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Impoverishing roots will improve wheat yield and profitability through increased water and nitrogen use efficiencies

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Key Points:

- Improved water and nitrogen use efficiencies were modeled when optimizing root radius and root:shoot carbon transfer conductance
- Optimizing root traits could improve wheat yields and profits without considerable nitrogen losses via nitrate leaching and N_2O emissions
- These optimized root traits imply some loss of resilience to environmental stressors, such as drought

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Abstract

² More than a 60% increase in crop production is required by the 2050s to feed a grow- ing world population. Understanding how plant functional traits and field management affect crop yields has the potential to improve agricultural productivity, minimize eco- nomic and environmental losses, and maximize food security. We explored the influence of winter wheat root characteristics and management on winter wheat growth, yield, and profit using a mechanistic and well-tested ecosystem and crop model, ecosys. We applied and further tested ecosys at an agricultural farm growing winter wheat in Ardmore, Ok-9 lahoma, United States. The model accurately predicted observed shoot carbon $(R^2=0.95)$, 10 soil moisture $(R^2=0.67)$, soil temperature $(R^2=0.91)$, and yield (percent error=17%). Numerical optimization experiments were conducted to explore potential improvements of winter wheat yield and profit by modifying root characteristics, including root radius and root:shoot carbon transfer conductance, and fertilizer inputs. Our results show the potential for simultaneously improving winter wheat yields and profits. The optimum conditions were found to be in the range of root radius between 0.1-0.3 mm, carbon trans-¹⁶ fer conductance between 0.004-0.01 h⁻¹, and the currently-applied fertilizer rate of 112 17 kg ha⁻¹. Under these conditions, improvements in yields and profits of up to approx- imately 25% and 110%, respectively, were modeled compared to those under baseline root traits. These improvements were achieved by impoverishing root structures, thereby in- creasing nutrient allocation to grains. Our results also demonstrate and motivate model structures that integrate the complex network of plant physiology, soil nutrient biogeo-chemistry, hydrology, and management.

Plain Language Summary

 To meet projected food demands for a growing world population, crop yields need to be doubled by the 2050s. Although aboveground crop traits have been widely stud- ied to improve crop yields, the "invisible" part of the crop, root systems, is not well stud- ied. In this study, we performed a numerical optimization of root traits (such as root ra- dius and carbon transfer conductance between shoot and root) and fertilizer application rate using a well-tested coupled ecohydrological and biogeochemical model. We found ³⁰ that engineering deeper wheat root structures could improve yields and profits by 25% and 110%, respectively, compared to the present day without additional fertilizer inputs. These improvements were accompanied by almost no change in nitrogen losses via sur- $\frac{3}{33}$ face N₂O fluxes, indicating that the optimized root traits were an environmentally friendly option to meet future food demands.

1 Introduction

 G lobal agriculture in the $21st$ century will face multiple challenges to feed an ex- panding population (Gerland et al., 2014; Porkka et al., 2017). Meeting this demand for food while ensuring economic, environmental, and societal sustainability is a critical so- cietal need (Godfray et al., 2010). The world population is projected to reach 9.8 bil- lion in the 2050s, a nearly 2.4 billion rise from 2015 (Population Division of United Na- tions, 2017). This growth implies that agricultural productivity may need to improve by 60 to 100% to meet this increasing demand (FAO, 2009; Tilman et al., 2011). Pre- vious studies have shown that an increase in agricultural land is possible if we convert forests and/or wasteland into productive land (Phalan et al., 2011; Fan et al., 2012; Hulme et al., 2013; Zabel et al., 2014; van Ittersum et al., 2016). However, neither of these op- tions is optimal due to the need to conserve ecosystem services for tackling climate change ⁴⁷ and protecting biodiversity (Godfray et al., 2010; Foley et al., 2011). In view of these ⁴⁸ limitations, 21st century food security is one of the most difficult tasks that humans have faced. However, there have been tremendous improvements in crop productivity from adopting and developing more efficient and sustainable management practices, plant breed ing, and transgenic crops (Miflin, 2000; Lobell et al., 2008; Bajzelj et al., 2014; Drewry et al., 2014). Such options allow society to address multiple challenges without sacrific-ing environmental and health assets.

 During the past decades, a dramatic increase in synthetic nitrogen fertilizer pro- duction and application has contributed to improvements in crop productivity and thus alleviation of hunger (Erisman et al., 2008; Lu & Tian, 2017). Concurrently, precision agricultural practices have been devised and crops have been genetically engineered to achieve greater yields through an improvement in water and nitrogen use efficiency (Koziel et al., 1993; Karp et al., 1997; Linquist et al., 2013; Geng et al., 2015; Lopes et al., 2018; Woo & Kumar, 2017, 2019). In general, wheat genotypes with deeper roots require a rel- atively smaller amount of nitrogen fertilizer for their growth due to physiological advan- tages in uptaking water and nitrogen (Oyangi, 1994; Foulkes et al., 2011; Cormier et al., 2016). In addition, there has been a gradual decrease in root biomass of wheat varieties introduced over the last 50 years to increase yields by reducing nutrient allocations to root growth (Aziz et al., 2017).

 Crop yield maximization has been widely used and supported (Vandermeer, 1998; Prasad et al., 2002; Islam. & Talukdar, 2014; Tripathi et al., 2016; Wang et al., 2017). In practice, however, the demand for greater yield is complicated by concurrent economic 69 challenges (Pannell, 1999; Vico & Porporato, 2011; Doi & Pitiwut, 2014). That is, max- imization of wheat yields does not necessarily guarantee economic benefits to farmers, π thereby not encouraging them to adopt the optimized cultivar and management prac- τ_2 tices in a timely manner. This conflict is in part due to the high cost of nitrogen fertil- izers (Edgerton, 2009; Vercruyssen et al., 2015) and weather fluctuations (Lobell et al., 2011; Frieler et al., 2017), which elevate uncertainty of operational costs and revenue as- sociated with crop productivity (Pannell, 1999; Kihara et al., 2016). Therefore, a holis- tic approach to the improvement of both wheat yields and profitability is necessary to π improve efficiency of innovation adaptation and reduce negative environmental conse- quences. There are a few studies that proposed wheat yield optimizations from an eco- nomic perspective (e.g., Zhang et al. (1999); Gandorfer and Rajsic (2008); and Malve et al. (2016)). However, a complete evaluation of fertilizer amounts and costs, simulta- neous optimization of root structural and functional characteristics for improving wheat yields and profitability, and their environmental sensitivity and consequences, is lack-ing. Performing such an evaluation is the goal of this study.

 Wheat is one of the most widely grown cereal crops (along with rice and maize) in terms of global production, providing approximately 20% of calories and protein re-⁸⁶ quired by the world population (Gill et al., 2004). In particular, it is the most impor- tant food crop cultivated in and exported to developing countries as the first sources of protein (Braun et al., 2000). By 2050, wheat production will need to increase by at least 60% to mitigate risks of food shortages in low-income countries (Rosegrant & Agcaoili, 2010). The process by which wheat productivity is optimized therefore affects the qual- ity and protection of human health. In this context, exploring the potential of improv- ing wheat productivity and profitability will play a critical role in supporting the grow-ing demand for plant-based food.

 As noted by Herder et al. (2010), most previous genetic studies have focused on the impacts of aboveground plant traits, such as leaf angle (Araus et al., 1993; Lonbani & Arzani, 2011), leaf albedo (Drewry et al., 2014), and specific leaf area (Richards., 2000; Rebetzke et al., 2004; Sieling et al., 2016), on wheat productivity. The "invisible" part of the crop, root systems, has not been not well studied in recent research. In this con- text, we have examined whether winter wheat could be restructured to improve grain production under different crop management practices while increasing overall profit. In particular, we address the following questions: (1) which, and to what extent, can root traits be engineered to optimize yields?, (2) how much fertilizer does the engineered cul-tivar require?, and (3) how do trait optimizations for yield and farmer profit differ? To

 explore these questions, we further tested and then conducted numerical optimization experiments with a well-tested coupled ecohydrological and biogeochemical crop model, ecosys. We varied (1) two root characteristics (root radius and carbon transfer conductance between root and shoot) and (2) fertilizer application rates. By taking advantage of this well-established and widely-validated model that has been tested across space and time (Grant., 1991; Grant et al., 1995, 1999, 2011; Webber et al., 2017; Mekonnen et al., 2018; Woo et al., 2020), we attempt to uncover novel insights into the potential of en- gineering wheat root traits for improving productivity and profitability and thus inform breeding programs.

2 Materials and Methods

2.1 Model testing sites

 To assess the robustness of model predictions, we compared model results with ob- servations available at site and regional scales. This validation procedure aims to build confidence in conclusions drawn by numerical optimization experiments conducted in this study.

2.1.1 Site level observations

 The main study site is an active experimental farm in Ardmore, Oklahoma, United States $(34° 11' 8.88'' N, 97° 5' 12.48'' W)$. The soil type is clay loam with a pH of 5.9. Soil cores with a 0.05 m diameter and 1 m length were sampled to measure bulk density. Long-term average annual precipitation and temperature are 960 mm and 17 $^{\circ}$ C, respectively. This site experiences considerable seasonal variations in both precipitation and temperature driven by the polar and subtropical jet streams. The precipitation dis- tribution throughout a year typically has peaks in late spring and early fall (Eddy, 1982). 127 The average daily temperature ranges between $0 °C$ in winter and $28 °C$ in summer. Over the past 25 years (1994–2018), hourly weather forcing data to run the model (i.e., pre- cipitation, air temperature, incoming solar radiation, humidity, and wind speed) were collected from a local weather station from Weather Underground and the National So-lar Radiation Database.

 We conducted two growing seasons field experiments from 2016 to 2018; (i) 2016- 2017 (hereafter referred to as the 2016 season); and (ii) 2017-2018 (hereafter referred to as the 2017 season). In the 2016 season, winter wheat (Duster) was planted on October 30 and in the 2017 season it was planted on October 10. A disked-tillage treatment was applied to a depth of 0.1 m for plow tillage in September during both seasons. To meet nitrogen requirements for winter wheat production, 56 kg N ha⁻¹ nitrogen fertilizer was applied twice in October as pre-plant urea ammonium sulfate and in January as a broad- cast application. Aboveground and belowground biomass was sampled five times dur- ing the two growing seasons and used to estimate winter wheat carbon contents per unit ₁₄₁ area for model testing. Shoot biomass was measured on $1/30/2017$, $1/1/2018$, and $3/7/2018$, ¹⁴² and top 0.25-m root biomass was measured on $1/30/2017$ and $4/11/2018$. The shoot biomass was measured after leaf emergence and 8-weeks after that. To monitor the temporal vari- ations of soil moisture and temperature, ten Decagon 5TE sensors were sparsely installed at 0.3 m depth in October 2017. No irrigation, insecticide, or fungicide were applied dur-ing the two seasons.

 To augment these benchmark observations for further model evaluation, we obtained observed aboveground carbon stocks of winter wheat grown in Ponca City, Oklahoma from 1998 to 2000 from published experimental data (Kocyigit & Rice, 2004). Our model validation using the same wheat cultivar (Duster) from an adjacent region and period demonstrates that the model simulations of phenomenological behavior and biomass dy-namics are robust for soils, climate, and crop types in the region.

¹⁵³ 2.1.2 Regional scale observations

 The purpose of validation exercises at the regional scale is to establish whether pro- cesses governing modeled crop yields associated with parameters used in this study al- low for a reasonable agreement with spatially distributed yields. In Oklahoma, there are five agricultural districts (Northwest, Southwest, Central, Northeast, and Southeast) clas- sified based on similar agricultural characteristics, such as soil fertility, fertilizer appli- cation rates, and flowering time, to allow comparisons of heterogeneous agricultural pro- ductivity. Our main study site, Ardmore, belongs to the Central agricultural district. Therefore, winter wheat grain yields available from the agricultural region for the last 20 years (1998 to 2017) from the National Agricultural Statistics Service (NASS) were obtained and compared with model predictions. Here, to convert unit of measure from bushels acre⁻¹ to g m⁻², we used a unit convertion factor of 6.725 for wheat based on Weiland and Smith (2013).

¹⁶⁶ 2.2 *Ecosys* model description

¹⁶⁷ 2.2.1 General overview

 Ecosys is a sub-hourly time-step ecosystem model, coupling ecohydrological and biogeochemical dynamics by solving coupled relationships between energy, water, car- bon, nitrogen, and phosphorus dynamics of multi-layer plant canopies and soils. This model is designed to represent terrestrial ecosystems ranging from natural to managed systems and has been widely applied across different climate regions and vegetation types μ_{173} in over 90 publications(e.g., Grant. (1991), Grant et al. (1995, 1999, 2011), and Webber et al. (2017)). This model has been applied to and validated for wheat growth and as- sociated nitrogen dynamics, including N2O emissions, in several agricultural systems (Grant., 1991; Grant et al., 1995, 1999, 2011; Webber et al., 2017). Below, we briefly describe rel-₁₇₇ evant key equations and algorithms associated with root, nutrient, and water dynam- ics. A detailed description of inputs, parameters, and algorithms used in ecosys is pro- vided in Grant (2013). A schematic diagram of the model is presented in Figure A1 in the Appendix. The model, parameters, drivers, and outputs used in this study are placed in an online repository (https://github.com/dwoo5/ECOSYS). Readers that wish more detailed descriptions of the processes are referred to the Supplemental Material in Grant $183 \t(2013).$

184 **2.2.2 Root growth**

¹⁸⁵ Root growth: The root system in ecosys is represented with two main root types: ¹⁸⁶ vertical primary and horizontal secondary roots growing from different stem nodes of each ¹⁸⁷ plant functional type (Grant, 1998). The distribution and amount of roots control the ¹⁸⁸ dynamics of plant O_2 , water, and nutrient uptake (Grant., 1991; Grant, 1993b, 1993a), ¹⁸⁹ and thus influence plant growth processes, such as photosynthesis, respiration, and tran-¹⁹⁰ spiration. Here, we briefly describe the overall algorithmic structure of the primary root growth implemented in the model. The biomass of the primary root $(M_r, g m^{-2})$ is estimated by combining its growth respiration $(R_G, g m^{-2} h^{-1})$, specific growth respiration $(R_g, g g^{-1})$, and senescence $(R_d, g m^{-2} h^{-1})$:

$$
\frac{\partial M_r}{\partial t} = R_G \frac{1 - R_g}{R_g} - R_d \tag{1}
$$

where

$$
R_G = \begin{cases} R_T f_{\psi}, & \text{if } R_T f_{\psi} \le \frac{J_s}{\sum J_s} R_g f_{np}. \\ \frac{J_s}{\sum J_s} R_g f_{np}, & \text{otherwise.} \end{cases}
$$
(2)

194 R_T is total root respiration under no water limitation (g m⁻² h⁻¹); f_{ψ} is a water con-

195 straint affected by root water potential, turgor pressure, and soil resistance (MPa); J_{s}

196 is root conductance to carbon, nitrogen, or phosphorus; f_{np} represents a nitrogen or phos-¹⁹⁷ phorus constraint for the root growth respiration:

$$
f_{np} = \begin{cases} \frac{Z_n}{C_n(1-R_g)}, & \text{if } \frac{Z_n}{C_n(1-R_g)} \le \frac{Z_p}{C_p(1-R_g)}.\\ \frac{Z_p}{C_p(1-R_g)}, & \text{otherwise.} \end{cases} \tag{3}
$$

where Z_n and Z_p are nitrogen and phosphorus storages in root, respectively (g m⁻²); and C_n , and C_p are nitrogen and phosphorus concentrations maintained by root biomass, respectively $(g\ g^{-1})$. I.e., the respiration rate of primary root growth is constrained by ²⁰¹ water, carbon, nitrogen, and phosphorus content.

²⁰² Root:Shoot nutrient transport: The flux of nutrient movement between roots and shoots $(F_{sr}, g \text{ m}^{-2} \text{ h}^{-1})$ for their growths is driven by the concentration gradient (Brugge ²⁰⁴ & Thornley, 1985):

$$
F_{sr} = g_c \frac{\sigma_b M_r - \sigma_r M_b}{M_r + M_b} \tag{4}
$$

²⁰⁵ where g_c is a nutrient transfer conductance between root and shoot (h^{-1}) ; σ_b and σ_r are non-structural carbon from $CO₂$ fixation or non-structural nitrogen or phosphorus from root uptake in branches and roots, respectively (g g^{-1}); and M_b is the branch biomass $_{208}$ (g m⁻²). In general, the direction of carbon transfer occurs from shoots to roots while nitrogen and phosphorus transfers occur in the opposite direction. The amount of ni- trogen and phosphorus in leaves affects the $CO₂$ fixation rate from sunlit and sun-shade leaf surfaces (Grant, 2013). On the other hand, the amount of carbon in roots influences the rate and pattern of water and nutrient uptake from the soil (Grant, 1998).

²¹³ 2.2.3 Soil water and nutrient transport

²¹⁴ *Surface water*: Precipitation $(P, m^3 m^{-2} h^{-1})$ is separated into four components: surface water ponding $(d_w, m^3 m^{-2})$, surface water runoff $(Q_r, m^3 m^{-2} h^{-1})$, evapora-216 tion (E, m³ m⁻² h⁻¹), and infiltration (Q_w , m³ m⁻² h⁻¹):

$$
\frac{\partial d_w}{\partial t} = Q_r + P - E - Q_w \tag{5}
$$

where

$$
Q_r = \left(R^{0.67} \frac{s_r^{0.5}}{z_r} \right) d_m L \tag{6}
$$

where the equation in parentheses represents runoff velocity $(m h^{-1})$, which is estimated $_{218}$ using the ratio of cross-sectional area to perimeter of surface flow (R, m) , slope of channel side during surface flow $(s_r, m m^{-1})$, and Manning's roughness coefficient $(z_r, m^{-1/3})$ 219 ²²⁰ h). The surface water runoff is calculated as the product of runoff velocity, and depth d_{m} , m) and width (L, m) of mobile surface water.

²²² Subsurface water: The variables predicted from the subsurface water dynamics, such as subsurface water fluxes and soil moisture, are used to drive plant phenological and biogeochemical dynamics directly through the effect of water on carbon uptake and de- composition and indirectly through the effect of water on nitrogen uptake and soil tem- perature. The subsurface moisture flow is modeled using Richards' equation (Richards, $_{227}$ 1931).

 Solute transport: The transport of solutes, such as ammonium, nitrate, and dihy- drogen phosphate, in soil media, is modeled using the advection-dispersion equation (Grant, 2013). The diffusivity is estimated as a function of water-filled porosity, tortuosity, and soil temperature.

2.3 Simulation protocol

 To minimize the influence of initial soil water, temperature, nutrient, and vegeta- tion conditions on model predictions, we performed a 50 year spin-up prior to 1998 with the same wheat crop and fertilizer management as during the experiment. Since observed weather data is unavailable for the spinup period before 1993, we used a stochastic weather generator (Fatichi et al., 2010) with parameters estimated based on the observed 25 years of weather data, including precipitation, temperature, humidity, wind speed, and solar radiation (Figure A2). The stochastic weather generator produced hourly metrological variables that were statistically equivalent to observed weather input data. Soil and wheat parameters used in this study were obtained from previous experimental and numeri- cal studies (Table 1). Other parameters not listed in Table 1 were obtained from pre- vious wheat studies and default values (Grant, 1998, 2013; Grant et al., 2011). The up- per boundary condition at the top of the canopy is formulated by weather forcings while the lower boundary condition at the bottom of the soil is set as a partially permeable layer assuming 10% free drainage flux. Capillary rise from the layer beyond the bottom is ignored.

3 Results

3.1 Model performance

 We first compared the model responses with observed data available for shoot car- bon, root carbon, soil moisture, and soil temperature at site levels. The model accurately predicted observed soil moisture and temperature, and shoot and root carbon over the model validation period from 1998 to 2018 (Figure 1a,b). The predicted aboveground 254 carbon closely matched observed trends in 1998, 1999, 2000, 2017, and 2018 $(R^2=0.95;$ Figure 1c). Although root carbon stocks were measured only one time per year, the pre-dicted biomasses matched very closely with the observations (Figure 1d).

 At the regional scale, we conducted a comparison between mean observed NASS 258 Central agricultural district and modeled Ardmore grain yields from 1998 to 2017 (R^2 =0.36; Percent Error=17%; Figure 1e). A possible explanation for the gap between predicted yields and the NASS survey-reported yields is that the NASS survey data are spatially- averaged yield data over variations in multiple winter wheat cultivars (more than 40 cul- tivars), soil types, topography, and fertilization application rates. Despite these differ- ences between observed and modeled conditions, more than 75% of the predictions fell within the range of the observed data. In general, the modeled results agree well with the observed data at site and regional scales, providing confidence to use the model to evaluate the influences of root characteristics on winter wheat growth and yield.

3.2 Root traits optimization

 We applied the tested model to examine whether winter wheat could be engineered to improve the amount of grain produced per unit area under present-day crop manage- ment practices and climate conditions. To explore this question, we conducted numer- ical optimization experiments by varying two root characteristics: root radius and car- bon transfer conductance between root and shoot. These parameters were chosen since they are identified as sensitive and important parameters to characterize root systems based on a sensitivity analysis conducted for this model (Grant, 1998). The root radius and carbon transfer conductance were free parameters in the optimization experiments and were allowed to vary within the range 0.05-1 mm and 0.002-0.04 h^{-1} , respectively. These ranges were determined based on previous experimental studies (Grant, 1998; Munoz- Romero et al., 2010; Ward et al., 2011; Fricke et al., 2014; Colombi et al., 2017; Dal Cortivo et al., 2017; Liu et al., 2018). To have statistically meaningful and reliable results, we conducted the model simulations for 50 years after model validation by varying (1) root

 radius only, (2) root:shoot carbon transfer conductance only, and (3) all togethor. Weather forcings associated with these numerical experiments were generated based on the 25 years of observed weather data as described in the Methods.

 Independently increasing root radius or decreasing carbon transfer conductance from the baseline values increased modeled winter wheat yields (Figure 2a, b). However, in this single-objective optimization sensitivty analysis, a wide optimization range for the $_{287}$ root radius is observed $(0.5-0.8 \text{ mm})$, indicating that the root radius may not be an im- portant root trait. That is, parsimonious root structures increased wheat yields by im- proving nutrient allocations to grains during grain filling. Overall, the increased yields occurred with relatively parsimonious root structures that allow the crop to allocate more nutrients to grain during grain filling by limiting nutrient allocation to roots. However, excessively poor root structures also lead to water and nutrient-limiting conditions, in- hibiting crop growth and metabolism in some years. We note that a sharp reduction in yield is modeled when each root trait independantly is small (smaller than 0.1 mm root radius and $0.004 h^{-1}$ carbon transfer conductance). That is, the crop with the single- parameter optimized root structures improved grain yields while losing some resilience to environmental stress, such as drought and nutrient deficiency, and increasing the pos-sibility of crossing a threshold from a desirable to an undesirable stable state.

 When the two root chracteristics were simultaneously optimized for optimal win t_{200} ter wheat yields (Figure 2c), the maximum yields $(95th$ percentile) occur in the range of root radius between approximately 0.1-0.3 mm and carbon transfer conductance be- tween 0.004-0.01 h⁻¹. Within the optimized yield cases (red area in Figure 2c, d), the root distribution depth was deeper and root biomass was lower compared to the case un- der baseline root traits (Figure 2e). We also note that a linear superposition of yields arising from the single root trait changes does not lead to the multi-parameter optimal solution. That is, objective functions are partially interdependent and thus they converge to minimal root structures necessary in response to water and nitrogen stress. This ar- gument is also supported by an increase in modeled water and nitrogen use efficiency (de- fined as grain carbon yield per unit water and nitrogen uptake, respectively) under the case for the optimized root traits compared to that for baseline root traits (Figure 3). Using a standard conversion factor to estimate grain protein (Merrill & Watt, 1973; Spitzer et al., 1996), a slight but not significant increase in protein with the optimized root traits \leq 1%) is also modeled due to a corresponding increase in grain nitrogen.

 Inter-annual variability for the optimized yield cases is relatively higher than that for baseline root traits (Figure 4a). To explore the associated dynamics in yield inter- annual variability, we examined the relationship between precipitation and winter wheat yields. We applied the 3-month Standardized Precipitation Index (SPI) (Hao & AghaK- ouchak, 2014) (Figure A3), which is a widely used proxy to characterize the extent of dry and wet conditions in agricultural systems (Guttman, 1998). The magnitude of neg- ative and positive SPIs represents the intensity of drought and wetness, respectively. We found, after dry winter periods (the three months ending in January (SPI-Jan) and Febru- ary (SPI-Feb), winter wheat yields under optimized root traits were higher than under the baseline scenario (Figure 4b, c, A4). Simulations indicate that, in low precipitation $_{324}$ winters, soil nutrient losses are reduced (via leaching and N₂O emissions), allowing the optimized crop to uptake more nutrients due to the greater rooting depth.

3.3 Economic analysis with fertilizer application

 We next explored the effects on winter wheat yields with combinations of primary root radii and root:shoot carbon transfer conductances and fertilizer application rates of 0, 56, 112, 168, and 224 kg ha⁻¹ yr⁻¹ as pre- and post-plant fertilization on the same date as for the previous model experiments. The range of fertilizer application rates was decided based on present-day winter wheat fertilizer application rates in the United States (Mueller et al., 2013), and we chose 0, 25, 50, 75, and 100% of that range for this sen-sitivity analysis.

 As expected, the results show that winter wheat yield increases as the fertilizer ap- plication rate increases within the experimental range (Figure 5a, c). The maximum yields occur under the optimized root traits at each fertilizer application rate (red area in Fig- ure 5a, b). In particular, the consistency and robustness of the optimized root traits are observed and maintained regardless of fertilizer rates.

 Following Vico and Porporato (2011), an economic analysis was performed to an- alyze tradeoffs between yield and economic return. Gross income per unit area can be determined by wheat yield (Y) multiplied by wheat sale price (c_s) plus grazing return G_g (G_g). The cost of wheat cultivation can be classified into two main components in rain-³⁴³ fed agricultural systems: (i) fixed cost per unit area (C_0) for land, seed, insurance, la- bor, and field machinery, and (ii) fertilizer cost that is determined by the amount of fer-³⁴⁵ tilizer applied (F) multiplied by fertilizer sale price (c_f) . That is, profit per unit area (G_n) can be expressed as:

$$
G_n = c_s Y + G_g - C_0 - c_f F \tag{7}
$$

³⁴⁷ Here, for the sake of simplicity, we assume that the fixed cost is not influenced by fer- tilizer amount applied and grazing return is constant. We recognize that more complex economic analyses can be performed, but considering these factors provides a good es- timate of tradeoffs associated with fertilizer application rates and costs. For the param- eterization of the above economic balance for the case of winter wheat, we followed the economic analysis of wheat production in Oklahoma (DeVuyst, 2012) for the fixed cost $_{353}$ (145.2 \$ acre⁻¹) and grazing return (90.45 \$ acre⁻¹). However, we note the wide fluc- tuations of wheat and fertilize sale prices over the last decade. Based on data from the U.S. census (USDA, 2019a, 2019b; Macrotrends, 2019), U.S. wheat sale prices ranged f_{356} from 3.90 to 9.40 \$ bushel⁻¹ and urea fertilizer prices ranged from 0.35 to 0.85 \$ acre⁻¹. Thus, we assumed averaged wheat sale price, 5.8 \$ bushel⁻¹, and fertilizer price, 0.45 358 \$ acre⁻¹, and conducted a sensitivity analysis over the ranges of wheat and fertilizer sale prices as described in Section 3.5.

 We found that economic profitability does not scale linearly with increased wheat productivity resulting from increased fertilizer application rate (Figure 5b, d). Under base-³⁶² line root structures, the maximum profit occurs at the same amount of fertilizer currently applied at the study site (112 kg ha⁻¹ yr⁻¹), to a certain degree consistent with the stag- nation of winter wheat yields since the 1990s (Wiesmeier et al., 2015). Under the opti- mized root structures, the maximum profit does not occur where winter wheat yield is at a maximum because producing at the point of maximum yield requires relatively high quantities of nitrogen fertilizer. Rather, the optimum amount for nitrogen fertilizer from an economic perspective is estimated to also be at the rate currently applied at the study ³⁶⁹ site. Compared to the case for baseline root structures, profit improves by approximately two times under optimized root structures (Figure 5d). We also note that profit under optimized root structures does not increase with additional fertilizer past the optimal $_{372}$ 112 kg ha⁻¹ yr⁻¹ rate.

3.4 Environmental effects

 To explore the environmental effects of the optimized root traits and fertilizer man-375 agement, we quantified gross primary productivity (GPP), autotrophic respiration (R_a) , net primary productivity (NPP), leaf area index, soil organic carbon, and soil organic nitrogen, nitrogen leaching at a depth of 2 m, and soil nitrous oxide (N₂O) fluxes for the maximum yield and profit scenarios (Figure 5e, f, g, and Figure A5). We modeled a de-crease in GPP, R_a , NPP, leaf area index, soil organic carbon, and soil organic nitrogen

 under both scenarios compared to the baseline scenario. These decreases are mainly due to reduced GPP caused by limiting nonstructural nitrogen and phosphorus transfer from root to shoot under the optimized root structures, leading to decreases in photosynthe- sis. However, the optimized root structures allocate more nutrients to wheat grains by not utilizing the resources for root growth. These dynamics are also explained by the 385 increased fraction of GPP that supports R_a under optimized root structures (Figure A5c). In addition, the increased nitrogen fertilizer application rate for the maximum yield case and the improved nitrogen use efficiency for both cases lead to a slight increase in ni- trogen leaching from the system (Figure 5f). Similarly, a slight increase and decrease in soil N₂O fluxes for the maximum yield and profit cases, respectively, were modeled (Fig-390 ure 5g). These N_2O fluxes are about equivalent to releasing and reducing 57 g and 43 β g of CO_2 , respectively. These results indicate that there is a need to account for the en- vironmental costs along with the potential for increasing food production to meet future demand.

3.5 Sensitivity analysis of wheat profit

 We next analyzed the impacts of inter-annual variability in wheat and fertilizer sale prices on wheat profitability (Figure 6a, b). Results for a root radius of 0.1 mm and car- $_{397}$ bon transfer conductance of 0.006 h⁻¹ were presented since the maximum profit occurs with the optimized root structures (Figure 5b). The different combinations of wheat and fertilizer sale prices result in different nitrogen fertilizer requirements to maximize profit. When fertilizer sale prices are higher than present day, a reduction in fertilizer applica- tions becomes more profitable, but with a gradual decrease in revenue. The opposite is true for the case of wheat sale prices higher than present day. In particular, the max- imum profit increases with increasing wheat sale price accompanied by increased appli- cation rates of fertilizer. This relationship occurs because the increase in fertilizer use is offset by increasing gross income due to the high value of winter wheat. However, fer- tilizer use efficiency, which is defined as yield per unit fertilizer input, becomes lower as fertilizer use becomes higher (Figure 6c). At low wheat and high fertilizer sale prices, the maximum profit is achieved when no fertilizer is used. We note that under the as- sumptions of the fixed cost and grazing return, the normal profit (defined as a condition when a farmer's gross income is equal to total cost) occurs at a wheat sale price of 3.1 \$ bushel[−]¹ indicating that a lower wheat sale price may result in a scenario where aban-doning the harvest produces the optimal profit outcome.

⁴¹³ 4 Discussion

 Optimum crop yield depends on maintaining effective coordination between shoots ⁴¹⁵ and roots for plant growth. That is, the growth of shoots should not be sacrificed to de- ficiencies in essential nutrients supplied by root reserves, and vice versa (e.g., Long et al. (1994, 2006); Sinclair and Rufty (2012); and Ortez et al. (2018)). In this view, reduced root growth can lead to an increase in yield, when crops are not subjected to stress such as insufficient soil water and nutrients, due to a functional equilibrium between above- and below-ground utilization of resources (Brouwer, 1962; D. Richards, 1978; Feller et al., 2015). Several previous studies, including in other cereal crops such as maize and rice, have found a concave relationship between grain yield and root dry weight (Fageria et al., 2011; Aziz et al., 2017; Islam et al., 2019). In addition, it has been widely reported that a deeper root system is beneficial for maintaining and improving crop productiv-⁴²⁵ ity through efficient water and nitrogen acquisitions, thereby reducing drought stress and nitrogen deficiency (Dunbabin et al., 2003; Ao et al., 2010; Ju et al., 2015; Li et al., 2016). Consistent with these findings, our results also show that these properties can be achieved by genetically engineering winter wheat root radius and root:shoot carbon transfer con- ductance. We found that the optimum conditions were in the range of root radius between 0.1-0.3 mm, carbon transfer conductance between 0.04-0.01 h^{-1} , and current fer-

⁴³¹ tilizer input rate (112 kg N ha⁻¹). Under these conditions, improvements in yield and profit of 25% and 110%, respectively, were attained compared to those under baseline root traits (Figure 3 and 5). These findings indicate the potential for crop breeding meth-ods to increase yields.

 Plants do not operate at maximum capability because, e.g., they save resources to cope with unexpected environmental stress (Natarajan & Willey, 1996; Lin, 2011; Srini- vasan et al., 2016). For example, Srinivasan et al. (2016) found that a decrease in peak leaf area index of 38% led to an increase in yield of 8% due to a reduction in leaf tissue construction and maintenance costs. Analogously to that study, our results show that improvements in yield were achieved by limiting nutrient allocation to root systems, thereby increasing resource allocation to grains during grain filling. However, we also noted a sharp reduction in yield (from the optimum) with slightly reduced root radius and carbon trans- fer conductance outside of the optimum range, resulting from adverse environmental fac- tors such as drought and nutrient deficiency in some years. That is, improved profitabil- ity was achieved at the expense of losing some resilience of crop productivity. However, precision agricultural practices coupled with improvements in crop breeding and genomics for pest and pathogen resistances have been alleviating such side effects (e.g., Woo and Kumar (2017) and Lynch (2018)).

 An increase in nitrogen fertilizer application often results in crop yield increases by mitigating nitrogen-limited environments in the root zone (Erisman et al., 2008; Lu & Tian, 2017; Ortez et al., 2018). However, the excessive use of fertilizer leads to ele- vated nitrogen losses to receiving water bodies (Li et al., 2010; Radcliffe et al., 2015; Woo & Kumar, 2016; Sinha et al., 2017) and the atmosphere as volatilization (Good & Beatty, 2011), causing consequent environmental degradation and economic losses to farmers (Goulding et al., 2008). These negative consequences occur because only one-third of nitrogen fer-⁴⁵⁶ tilizer applied to the soil is taken up by crops (Raun & Johnson, 1999; Gardner & Drinkwa- $\frac{457}{457}$ ter, 2009; Ciampitti & Vyn, 2014) and fertilizer use efficiency decreases as the use of fer- tilizer increases (Ray et al., 2013). Therefore, the use of nitrogen fertilizer also needs to be considered while meeting the growing demands of plant-based food. In this study, we show that there is potential to simultaneously improve crop grain yields and profits with- out a significant increase in nitrogen leaching by "impoverishing, not enriching", root systems (Figure 5). That is, solely increasing fertilizer applications for yield improve-ment is not a sustainable option to increase crop yields.

 This study considered only a single crop, winter wheat, to explore whether root struc- tures can be redesigned to meet growing global food demands by improving yields and profitability per unit land area. To extend our results in future analyses, we recommend that impoverished root structures be examined further to assess the impacts of climate change, soil properties, and field management on wheat yields. However, our results in- dicate that developing relatively more impoverished root systems will enhance nonstruc- tural nutrient allocations to grains. A recent review paper (Lynch, 2018) also argued that parsimonious root structures were advantageous to improve crop yields in high-input agri- cultural systems. Genetically engineering root radius and carbohydrates transfer con- ductance between shoots and roots should be tested. Therefore, in light of the findings obtained in this study, we conclude that the concept of "impoverishing, not enriching" root systems may improve winter wheat profitability albeit with the potential for rain-fed crops to be more susceptible to drought.

Figure 1: For site-level validation, (a) predicted (solid lines) and observed (circles and circles with error bars) soil moisture, (b) soil temperature, (c) shoot carbon $(R^2=0.95)$, and (d) root carbon to a depth of 0.2 m during the model validation period. For regionallevel validation, (e) 1:1 plot for the observed and predicted grain yields from 1998 to 2017 $(R^2=0.36)$. PC and Ard in (c) and (d) represent data from Ponca City and Ardmore (study site), respectively. Error bars represent standard deviations. Note that observed shoot carbon in 1998, 1999, and 2000, which were taken from an adjacent site (Kocyigit & Rice, 2004), did not report error bars. The different colors in (c) and (d) represent different growing seasons.

Figure 2: Modeled winter wheat yield by varying (a) primary root radius alone, (b) root:shoot carbon transfer conductance alone, and (c) both parameters together. (d) is the standard deviation for the simulations under (c). The total simulation period is 50 years. The black solid line and shaded gray area in (a) and (b) represent the average and standard deviation of winter wheat yields, respectively, across the tested parameter range. The orange circles and red circles are parameters from baseline and optimized simulations, respectively. Green shaded regions in (a) and (b) represent areas within plus and minus two percent of their respective peak grain carbon. Red perimeters in (c) and (d) represent the areas greater than the 95th percentile of grain yields. (e) Vertical root carbon distributions averaged over growing seasons under default root structures (orange) and optimized root structures (red). The shaded red area in (e) represents the standard deviation related to the case of the optimized root traits.

Figure 3: (a) Annual water use efficiency and (b) nitrogen use efficiency modeled from baseline and optimized root traits. The error bars represent the standard deviations over the 50 year simulations.

Figure 4: (a) Probability density functions (pdf) for grain carbon under baseline root traits (orange) and optimized root traits (red) over the study period. Pdf of averaged grain carbon modeled under optimized root traits (red; red area in Figure 2c, d). (b and c) Comparison between grain carbon and 3-month SPI (c) from November to January (SPI – Jan) and (d) from December to Feburary (SPI – Feb) with fitted linear regressions (solid lines).

Figure 5: The top panels show how different nitrogen fertilizer application rates (z-axis) affect (a) grain carbon and (b) profit under the dependence of primary root radius (xaxis) and root:shoot carbon transfer conductance (y-axis). Each red perimeter in the different levels of fertilizer applications represents an area greater than the 95th percentile of their respective grain yields. The orange, red, and black circles are parameters and fertilizer rates from model validation, maximum yield, and maximum profit, respectively. (c and d) The impacts of nitrogen fertilizer application rate on (c) grain carbon and (d) profit under baseline root traits (orange) and optimized root traits (red). The shaded red areas in (c) and (d) are the standard deviations of grain carbon and profit, respectively. To assess the environmental consequences associated with the optimized root traits, (e), (f), and (g) show box plots for changes in net primary productivity, nitrogen leaching at the bottom of the soil column, and soil nitrous oxide (N_2O) fluxes, respectively, for the cases of maximum yield, maximum profit, and baseline root traits.

Figure 6: (a) The impacts of combined fertilizer sale price (x-axis), wheat sale price (yaxis), and fertilizer application rates (z-axis) on profit (color bar). The 2D projection of the fertilizer rates shown in z-axis in (a) is presented in (b) to enable visualization. (c) Fertilizer use efficiency, defined as yield per unit fertilizer input, associated with maximum profit under the different combinations of wheat and fertilizer sale prices. The white lines in (b) and (c) represent normal profits.

Table 1: Parameters used for the ecosys model. For parameters not listed in this table, see Grant (1998, 2013), and Grant et al. (2011) including online supplements.

^a The vertical mesh sizes of 12 soil layers implemented are gradually increased as the depth is increased to the depth of 2 m. $^bChow (1959)$ </sup>

^cSite observation

 d Saxton and Rawls (2006)

 e Clapp and Hornberger (1978)

 f Perdomo et al. (2016)

^gFarquhar et al. (1980)

 $h_{\text{Wang.}}$ and Shangguan (2015)

^{*i*}Striker et al. (2007)

 j Munoz-Romero et al. (2010); Ward et al. (2011); Fricke et al. (2014); Colombi et al.

(2017); Dal Cortivo et al. (2017) and Liu et al. (2018)

 k Grant (1998)

†Parameter for the model validation.

[∗]Parameter range for numerical optimization practices.

⁴⁷⁷ Appendix A

⁴⁷⁸ Description of water and nutrient uptake, five additional figures for the schematic ⁴⁷⁹ diagram of ecosys, weather forcings, a time series of 3-month SPI, a relationship between ⁴⁸⁰ grain carbon and 3-month SPI, and environmental consequences are presented in this ⁴⁸¹ Appendix to provide a more complete discussion of our results and to aid future read-⁴⁸² ers.

⁴⁸³ A1 Water and nutrient uptake

⁴⁸⁴ Water uptake: Water uptake by plant roots is estimated as the difference between soil water potential and shoot water potential divided by the sum of (i) radial resistance to water transport from soil to surface of roots, (ii) radial resistance to water transport from surface to axis of roots, and (iii) axial resistance to water transport along axes of roots. To maintain a water balance between shoot, root, and soil systems, root water po- tential is estimated under the constraint that water fluxes out of soil layers are equal to the combined root water fluxes. To estimate the resistances, the cylindrical shapes of the primary and secondary roots are assumed based on their parametric root diameters and prognosed root lengths.

 Nutrient uptake: Root nutrient uptake is iteratively estimated by letting (i) radial transport via advective and diffusive pathways between the soil solutions and root sur- faces and (ii) active uptake by the surface, be the same (Grant., 1991; Grant & Heaney, 1997; Grant, 1998, 2013). Under the cylindrical root shape assumption, the radial trans-⁴⁹⁷ port $(Q_p, g \text{ m}^{-2} \text{ h}^{-1})$ is estimated as:

$$
Q_p = Q_{up}[S]_s + 2\pi L_r D_e \frac{[S]_s - [S]_r}{\ln(d/r)}
$$
(A1)

where Q_{up} is root water uptake $(m3 m^{-2} h^{-1}); [S]_s$ and $[S]_r$ are concentration of nutrient, such as ammonium, nitrate, and phosphorus in the soil $(g g^{-1})$ and at root sur-500 face $(g g^{-1})$, respectively; L_r is sum of root length $(m^2 m^{-2})$; D_e is effective dispersivity- $_{501}$ diffusivity $(m² h⁻¹)$; d is half distance between adjacent roots (m) ; r is effective root ra-⁵⁰² dius (m, hereinafter root radius). The active uptake $(Q_a, g m^{-2} h^{-1})$ is estimated as:

$$
Q_a = \bar{Q} \frac{U_{O_2}}{\bar{U}_{O_2}} A_r \frac{[S]_r - [S]_m}{[S]_r - [S]_m + K_m} f_t f_m \tag{A2}
$$

where \bar{Q} is maximum $[S]_r$ at 25 °C and non-limiting $[S]_r$ conditions (g m⁻² h⁻¹); U_{O_2} 503 ⁵⁰⁴ and \bar{U}_{O_2} are O_2 uptake by roots under ambient O_2 and non-limiting O_2 conditions (g ⁵⁰⁵ m⁻² h⁻¹), respectively; A_r is root surface area (m² m⁻²); [S]_m is concentration of nu-506 trient at root surface below which $[S]_r = 0$; K_m is Michaelis–Menten constant for nu- 507 trient uptake at root surface; f_t and f_m are temperature and nutrient inhibition of root ⁵⁰⁸ nutrient uptake (−), respectively. Nutrients obtained from root systems influence leaf- $_{509}$ level $CO₂$ fixation, and vice versa through phloem translocation of labile carbon, nitro-⁵¹⁰ gen, and phosphrous between shoots and roots (Grant, 1992). That is, a functional equi- $_{511}$ librium between aboveground and belowground plant storage is achieved, enabling the ⁵¹² adjustment of plant growth and metabolism to water- and nutrient-limited conditions.

⁵¹³ A2 Figures

Figure A1: A schematic diagram showing *ecosys*, a coupled ecohydrological and biogeochemical model using multi-layer canopy and soil approaches. The forcings used in this model are precipitation, temperature, humidity, wind speed, and radiation. This model explicitly solves the vertical variations of canopy energy balances, such as net radiation (R_n) , latent heat (LE), sensible heat (H), and ground heat (G) by considering canopy microclimate, such as canopy CO_2 concentration (C_a) , canopy temperature (T_i) , and canopy wind speed (U_i) . The CO_2 fixation is controlled by differences between canopy and leaf $CO₂$ concentrations $(C₁)$ and also affected by plant water, carbon (C) , nitrogen (N) , and phosphorus (P) availability. The growth of root influences its ability to obtain water and nutrient in the soil, which in turn affects aboveground plant dynamics through an exchange of water and nutrient between them. In the soil, water, temperature, and organic and inorganic C, N, and P dynamics are implemented, which directly affect overall plant performances through their effects on carboxylation and oxygenation. More details about this model including equations and parameters are described in the Supplement of Grant (2013).

Figure A2: Observed weather data in 2017 (black) are overlaid on the ensemble of stochastically generated weather forcings (gray) generated using a weather generator (Fatichi et al., 2010) based on the observed weather data from 1994 to 2018. (a) Precipitation, (b) Cumulative precipitation, (c) Air temperature, and (d) Solar radiation.

Figure A3: A time series of 3-month standardized precipitation index (SPI) over the 50 years after $T_0=2018$.

Figure A4: To explore the impacts of precipitation variability on winter wheat yields, (a to l) comparisons between grain carbon and 3-month SPI with fitted linear regressions as presented in solid lines. For example, 3-month SPI from November to January is denoted as SPI-Jan. The orange and red colors represent the dynamics pertaining to baseline, and optimized root traits, respectively.

Figure A5: To assess the environmental consequences associated with the optimized root traits, box plots were used to present changes in (a) gross primary productivity (GPP), (b) autotrophic respiration (R_a) , (c) R_a divided by GPP, (d) leaf area index, (e) soil organic carbon, and (f) soil organic nitrogen for the case of maximum yield (left) and maximum profit (right).

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- data used in this study are obtained from Weather Underground (https://www.wunderground
- .com/weather/us/ok/ardmore) and the National Solar Radiation Database (https://
- maps.nrel.gov/nsrdb-viewer) and the winter wheat yield data used in this study are
- obtained from the National Agricultural Statistics Service (https://quickstats.nass
- .usda.gov/%236F8CB0F4-B04E-3055-BE27-0E765544EEA3).

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Figure 1.

Figure 2.

Figure 3.

Figure 4.

Figure 5.

Figure 6.

Figure A1.

Figure A2.

Figure A3.

T0 =2018

Figure A4.

Figure A5.

