood risk reduction benefits. For example, antecedent soil moisture conditions can significantly affect the timing and magnitude of runoff with implications for the responsiveness to upstream land use conditions (Wahren et al. 2012; Dadson et al. 2017). Climate change induced changes in precipitation patterns, including rainfall intensity and locations, may also limit forest flood reduction potential when available land for afforestation or reforestation is limited. Tree species also need to be taken into consideration when examining the role of reforestation/afforestation on flood mitigation. Ellison et al. (2017) suggests that different tree species ought to be chosen based on the specific geography: in water-rich areas, fast growing, high water-consuming tree species might reduce, but not eliminate, flood risks; whereas in water-limited areas, slow growing, low water-consuming tree species might increase infiltration and help moderate flooding. To summarize, these factors illustrate that the forest-flood relationship is another highly debated and complex topic, and deserves its own literature review.

An overarching set of messages from these reviews is that (1) temporal and spatial scales matter, but long-term and large-scale studies are relatively scarce, (2) conclusions drawn from one practice (e.g. reforestation) cannot necessarily be applied to another (e.g. agroforestry, forest plantations), (3) what happens belowground is as if not more important than what happens aboveground ('not seeing the soil for the trees,' per Bruijnzeel 2004), and (4) limited understanding on the hydrologic impacts of the interactions between climate and land-use change.

### *Grassland protection and restoration*

The literature on the hydrologic impacts of grassland protection and restoration is sparse, though a small number of individual grassland types have been well-studied. Relatively speaking, there is a body of high quality literature on the hydrology of Andean páramos in South America, both in natural conditions and under anthropogenic land use changes (Buytaert et al. 2006, 2007; Celleri & Feyen 2009; Crespo et al. 2011; Mosquera et al. 2015; Guzmán et al. 2015; Ochoa-Tocachi et al. 2016). These studies and reviews emphasize the importance of protecting páramos as they play a key role in hydrology, and they identify the need to better understand hydrologic impacts under combinations of climate change and human disturbances. Studies from the Argentine pampas focused on grassland conversion and also shed light on the value of protecting native grasslands, suggesting that afforestation on grasslands may compromise soil quality and water availability in predictable ways based on water use, climate, and soil texture (Jobbágy and Jackson 2004; Noretto et al. 2005; Noretto et al. 2008).

If we expand our search to include rangelands (typically located in dryland biomes such as savannas, grasslands, shrublands, and deserts), we find a wealth of literature looking at water quantity as a supporting service of rangelands (Havstad et al. 2007) and the hydrologic implications of rangeland degradation (Wilcox 2007), woody plant encroachment (Wilcox et al. 2005; Wilcox & Thurow 2006; Wilcox & Huang 2010), shrub control (Wilcox 2002; Afinowicz et al. 2005), and prescribed fire and aspen removal (Flerchinger et al. 2016). While these studies and reviews are mostly limited to the United

States, and Texas in particular, they identify similar knowledge gaps as the páramo ecosystem, such as limited long-term data, the difficulty of scaling up from small scale data, and the need to evaluate impacts from multiple spatial scales, including watershed and basin perspectives (e.g. Wilcox et al. 2008; Berg et al. 2016).

Regarding restoration, we identified only one recent case study examining the impact of large-scale grassland restoration (headwater region of China's Yangtze River). That study found that grassland restoration improves local soil water conditions but reduces streamflow (via increased evapotranspiration and enhanced soil water retention) (Li et al. 2017).

We note here the importance of terminology regarding the scope of literature reviewed. Depending on the classification of grassland and wetland (for example, "prairie wetland" or "wet meadow"), more literature on wetland restoration may be relevant. Additional search review could use more detailed search terms to include specific grassland ecosystems and biomes, if necessary.

### *Wetland protection and restoration*

In our review, we excluded wetlands created or installed for urban stormwater management due to the more distant relationship to source water protection. Overall, we found fewer studies on the hydrologic function of wetlands as compared to water quality mediation (especially for treatment wetlands). In particular, empirical studies of hydrologic impacts resulting from wetland restoration are missing. Geographically, studies on the impacts of wetland protection and restoration on water quantity outcomes are still largely focused on North America and Western Europe. These studies also demonstrate variability in outcomes due in part to the variety of wetland types and contexts.

It is clear from the relatively abundant literature that there is no simple and generalizable relationship between wetland types and their hydrologic function (e.g. Zedler 2003; Bullock & Acreman 2003). Bullock & Acreman (2003) reviewed 169 quantitative studies worldwide (however, with more than 50% of cases from North America, and 20% from Europe) and provided a collation of scientific evidence among hydrologic measures and wetland types. The review, considered to be comprehensive at the time, challenged the conventional generalization that wetlands *always* reduce floods, enhance groundwater recharge, and/or regulate river flows, while pointing out greater consistency depending on the on wetland types. For example, they found that 41% of relevant studies suggested headwater wetlands enhance flooding, while 80% of studies showed floodplain wetlands reduce flooding (Bullock & Acreman 2003). They also revealed a dearth of studies of Asian and South American wetland hydrology. We identified several more recent case studies addressing the hydrologic role of different wetland types (e.g. Grayson et al. 2010; Morley et al. 2011; McLaughlin & Cohen 2013; Mosquera et al. 2015; Li & Shi 2015). It could be informative to update the Bullock & Acreman (2003) dataset and analyze trends and gaps via a more systematic approach.

In another review, Acreman & Holden (2013) specifically focused on upland rain-fed wetlands and floodplain river-fed wetlands, and demonstrated differences in flood function within and between wetland types. While showing some degree of consistency in the role of upstream and downstream wetlands, this review indicated that the influences of wetlands on floods can be both positive and negative—largely determined by landscape location and configuration, topography, soil characteristics

and moisture status, and land management. The authors also noted the limited effect, if any, wetlands have on major catastrophic floods (Acreman & Holden 2013).

Compared to wetland protection, empirical studies on the hydrologic impacts of wetland restoration are largely missing in our review. Restoration is even more complex since (1) the effectiveness of restoration is influenced by the antecedent hydrologic processes and conditions that resulted in wetland degradation and destruction, (2) restorable hydrologic services differ by wetland types (Zedler 2003; Zedler & Kercher 2005; Acreman et al. 2007), and (3) wetland-landscape linkage is another key aspect to consider when assessing the water quantity impacts of wetland restoration, but have rarely been addressed in restoration projects (Bedford 1999; Verhoeven et al. 2008). Zedler (2003) reviewed literature on the potential flood abatement benefits of wetland restoration in the Midwest United States, but the studies cited were largely theoretical. Our review also found a variety of modeling studies that predicted the hydrologic outcomes of wetland restoration (e.g. Zhang & Mitsch 2005; Boswell & Olyphant 2007; Staes et al. 2009; Yang et al. 2010; Wang et al. 2010; Martinez-Martinez et al. 2014; Javaheri & Babbar-Sebens 2014), but they are almost exclusively focused in North America, and to a lesser extent, Europe. Overall, despite existing modeling efforts, this review found a lack of empirical evidence in regard to wetland restoration and its hydrologic benefits.

### *Riparian protection and restoration*

The range of ecosystem and socioeconomic functions and services that riparian zones provide are well documented (Gregory et al. 1991; Beechie et al. 2013; Capon et al. 2013). Protecting undisturbed riparian systems would rarely have negative outcomes on water quantity, especially in regard to maintaining vital spatial connectivity and environmental heterogeneity (Capon et al. 2013; Acreman et al. 2014). However, the focus of most literature reviewed related to riparian zones (both protection and restoration) is on theoretical discussion instead of empirical evaluation. While there is a vast literature on riparian zones in the context of river restoration and environmental flows, we excluded those papers from our review since they are typically driven by objectives other than source water protection. Excluding buffer strips or filter strips that are designed for stormwater management within urban landscapes or water quality control within agricultural lands—which are reviewed under *Agricultural BMPs* below—our review found few empirical studies that consider the hydrology of riparian zones (McGlynn & McDonnell 2003; Rassam 2005; Angier et al. 2005; Mallik et al. 2011; Kolka et al. 2011; von Freyberg et al. 2014; Inzerillo et al. 2017).

Many studies of riparian restoration or riparian forest expansion impacts on hydrology have looked at restoring native riparian vegetation as a way to increase water yield—not necessarily within the context source water protection outcomes. Martinet et al. (2009) monitored the influence of understory vegetation removal as a restoration measure on riparian groundwater fluctuations along Rio Grande in central New Mexico. Wine & Zou (2012) measured changes in long-term streamflow in relation to riparian gallery forest expansion. A series of studies in the western United States examined the impact of non-native species control as one riparian restoration measure to increase water yield, and found mixed and context-specific outcomes (Shafroth et al. 2005, 2008; Moore & Owens 2012). Salemi et al. (2012) reviewed the negative effect that riparian forests, forest plantations or regeneration have on

water yield on a daily to annual basis using a small sample size. Other modeling studies predict the potential benefit of riparian forest restoration to flood risk reduction in the UK (e.g. Dixon et al. 2016).

A number of reviews call for improved documentation and monitoring to evaluate successful restoration programs (Palmer et al. 2005, 2007, 2008; Seavy et al. 2009; Capon et al. 2013; Perry et al. 2015). While we can anticipate context-dependency of hydrologic impacts from riparian restoration activities, the lack of empirical evidence or long-term monitoring data is indeed a major gap. Extensive land use/cover change and interactions with other drivers at landscape scales may also “dilute” the benefits that riparian zones can provide.

### *Agricultural BMPs*

Hydrologic services, such as increasing baseflows, groundwater recharge, or flooding mitigation, are rarely the primary focus of implementing agricultural best management practices (BMPs). In our review, we found that the impacts of conservation agriculture (including tillage, cover crops/residue retention, and crop rotation) and other agricultural best management practices (contour farming, terracing, etc.) on hydrologic *processes* are relatively well-documented, with modest geographic representation (with the exception of Latin America, where we did not find studies on conservation agriculture). The direction of impacts vary by crop systems, climate and soil conditions, scale, and other context-specific factors (e.g. Bjerneberg et al. 1996; Chow et al. 1999; Kramer et al. 1999; McGarry et al. 2000; Shipitalo et al. 2000; Leys et al. 2007; Valentin et al. 2008; Araya et al. 2012, 2015; Baumhardt et al. 2017). The majority of these studies measured changes in infiltration capacity or runoff volume, which are used as parameters to evaluate the effectiveness of BMPs on water quality rather than water quantity. For example, Rittenburg et al. (2015) reviewed published studies on the impacts and effectiveness of BMPs on hydrologic flow paths (including overland flow velocity and infiltration) for different scales and land/soil types in relation to pollution management. Liu et al. (2017) reviewed current knowledge about the short- and long-term effectiveness and efficiencies of BMPs in both agricultural and urban areas on water quality and quantity, and identified gaps, but again empirical evidence on water quantity summarized in this review is limited to reduced runoff volumes. In general, the literature suggests that conservation agriculture could increase infiltration and reduce runoff. However, empirical evidence of consequent water quantity impacts (flood reduction, baseflow maintenance, or groundwater recharge) at larger scales is largely missing (Smakhtin 2001; O’Connell et al. 2007).

Our review found very limited literature on direct linkages between agricultural BMPs and water quantity outcomes.<sup>9</sup> Overall, there remains a major knowledge gap in empirical evidence as to how and

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<sup>9</sup> For example, Potter (1991) showed a decrease in flood peaks and an increase in the contribution of winter/spring snowmelt due to soil conservation practices in Wisconsin, US; Daniel (1999) compared the impact of tillage practices on shallow groundwater recharge in Oklahoma, US, and showed no-till limited the amount of surface water percolating into the water table by 10-fold compared to moldboard or native grass; O’Connell et al. (2007) reviewed literature in the UK on the relationship between agricultural land use and flooding, but found little evidence that local scale changes in runoff generation will propagate downstream to create impacts at the catchment scale; Deasy et al. (2014) empirically compared the impacts of different BMPs on local-scaled size, duration and timing of flood peaks in UK, and suggested that, while practices can affect local-scale runoff generation, treatment effects were not significant and the benefits to mitigating downstream flood risk remain

to what extent changes in local-scale soil hydrologic properties influence water quantity outcomes in watersheds at different scales. Similar to conservation agriculture, impacts on water quantity resulting from agroforestry are context-specific and scale-dependent. Variations in agroforestry systems (e.g. coffee agroforests in Latin America, agroforest parkland in Africa, or eucalyptus-pasture agroforestry in Australia) add yet another layer of complexity for generalizing linkages between agroforestry and water quantity outcomes. For example, studies on tropical coffee and cocoa agroforests in Latin America showed improvement in soil properties and reduction in surface runoff (Benegas et al. 2014), as well as potential impacts of streamflow regulation and aquifer recharge (Gomez-Delgado et al. 2011). In dryland landscapes in Africa, agroforestry can also improve infiltration and preferential flow (Bargués Tobella et al. 2014). In Australia, eucalyptus-pasture agroforestry and alley farming were adopted to lower groundwater table and prevent stream and land salinization (which are distinct from source water protection objectives) (Bari & Schofield 1991; Noorduijn et al. 2010). For the last example, it also reveals that we need to consider the context and purpose of implementing agroforestry systems when evaluating water quantity impacts, as they may not necessarily be “beneficial” from a source water protection standpoint. As with other agricultural BMPs, empirical evidence that directly addresses agroforestry and downstream or larger-scale water quantity impacts via changes in runoff or infiltration is again missing.

It is noteworthy that the impacts of agroforestry on hydrology may resemble those in forests and forested catchments, such as (1) the trade-offs between positive impacts (e.g. increases in baseflow or reduction in runoff peak) due to enhanced soil water recharge and infiltration on the one hand, and negative impacts (e.g. reduced baseflow or decreases in soil water reserves) on the other hand due to the higher water use of trees and evapotranspiration, or (2) the hydrologic responses to rainfall at the catchment level (Rodríguez-Blanco et al. 2012; Palleiro et al. 2014) (discussed in the earlier section of this document).

In theory, grass and forest buffer strips in agricultural landscapes can affect water quantity via reduced runoff and/or increased infiltration and soil water storage. As noted earlier, the studies on buffer strips reviewed focus primarily on water quality outcomes (e.g. erosion control and sediment transport) (Udawatta et al. 2002; McKergow et al. 2004; Anderson et al. 2009; Asam et al. 2012; Hernandez-Santana et al. 2013). As a result, changes in runoff or infiltration generally have not been linked to impacts on flow regime or other water quantity provisions of interest further downstream. One modeling study from the UK demonstrated the potential flood reduction benefits of riparian buffers (Gao et al. 2016).

Our review found a small number of modeling studies related to groundwater recharge. Two studies in India demonstrated that agricultural BMPs, including *in situ* rainwater conservation, irrigation management and modifying rice-wheat areas, could stabilize the water table and sustain groundwater recharge (Ambast et al. 2006; Dourte et al. 2014). But these studies also questioned the potential effectiveness of conservation agriculture in rice-wheat systems for reducing groundwater depletion (Balwinder-Singh et al. 2015). Another study modeled groundwater recharge under various agricultural

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theoretical; and Ghazavi et al. (2008) evaluated hedgerow buffer strips and their influence on soil-water dynamics and groundwater recharge at the local scale in France.

BMP implementation scenarios in the U.S. Midwest and estimated an increase in groundwater recharge between 23 and 36% (Legge et al. 2013).

For flood reduction, while a number of studies pointed out such potential due to decreased surface or overland runoff volumes, it is also clear that changes at the plot- or field-scale will not necessarily lead to a reduction in flooding downstream. It is critical to evaluate the effect of agricultural BMPs on flood peaks, in terms of their size, duration and timing (O’Connell et al. 2007; Deasy et al. 2014).

### *Ranching BMPs*

Ranching BMPs may affect water quantity at the watershed scale by altering vegetation and soil properties. Similar to agricultural BMPs, empirical evidence on the impacts of ranching BMPs is heavily skewed towards soil hydrologic properties (changes in infiltration and runoff) or water quality (Gilley et al. 1996; Webber et al. 2010; Teague et al. 2011; Pilon et al. 2017), and studies evaluating watershed-scale hydrologic impacts are lacking. We found one modeling study that simulated the long-term wet and dry season hydrologic impacts of different grazing management practices in a watershed in north central Texas and identified water conservation and flood risk reduction benefits resulting from multi-paddock grazing (Park et al. 2017). Another case study, while not directly focusing on the impact of ranching BMPs, evaluated long-term trends in streamflow from large rangeland watersheds in central Texas, and suggested that improved range conditions may reduce stormflows via improving soil infiltration (Wilcox et al. 2008). However, the authors also concluded that, for many semiarid rangelands, large-scale shrub clearing (not necessarily a BMP) in combination with sound range management will not lead to significant, if any, increases in streamflow.

### *Fire risk management.*

Impacts of prescribed forest thinning—one type fire risk management—on runoff, baseflow or water supply can be inferred from existing knowledge on forest hydrology and thinning as a forestry practice (Bent 2001; Dung et al. 2011, 2012; Sun et al. 2015; Gokbulak et al. 2016). No empirical studies on thinning for the purpose of reducing wildfire risk and restoring forest health were identified through this review. One study noted that “any impact of forest thinning on water supply in Central Arizona is considered by the USDA to be an incidental benefit of management. Nevertheless, it is potentially important” (Simonit et al. 2015). Two modeling efforts simulated the impact of the Four Forest Restoration Initiative in Arizona (with the goal of mitigating fire risk through forest thinning) on the long-term water balance, and showed both risks and benefits in terms increasing annual water yield and altering reservoir sedimentation rates (Simonit et al. 2015; Moreno et al. 2016).

### *Road management*

The literature (empirical studies, modeling, and review) on the impacts of roads on water quantity—including surface runoff and peak flows—is relatively limited, focused primarily on forested lands in North America (e.g. Thomas & Megahan 1998, 2001; Jones et al. 2000; Jones & Grant 2001; Foltz et al. 2009; Dymond et al. 2014; Wesemann et al. 2017). Studies on linkages between road management practices and hydrologic benefits are even more scarce and geographically limited (Luce 1997; Switalski et al. 2004; Kolka & Smidt 2004; Lloyd et al. 2013). Most evidence reviewed focused on soil hydraulic properties or changes in infiltration and runoff, but did not link these improvements to flow changes at

watershed scale. One review paper considered different road removal techniques and identified critical knowledge gaps including a lack of evidence on the impact of road removal on natural stream and floodplain function restoration (Switalski et al. 2004). The importance of topographic and geologic contexts was also highlighted (Switalski et al. 2004; Al-Chokhachy et al. 2016).

Overall, within the context of forest hydrology and discussions on the role of soil, there seems to be a reasonably clear theoretical pathway between road management and the potential benefits to flood reduction (that is, in forested lands, activities that enhance soil water recharge and infiltration may lead to potential reduction in runoff peak, and flood mitigation further downstream). However, as with other source water protection activities, empirical evidence on the connections between changes in infiltration or runoff and downstream water quantity is largely unavailable.

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## Agricultural practices and crop yield

### To what extent can specific agricultural best management practices result in crop yield gains or cost reductions?

#### *Conservation agriculture*

Conservation Agriculture (CA) has three principles, namely minimal soil disturbance/conservation tillage/no-till, permanent soil cover/residue retention (with crops, cover crops, or a mulch of crop residues) and crop rotations—encapsulating a wide variety of agriculture practices (as defined by FAO). While we attempted to disambiguate findings on individual practice as opposed to practices in combination, often it was challenging to do so given the inter-dependency of activities like mulching and tillage.

Besides empirical studies at the experiment field level, a number of recent reviews and meta-analyses summarized empirical studies across regions and continents. For example, we found reviews on CA in Zimbabwe (Mashingaidze et al. 2012; Mafongoya et al. 2016), Africa (Giller et al. 2009), Central Asia (Kienzler et al. 2012), Australia (Kirkegaard et al. 2014), Sub-Saharan Africa and South Asia (Brouder & Gomez-Macpherson 2014; Palm et al. 2014; Stevenson et al. 2014), and at the global-scale (Rusinamhodzi et al. 2011; Scopel et al. 2013; Pittelkow et al. 2015a). In the scientific literature, there is agreement that evidence concerning crop yield outcomes using CA is highly context-dependent, with mixed results—yields are generally lower, but variations are significant depending on conditions and factors.

Examples of key literature:

- Brouder & Gomez-Macpherson (2014) assessed the quality of reviews studying the impact of CA on smallholder crop yield in Sub-Saharan Africa and South Asia from 1993 to 2012, collected empirical evidence on different crop types, and identified knowledge gaps (insufficient data, lack of rigor, etc.).
- Pittelkow et al. (2015a) conducted a comprehensive global-scale meta-analysis of 610 studies (across 48 crops and 63 countries), showing the general direction of impact (reduced yield reductions) but also highlighting important nuances. For instance, when combined with residue retention and crop rotation, the negative impacts of no-till can be minimized.
- Giller et al. (2015) reviewed the evidence base for CA and argued that many of the claims made for CA were not supported by science, even in large-scale agriculture (both crop yield and economic costs and benefits were included in the review). Their analysis suggests an increasing trend in pragmatic adoption on larger mechanized farms, while limited uptake of CA by smallholder farmers in developing countries due to the lack of resources.
- An OECD report also provided a comprehensive review of soil and water conservation practices, focusing on CA in particular (OECD 2016). Several economic studies are included, suggesting a small cost advantage over conventional soil farm practices (5-10%) on average, although results vary widely across sites, depending a soil and crop types, and/or in developed versus developing

countries. This review also suggested that yields generally decreased under soil and water conservation practices, but increased under rain-fed agro-systems in dry climates.

For no-till/zero-till/reduced tillage/conservation tillage, either as a stand-alone practice or as an integral part of CA, our review found a large body of literature that specifically looked at its impact on crop yield. Examples include studies from Brazil (Bolliger et al. 2006); North America (Toliver et al. 2012; Ogle et al. 2012); Europe (Van den Putte et al. 2010); North America and Europe (Cooper et al. 2016); China (He et al. 2010; Huang et al. 2015; Zhao et al. 2017); and globally (Pittelkow et al. 2015b). Pittelkow et al. (2015b) extended the dataset used in the earlier review of CA (Pittelkow et al. 2015a) to 678 studies representing 50 crops and 63 countries, employing a more expansive definition of no-till compared to CA. These meta-analyses also identified factors influencing the overall yield response to no-till.

For cover crops and related practices (residue retention, mulching, etc.), fewer studies were found beyond the context of CA (e.g. China, crop residue retention on rice yield: Huang et al. 2013; North America, winter cover crops: Marciello & Miguez 2017; Northern Europe: Valkama et al. 2015; global, but focusing on legume companion plants: Verret et al. 2017).

Global scale meta-analyses, often showing an average yield decrease under CA practices, have constraints on predictive power at a regional scale. Nonetheless, these studies provide helpful information on factors (including climate, soil, crop type, crop management practices, etc.) contributing to yield gaps. The higher methodological bar imposed for including studies in meta-analyses means that poorly documented studies are excluded, and this in turn can produce geographic and other biases.

### *Agroforestry*

Agroforestry is an increasingly prominent example of a working landscape practice that can provide multiple economic, cultural and ecological benefits. Compared CA, studies and reviews on the yield or economic benefits are more diverse, and include documented changes in biodiversity and/or ecosystem services (ES) provision (such as soil erosion control, soil fertility, or biomass production) in addition to changes in yields. For instance, several studies<sup>10</sup> looked broadly at tradeoffs among biodiversity, ES and crop yield or income (e.g. Steffan-Dewenter et al. 2007; Clough et al. 2011; De Beenhouwer et al. 2013; Torralba et al. 2016); while other studies measured how changes in pollination services or pest control services affect crop yield or household income in agroecosystems.

A small number of empirical studies documented direct effects of agroforestry on crop productivity but, due to the limited number of observations and their geographic diversity, it is impossible to infer a general direction of impact. Similar to CA, effects are context-dependent and influenced by the type of agroforestry system. A few examples are given below:

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<sup>10</sup> Study findings include: bats and birds may increase crop yield in Indonesian cacao agroforestry (Maas et al. 2013); increases in species richness may indirectly increase household income (Cardozo et al. 2015); and pest-suppressive crop diversification in agroecosystems (intercropping, inclusion of flowering plants, etc.) may interfere with crop production and reduce yield (Letourneau et al. 2011).

- Fertilizer tree systems were developed in Africa to build soil organic matter and fertility. Cases from southern Africa (Malawi, Tanzania, Mozambique, Zambia, and Zimbabwe) showed promising results, leading to increases in maize yield (Akinnifesi et al. 2008; Ajayi et al. 2011).
- Highly diverse, dense cacao agroforestry may generate greater yields, cash incomes and household benefits through product diversification in Central America (Cerda et al. 2014); timber yield from smallholder agroforestry systems (silvopastoral, coffee, cacao, and living fences) may also be profitable if management practices were improved in Honduras and Nicaragua (de Sousa et al. 2016).
- In central Ethiopian highlands, while Eucalyptus boundary plantations reduce crop (tef and wheat) yields, timber products may compensate for yield reductions (Kidanu et al. 2005); on the south coast of Western Australia, Eucalyptus agroforestry to reduce salinization risk revealed mixed results in terms of crop and pasture production as well as economic returns (Sudmeyer & Simons 2008); in the eastern Himalayas, nitrogen-fixing alder in cardamom cultivation increased production and yield through accelerated nutrient cycling (Sharma et al. 2008).

### *Other BMPs*

A few other studies looked at collections of practices that include but are not limited to agroforestry, CA, or integrated nutrient management (e.g. Pretty et al. 2006; Sileshi et al. 2008; Bayala et al. 2012), showing examples of both crop yield increases and decreases.

An OECD report (2016) also reviewed a broader collection of farm management practices including organic farming, integrated pest management, biotechnology, and precision agriculture. The review also observed a variety of empirical and modeling studies on nutrient management, irrigation management, and other practices. Given the expansive number of agricultural practices that may be categorized as “best management practices”, a more targeted literature review would likely better identify gaps for specific BMPs.

### *Beyond yield*

Yield increases are not the only motivator for farmer adoption of agricultural BMPs. For CA, the potential for reduced costs—such as fuel savings—may help drive adoption. However, these benefits may be limited for smallholders (Giller et al. 2015). On the contrary, labor costs may be a limiting factor for the adoption of agricultural BMPs (Giller et al. 2009; Rusinamhodzi 2015). Reviews of on-farm economics suggest high heterogeneity (Mercer 2004; Montambault & Alavalapati 2005; Andersson & D’Souza 2014, 2014; Corbeels et al. 2014; Pannell et al. 2014). Our review also found a growing body of literature in regard to uncertainties around crop yield gains and labor requirements concerning CA in smallholder agriculture, especially in Africa (Giller et al. 2009; Andersson & D’Souza 2014; Cheesman et al. 2017).

In addition to the annual impacts of agricultural BMPs, it is also necessary to consider longer-term outcomes, especially for farms with relatively poor soils where the comparative costs of erosion can be greater (particularly in locations with less topsoil where yield decreases from soil loss can occur sooner). Hypothetically, despite possible near-term crop yield reductions from adopting CA (compared to conventional farming), reduced soil erosion over a longer time horizon (e.g. 20 years) could actually

result in higher net yields over time. However, such long-term, indirect benefits may be relatively hard to appreciate from a farmer livelihood point of view.

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## Impacts of anthropogenic change: climate and land use

### **What are the expected relative magnitudes of contributions to hydrologic outcomes from anthropogenic climate change as compared to land use/land cover change?**

#### *Study characteristics*

There is a growing body of literature comparing hydrologic impacts attributable to climate change and land use change—nearly two-thirds of identified studies (20 of 33) were published in the last 5 years. The existing literature generally comprises two primary types of studies: retrospective and prospective, each accounting for roughly half of identified publications. Most (25) studies assessed streamflow (annual or sub-annual discharge) as a primary outcome of interest. Sediment (6) and groundwater recharge (2) were the next most commonly investigated outcomes. Other outcomes (6) included nutrient loads, temperature, BOD, and instream habitat condition.

Retrospective studies attempt to model historical outcomes, and then use these validated models to identify the relative contributions of climate versus land cover variables through a variety of approaches. Prospective studies similarly develop validated models to predict outcomes, but additionally incorporate one or more future scenarios of climate and/or land use change.

When assessing these studies in aggregate, there are important considerations related to scale: both temporal and spatial. Both retrospective and prospective studies varied in the time periods investigated. Retrospective studies generally considered mid-20<sup>th</sup> century to recent modern times, but at least two studies considered time periods extending to the end of the 19<sup>th</sup> century (Owens & Walling, 2002; Yang et al., 2015). Similarly, prospective studies demonstrated considerable variability in defining time periods for future conditions. Some studies considered conditions (that are presently) just a few years away (2020) (Combalicer & Im, 2012; Kharel et al., 2016; Trisurat, Eawpanich, & Kalliola, 2016), while others evaluated potential end of 21<sup>st</sup> century conditions (Chung, Park, & Lee, 2011; Ma et al., 2014; Montenegro & Ragab, 2012; van Roosmalen, Sonnenborg, & Jensen, 2009; Woltemade & Hawkins, 2016). For prospective studies, additional variability concerns the selection of future scenarios (climate and land use) for evaluation.

Even greater variability was observed in terms of the study area of interest. Watersheds ranged in size from just 35 km<sup>2</sup> to 2.8 million km<sup>2</sup> (median ~2,000 km<sup>2</sup>). Importantly, the influence of different drivers of hydrologic change can vary across different spatial scales (DeBano et al., 2016; Yang et al., 2015). In terms of geographic representation, watersheds in China accounted for the largest number of identified studies (14). The United States (7) and Europe (5) held the next highest representation within surveyed literature. While Latin America only accounted for two studies (Brazil and Argentina), it is important to note that our search was restricted to English language results. Only a single study with direct relevance was identified within Africa (Legesse, Vallet-Coulomb, & Gasse, 2003).

Recognizing this variability in study design (in terms outcomes, time periods, and spatial extents, among others) is critical for assessing the interpretability of study findings in aggregate.

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