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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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1 Abstract

More than a 60% increase in crop production is required by the 2050s to feed a grow-2 ing world population. Understanding how plant functional traits and field management 3 affect crop yields has the potential to improve agricultural productivity, minimize eco-4 nomic and environmental losses, and maximize food security. We explored the influence 5 of winter wheat root characteristics and management on winter wheat growth, yield, and 6 profit using a mechanistic and well-tested ecosystem and crop model, ecosys. We applied 7 and further tested ecosys at an agricultural farm growing winter wheat in Ardmore, Ok-8 lahoma, United States. The model accurately predicted observed shoot carbon ($R^2=0.95$), 9 soil moisture ($R^2=0.67$), soil temperature ($R^2=0.91$), and yield (percent error=17%). 10 Numerical optimization experiments were conducted to explore potential improvements 11 of winter wheat yield and profit by modifying root characteristics, including root radius 12 and root:shoot carbon transfer conductance, and fertilizer inputs. Our results show the 13 potential for simultaneously improving winter wheat yields and profits. The optimum 14 conditions were found to be in the range of root radius between 0.1-0.3 mm, carbon trans-15 fer conductance between 0.004-0.01 h^{-1} , and the currently-applied fertilizer rate of 112 16 kg ha⁻¹. Under these conditions, improvements in yields and profits of up to approx-17 imately 25% and 110%, respectively, were modeled compared to those under baseline root 18 traits. These improvements were achieved by impoverishing root structures, thereby in-19 creasing nutrient allocation to grains. Our results also demonstrate and motivate model 20 structures that integrate the complex network of plant physiology, soil nutrient biogeo-21 chemistry, hydrology, and management. 22

²³ Plain Language Summary

To meet projected food demands for a growing world population, crop yields need 24 to be doubled by the 2050s. Although aboveground crop traits have been widely stud-25 ied to improve crop yields, the "invisible" part of the crop, root systems, is not well stud-26 ied. In this study, we performed a numerical optimization of root traits (such as root ra-27 dius and carbon transfer conductance between shoot and root) and fertilizer application 28 rate using a well-tested coupled ecohydrological and biogeochemical model. We found 29 that engineering deeper wheat root structures could improve yields and profits by 25%30 and 110%, respectively, compared to the present day without additional fertilizer inputs. 31 These improvements were accompanied by almost no change in nitrogen losses via sur-32 face N_2O fluxes, indicating that the optimized root traits were an environmentally friendly 33 option to meet future food demands. 34

35 1 Introduction

Global agriculture in the 21st century will face multiple challenges to feed an ex-36 panding population (Gerland et al., 2014; Porkka et al., 2017). Meeting this demand for 37 food while ensuring economic, environmental, and societal sustainability is a critical so-38 cietal need (Godfray et al., 2010). The world population is projected to reach 9.8 bil-39 lion in the 2050s, a nearly 2.4 billion rise from 2015 (Population Division of United Na-40 tions, 2017). This growth implies that agricultural productivity may need to improve 41 by 60 to 100% to meet this increasing demand (FAO, 2009; Tilman et al., 2011). Pre-42 vious studies have shown that an increase in agricultural land is possible if we convert 43 forests and/or wasteland into productive land (Phalan et al., 2011; Fan et al., 2012; Hulme 44 et al., 2013; Zabel et al., 2014; van Ittersum et al., 2016). However, neither of these op-45 tions is optimal due to the need to conserve ecosystem services for tackling climate change 46 and protecting biodiversity (Godfray et al., 2010; Foley et al., 2011). In view of these 47 limitations, 21st century food security is one of the most difficult tasks that humans have 48 faced. However, there have been tremendous improvements in crop productivity from 49 adopting and developing more efficient and sustainable management practices, plant breed-50

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-54 duction and application has contributed to improvements in crop productivity and thus 55 alleviation of hunger (Erisman et al., 2008; Lu & Tian, 2017). Concurrently, precision 56 agricultural practices have been devised and crops have been genetically engineered to 57 achieve greater yields through an improvement in water and nitrogen use efficiency (Koziel 58 59 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-60 atively smaller amount of nitrogen fertilizer for their growth due to physiological advan-61 tages in uptaking water and nitrogen (Oyangi, 1994; Foulkes et al., 2011; Cormier et al., 62 2016). In addition, there has been a gradual decrease in root biomass of wheat varieties 63 introduced over the last 50 years to increase yields by reducing nutrient allocations to 64 root growth (Aziz et al., 2017). 65

Crop yield maximization has been widely used and supported (Vandermeer, 1998; 66 Prasad et al., 2002; Islam. & Talukdar, 2014; Tripathi et al., 2016; Wang et al., 2017). 67 In practice, however, the demand for greater yield is complicated by concurrent economic 68 challenges (Pannell, 1999; Vico & Porporato, 2011; Doi & Pitiwut, 2014). That is, max-69 imization of wheat yields does not necessarily guarantee economic benefits to farmers, 70 thereby not encouraging them to adopt the optimized cultivar and management prac-71 tices in a timely manner. This conflict is in part due to the high cost of nitrogen fertil-72 izers (Edgerton, 2009; Vercruyssen et al., 2015) and weather fluctuations (Lobell et al., 73 2011; Frieler et al., 2017), which elevate uncertainty of operational costs and revenue as-74 sociated with crop productivity (Pannell, 1999; Kihara et al., 2016). Therefore, a holis-75 tic approach to the improvement of both wheat yields and profitability is necessary to 76 improve efficiency of innovation adaptation and reduce negative environmental conse-77 quences. There are a few studies that proposed wheat yield optimizations from an eco-78 nomic perspective (e.g., Zhang et al. (1999); Gandorfer and Rajsic (2008); and Malve 79 et al. (2016)). However, a complete evaluation of fertilizer amounts and costs, simulta-80 neous optimization of root structural and functional characteristics for improving wheat 81 yields and profitability, and their environmental sensitivity and consequences, is lack-82 ing. Performing such an evaluation is the goal of this study. 83

Wheat is one of the most widely grown cereal crops (along with rice and maize) 84 in terms of global production, providing approximately 20% of calories and protein re-85 quired by the world population (Gill et al., 2004). In particular, it is the most impor-86 tant food crop cultivated in and exported to developing countries as the first sources of 87 protein (Braun et al., 2000). By 2050, wheat production will need to increase by at least 88 60% to mitigate risks of food shortages in low-income countries (Rosegrant & Agcaoili, 89 2010). The process by which wheat productivity is optimized therefore affects the qual-90 ity and protection of human health. In this context, exploring the potential of improv-91 ing wheat productivity and profitability will play a critical role in supporting the grow-92 ing demand for plant-based food. 93

As noted by Herder et al. (2010), most previous genetic studies have focused on 94 the impacts of aboveground plant traits, such as leaf angle (Araus et al., 1993; Lonbani 95 & Arzani, 2011), leaf albedo (Drewry et al., 2014), and specific leaf area (Richards., 2000; 96 Rebetzke et al., 2004; Sieling et al., 2016), on wheat productivity. The "invisible" part 97 of the crop, root systems, has not been not well studied in recent research. In this con-98 99 text, we have examined whether winter wheat could be restructured to improve grain production under different crop management practices while increasing overall profit. In 100 particular, we address the following questions: (1) which, and to what extent, can root 101 traits be engineered to optimize yields?, (2) how much fertilizer does the engineered cul-102 tivar require?, and (3) how do trait optimizations for yield and farmer profit differ? To 103

explore these questions, we further tested and then conducted numerical optimization 104 experiments with a well-tested coupled ecohydrological and biogeochemical crop model. 105 ecosys. We varied (1) two root characteristics (root radius and carbon transfer conduc-106 tance between root and shoot) and (2) fertilizer application rates. By taking advantage 107 of this well-established and widely-validated model that has been tested across space and 108 time (Grant., 1991; Grant et al., 1995, 1999, 2011; Webber et al., 2017; Mekonnen et al., 109 2018; Woo et al., 2020), we attempt to uncover novel insights into the potential of en-110 gineering wheat root traits for improving productivity and profitability and thus inform 111 breeding programs. 112

113 2 Materials and Methods

2.1 Model testing sites

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

119 2.1.1 Site level observations

lar Radiation Database.

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The main study site is an active experimental farm in Ardmore, Oklahoma, United 120 States $(34^{\circ} 11' 8.88'' \text{ N}, 97^{\circ} 5' 12.48'' \text{ W})$. The soil type is clay loam with a pH of 5.9. 121 Soil cores with a 0.05 m diameter and 1 m length were sampled to measure bulk den-122 sity. Long-term average annual precipitation and temperature are 960 mm and 17 $^{\circ}C$, 123 respectively. This site experiences considerable seasonal variations in both precipitation 124 and temperature driven by the polar and subtropical jet streams. The precipitation dis-125 tribution throughout a year typically has peaks in late spring and early fall (Eddy, 1982). 126 The average daily temperature ranges between 0 °C in winter and 28 °C in summer. Over 127 the past 25 years (1994–2018), hourly weather forcing data to run the model (i.e., pre-128 cipitation, air temperature, incoming solar radiation, humidity, and wind speed) were 129

We conducted two growing seasons field experiments from 2016 to 2018; (i) 2016-132 2017 (hereafter referred to as the 2016 season); and (ii) 2017-2018 (hereafter referred to 133 as the 2017 season). In the 2016 season, winter wheat (Duster) was planted on October 134 30 and in the 2017 season it was planted on October 10. A disked-tillage treatment was 135 applied to a depth of 0.1 m for plow tillage in September during both seasons. To meet 136 nitrogen requirements for winter wheat production, 56 kg N ha^{-1} nitrogen fertilizer was 137 applied twice in October as pre-plant urea ammonium sulfate and in January as a broad-138 cast application. Aboveground and belowground biomass was sampled five times dur-139 ing the two growing seasons and used to estimate winter wheat carbon contents per unit 140 area for model testing. Shoot biomass was measured on 1/30/2017, 1/1/2018, and 3/7/2018, 141 and top 0.25-m root biomass was measured on 1/30/2017 and 4/11/2018. The shoot biomass 142 was measured after leaf emergence and 8-weeks after that. To monitor the temporal vari-143 ations of soil moisture and temperature, ten Decagon 5TE sensors were sparsely installed 144 at 0.3 m depth in October 2017. No irrigation, insecticide, or fungicide were applied dur-145 ing the two seasons. 146

collected from a local weather station from Weather Underground and the National So-

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 dynamics 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-154 cesses governing modeled crop yields associated with parameters used in this study al-155 low for a reasonable agreement with spatially distributed yields. In Oklahoma, there are 156 five agricultural districts (Northwest, Southwest, Central, Northeast, and Southeast) clas-157 sified based on similar agricultural characteristics, such as soil fertility, fertilizer appli-158 cation rates, and flowering time, to allow comparisons of heterogeneous agricultural pro-159 ductivity. Our main study site, Ardmore, belongs to the Central agricultural district. 160 Therefore, winter wheat grain yields available from the agricultural region for the last 161 20 years (1998 to 2017) from the National Agricultural Statistics Service (NASS) were 162 obtained and compared with model predictions. Here, to convert unit of measure from 163 bushels $acre^{-1}$ to $g m^{-2}$, we used a unit convertion factor of 6.725 for wheat based on 164 Weiland and Smith (2013). 165

166 2.2 Ecosys model description

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2.2.1 General overview

Ecosys is a sub-hourly time-step ecosystem model, coupling ecohydrological and 168 biogeochemical dynamics by solving coupled relationships between energy, water, car-169 bon, nitrogen, and phosphorus dynamics of multi-layer plant canopies and soils. This 170 model is designed to represent terrestrial ecosystems ranging from natural to managed 171 systems and has been widely applied across different climate regions and vegetation types 172 in over 90 publications(e.g., Grant. (1991), Grant et al. (1995, 1999, 2011), and Webber 173 et al. (2017)). This model has been applied to and validated for wheat growth and as-174 sociated nitrogen dynamics, including N2O emissions, in several agricultural systems (Grant., 175 1991; Grant et al., 1995, 1999, 2011; Webber et al., 2017). Below, we briefly describe rel-176 evant key equations and algorithms associated with root, nutrient, and water dynam-177 ics. A detailed description of inputs, parameters, and algorithms used in ecosys is pro-178 vided in Grant (2013). A schematic diagram of the model is presented in Figure A1 in 179 the Appendix. The model, parameters, drivers, and outputs used in this study are placed 180 in an online repository (https://github.com/dwoo5/ECOSYS). Readers that wish more 181 detailed descriptions of the processes are referred to the Supplemental Material in Grant 182 (2013).183

2.2.2 Root growth

Root growth: The root system in *ecosys* is represented with two main root types: 185 vertical primary and horizontal secondary roots growing from different stem nodes of each 186 plant functional type (Grant, 1998). The distribution and amount of roots control the 187 dynamics of plant O₂, water, and nutrient uptake (Grant., 1991; Grant, 1993b, 1993a), 188 and thus influence plant growth processes, such as photosynthesis, respiration, and tran-189 spiration. Here, we briefly describe the overall algorithmic structure of the primary root 190 growth implemented in the model. The biomass of the primary root $(M_r, g m^{-2})$ is es-191 timated by combining its growth respiration $(R_G, g m^{-2} h^{-1})$, specific growth respira-192 tion $(R_g, g g^{-1})$, and senescence $(R_d, g m^{-2} h^{-1})$: 193

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

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)

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

straint affected by root water potential, turgor pressure, and soil resistance (MPa); J_s

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

$$f_{np} = \begin{cases} \frac{Z_n}{C_n(1-R_g)}, & \text{if } \frac{Z_n}{C_n(1-R_g)} \le \frac{Z_p}{C_p(1-R_g)}.\\ \frac{Z_p}{C_p(1-R_g)}, & \text{otherwise.} \end{cases}$$
(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 water, carbon, nitrogen, and phosphorus content.

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

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

where g_c is a nutrient transfer conductance between root and shoot (h^{-1}) ; σ_b and σ_r are 205 non-structural carbon from CO_2 fixation or non-structural nitrogen or phosphorus from 206 root uptake in branches and roots, respectively (g g^{-1}); and M_b is the branch biomass 207 $(g m^{-2})$. In general, the direction of carbon transfer occurs from shoots to roots while 208 nitrogen and phosphorus transfers occur in the opposite direction. The amount of ni-209 trogen and phosphorus in leaves affects the CO_2 fixation rate from sunlit and sun-shade 210 leaf surfaces (Grant, 2013). On the other hand, the amount of carbon in roots influences 211 the rate and pattern of water and nutrient uptake from the soil (Grant, 1998). 212

213 2.2.3 Soil water and nutrient transport

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 $(Q_r, m^3 m^{-2} h^{-1})$, evaporation $(E, m^3 m^{-2} h^{-1})$, and infiltration $(Q_w, m^3 m^{-2} h^{-1})$:

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

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 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 $(z_r, m^{-1/3})$ 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.

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,
 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.

232 2.3 Simulation protocol

To minimize the influence of initial soil water, temperature, nutrient, and vegeta-233 tion conditions on model predictions, we performed a 50 year spin-up prior to 1998 with 234 the same wheat crop and fertilizer management as during the experiment. Since observed 235 weather data is unavailable for the spinup period before 1993, we used a stochastic weather 236 generator (Fatichi et al., 2010) with parameters estimated based on the observed 25 years 237 of weather data, including precipitation, temperature, humidity, wind speed, and solar 238 radiation (Figure A2). The stochastic weather generator produced hourly metrological 239 variables that were statistically equivalent to observed weather input data. Soil and wheat 240 parameters used in this study were obtained from previous experimental and numeri-241 cal studies (Table 1). Other parameters not listed in Table 1 were obtained from pre-242 vious wheat studies and default values (Grant, 1998, 2013; Grant et al., 2011). The up-243 per boundary condition at the top of the canopy is formulated by weather forcings while 244 the lower boundary condition at the bottom of the soil is set as a partially permeable 245 layer assuming 10% free drainage flux. Capillary rise from the layer beyond the bottom 246 is ignored. 247

248 3 Results

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3.1 Model performance

We first compared the model responses with observed data available for shoot carbon, 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 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 predicted biomasses matched very closely with the observations (Figure 1d).

At the regional scale, we conducted a comparison between mean observed NASS 257 Central agricultural district and modeled Ardmore grain yields from 1998 to 2017 ($R^2=0.36$): 258 Percent Error=17%; Figure 1e). A possible explanation for the gap between predicted 259 yields and the NASS survey-reported yields is that the NASS survey data are spatially-260 averaged yield data over variations in multiple winter wheat cultivars (more than 40 cul-261 tivars), soil types, topography, and fertilization application rates. Despite these differ-262 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 264 the observed data at site and regional scales, providing confidence to use the model to 265 evaluate the influences of root characteristics on winter wheat growth and yield. 266

267

3.2 Root traits optimization

We applied the tested model to examine whether winter wheat could be engineered 268 to improve the amount of grain produced per unit area under present-day crop manage-269 ment practices and climate conditions. To explore this question, we conducted numer-270 ical optimization experiments by varying two root characteristics: root radius and car-271 bon transfer conductance between root and shoot. These parameters were chosen since 272 they are identified as sensitive and important parameters to characterize root systems 273 based on a sensitivity analysis conducted for this model (Grant, 1998). The root radius 274 and carbon transfer conductance were free parameters in the optimization experiments 275 and were allowed to vary within the range 0.05-1 mm and 0.002-0.04 h^{-1} , respectively. 276 These ranges were determined based on previous experimental studies (Grant, 1998; Munoz-277 Romero et al., 2010; Ward et al., 2011; Fricke et al., 2014; Colombi et al., 2017; Dal Cortivo 278 et al., 2017; Liu et al., 2018). To have statistically meaningful and reliable results, we 279 conducted the model simulations for 50 years after model validation by varying (1) root 280

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 284 the baseline values increased modeled winter wheat yields (Figure 2a, b). However, in 285 this single-objective optimization sensitivity analysis, a wide optimization range for the 286 root radius is observed (0.5-0.8 mm), indicating that the root radius may not be an im-287 portant root trait. That is, parsimonious root structures increased wheat yields by im-288 proving nutrient allocations to grains during grain filling. Overall, the increased yields 289 occurred with relatively parsimonious root structures that allow the crop to allocate more 290 nutrients to grain during grain filling by limiting nutrient allocation to roots. However, 291 excessively poor root structures also lead to water and nutrient-limiting conditions, in-292 hibiting crop growth and metabolism in some years. We note that a sharp reduction in 293 yield is modeled when each root trait independently is small (smaller than 0.1 mm root 294 radius and 0.004 h^{-1} carbon transfer conductance). That is, the crop with the single-295 parameter optimized root structures improved grain yields while losing some resilience to environmental stress, such as drought and nutrient deficiency, and increasing the pos-297 sibility of crossing a threshold from a desirable to an undesirable stable state. 298

When the two root chracteristics were simultaneously optimized for optimal win-299 ter wheat yields (Figure 2c), the maximum yields $(95^{\text{th}} \text{ percentile})$ occur in the range 300 of root radius between approximately 0.1-0.3 mm and carbon transfer conductance be-301 tween 0.004-0.01 h^{-1} . Within the optimized yield cases (red area in Figure 2c, d), the 302 root distribution depth was deeper and root biomass was lower compared to the case un-303 der baseline root traits (Figure 2e). We also note that a linear superposition of yields 304 arising from the single root trait changes does not lead to the multi-parameter optimal 305 solution. That is, objective functions are partially interdependent and thus they converge 306 to minimal root structures necessary in response to water and nitrogen stress. This ar-307 gument is also supported by an increase in modeled water and nitrogen use efficiency (de-308 fined as grain carbon yield per unit water and nitrogen uptake, respectively) under the 309 case for the optimized root traits compared to that for baseline root traits (Figure 3). 310 Using a standard conversion factor to estimate grain protein (Merrill & Watt, 1973; Spitzer 311 et al., 1996), a slight but not significant increase in protein with the optimized root traits 312 (<1%) is also modeled due to a corresponding increase in grain nitrogen. 313

Inter-annual variability for the optimized yield cases is relatively higher than that 314 for baseline root traits (Figure 4a). To explore the associated dynamics in yield inter-315 annual variability, we examined the relationship between precipitation and winter wheat 316 yields. We applied the 3-month Standardized Precipitation Index (SPI) (Hao & AghaK-317 ouchak, 2014) (Figure A3), which is a widely used proxy to characterize the extent of 318 dry and wet conditions in agricultural systems (Guttman, 1998). The magnitude of neg-319 ative and positive SPIs represents the intensity of drought and wetness, respectively. We 320 found, after dry winter periods (the three months ending in January (SPI-Jan) and Febru-321 ary (SPI-Feb), winter wheat yields under optimized root traits were higher than under 322 the baseline scenario (Figure 4b, c, A4). Simulations indicate that, in low precipitation 323 winters, soil nutrient losses are reduced (via leaching and N_2O emissions), allowing the 324 optimized crop to uptake more nutrients due to the greater rooting depth. 325

326

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 sensitivity analysis.

As expected, the results show that winter wheat yield increases as the fertilizer application 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 Figure 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-339 alyze tradeoffs between yield and economic return. Gross income per unit area can be 340 determined by wheat yield (Y) multiplied by wheat sale price (c_s) plus grazing return 341 (G_q) . The cost of wheat cultivation can be classified into two main components in rain-342 fed agricultural systems: (i) fixed cost per unit area (C_0) for land, seed, insurance, la-343 bor, and field machinery, and (ii) fertilizer cost that is determined by the amount of fer-344 tilizer applied (F) multiplied by fertilizer sale price (c_f) . That is, profit per unit area 345 (G_n) can be expressed as: 346

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

Here, for the sake of simplicity, we assume that the fixed cost is not influenced by fer-347 tilizer amount applied and grazing return is constant. We recognize that more complex 348 economic analyses can be performed, but considering these factors provides a good es-349 timate of tradeoffs associated with fertilizer application rates and costs. For the param-350 eterization of the above economic balance for the case of winter wheat, we followed the 351 economic analysis of wheat production in Oklahoma (DeVuyst, 2012) for the fixed cost 352 $(145.2 \ \text{s} \ \text{acre}^{-1})$ and grazing return $(90.45 \ \text{s} \ \text{acre}^{-1})$. However, we note the wide fluc-353 tuations of wheat and fertilize sale prices over the last decade. Based on data from the 354 U.S. census (USDA, 2019a, 2019b; Macrotrends, 2019), U.S. wheat sale prices ranged 355 from 3.90 to 9.40 bushel⁻¹ and urea fertilizer prices ranged from 0.35 to 0.85 acre⁻¹. 356 Thus, we assumed averaged wheat sale price, 5.8 \$ bushel⁻¹, and fertilizer price, 0.45357 $\$ acre⁻¹, and conducted a sensitivity analysis over the ranges of wheat and fertilizer sale 358 prices as described in Section 3.5. 359

We found that economic profitability does not scale linearly with increased wheat 360 productivity resulting from increased fertilizer application rate (Figure 5b, d). Under base-361 line root structures, the maximum profit occurs at the same amount of fertilizer currently 362 applied at the study site (112 kg ha⁻¹ yr⁻¹), to a certain degree consistent with the stag-363 nation of winter wheat yields since the 1990s (Wiesmeier et al., 2015). Under the opti-364 mized root structures, the maximum profit does not occur where winter wheat yield is 365 at a maximum because producing at the point of maximum yield requires relatively high 366 quantities of nitrogen fertilizer. Rather, the optimum amount for nitrogen fertilizer from 367 an economic perspective is estimated to also be at the rate currently applied at the study 368 site. Compared to the case for baseline root structures, profit improves by approximately 369 two times under optimized root structures (Figure 5d). We also note that profit under 370 optimized root structures does not increase with additional fertilizer past the optimal 371 $112 \text{ kg ha}^{-1} \text{ yr}^{-1} \text{ rate.}$ 372

3.4 Environmental effects

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To explore the environmental effects of the optimized root traits and fertilizer management, 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 (N_2O) fluxes for the maximum yield and profit scenarios (Figure 5e, f, g, and Figure A5). We modeled a decrease 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 380 to reduced GPP caused by limiting nonstructural nitrogen and phosphorus transfer from 381 root to shoot under the optimized root structures, leading to decreases in photosynthe-382 sis. However, the optimized root structures allocate more nutrients to wheat grains by 383 not utilizing the resources for root growth. These dynamics are also explained by the 384 increased fraction of GPP that supports R_a under optimized root structures (Figure A5c). 385 In addition, the increased nitrogen fertilizer application rate for the maximum yield case 386 and the improved nitrogen use efficiency for both cases lead to a slight increase in ni-387 trogen leaching from the system (Figure 5f). Similarly, a slight increase and decrease in 388 soil N₂O fluxes for the maximum yield and profit cases, respectively, were modeled (Fig-389 ure 5g). These N_2O fluxes are about equivalent to releasing and reducing 57 g and 43 390 g of CO₂, respectively. These results indicate that there is a need to account for the en-391 vironmental costs along with the potential for increasing food production to meet future 392 demand. 393

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3.5 Sensitivity analysis of wheat profit

We next analyzed the impacts of inter-annual variability in wheat and fertilizer sale 395 prices on wheat profitability (Figure 6a, b). Results for a root radius of 0.1 mm and car-396 bon transfer conductance of 0.006 h^{-1} were presented since the maximum profit occurs 397 with the optimized root structures (Figure 5b). The different combinations of wheat and 398 fertilizer sale prices result in different nitrogen fertilizer requirements to maximize profit. 300 When fertilizer sale prices are higher than present day, a reduction in fertilizer applica-400 tions becomes more profitable, but with a gradual decrease in revenue. The opposite is 401 true for the case of wheat sale prices higher than present day. In particular, the max-402 imum profit increases with increasing wheat sale price accompanied by increased appli-403 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-405 tilizer use efficiency, which is defined as yield per unit fertilizer input, becomes lower as 406 fertilizer use becomes higher (Figure 6c). At low wheat and high fertilizer sale prices, 407 the maximum profit is achieved when no fertilizer is used. We note that under the as-408 sumptions of the fixed cost and grazing return, the normal profit (defined as a condition 409 when a farmer's gross income is equal to total cost) occurs at a wheat sale price of 3.1 410 bushel⁻¹ indicating that a lower wheat sale price may result in a scenario where aban-411 doning the harvest produces the optimal profit outcome. 412

413 **4** Discussion

Optimum crop yield depends on maintaining effective coordination between shoots 414 and roots for plant growth. That is, the growth of shoots should not be sacrificed to de-415 ficiencies in essential nutrients supplied by root reserves, and vice versa (e.g., Long et 416 al. (1994, 2006); Sinclair and Rufty (2012); and Ortez et al. (2018)). In this view, reduced 417 root growth can lead to an increase in yield, when crops are not subjected to stress such 418 as insufficient soil water and nutrients, due to a functional equilibrium between above-419 and below-ground utilization of resources (Brouwer, 1962; D. Richards, 1978; Feller et 420 al., 2015). Several previous studies, including in other cereal crops such as maize and rice, 421 have found a concave relationship between grain yield and root dry weight (Fageria et 422 al., 2011; Aziz et al., 2017; Islam et al., 2019). In addition, it has been widely reported 423 that a deeper root system is beneficial for maintaining and improving crop productiv-424 ity through efficient water and nitrogen acquisitions, thereby reducing drought stress and 425 nitrogen deficiency (Dunbabin et al., 2003; Ao et al., 2010; Ju et al., 2015; Li et al., 2016). 426 Consistent with these findings, our results also show that these properties can be achieved 427 by genetically engineering winter wheat root radius and root: shoot carbon transfer con-428 ductance. We found that the optimum conditions were in the range of root radius be-429 tween 0.1-0.3 mm, carbon transfer conductance between 0.04-0.01 h^{-1} , and current fer-430

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 methods to increase yields.

Plants do not operate at maximum capability because, e.g., they save resources to 435 cope with unexpected environmental stress (Natarajan & Willey, 1996; Lin, 2011; Srini-436 vasan et al., 2016). For example, Srinivasan et al. (2016) found that a decrease in peak 437 leaf area index of 38% led to an increase in yield of 8% due to a reduction in leaf tissue 438 439 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 440 increasing resource allocation to grains during grain filling. However, we also noted a sharp 441 reduction in yield (from the optimum) with slightly reduced root radius and carbon trans-442 fer conductance outside of the optimum range, resulting from adverse environmental fac-443 tors such as drought and nutrient deficiency in some years. That is, improved profitabil-444 ity was achieved at the expense of losing some resilience of crop productivity. However, 445 precision agricultural practices coupled with improvements in crop breeding and genomics 446 for pest and pathogen resistances have been alleviating such side effects (e.g., Woo and 447 Kumar (2017) and Lynch (2018)). 448

An increase in nitrogen fertilizer application often results in crop yield increases 449 by mitigating nitrogen-limited environments in the root zone (Erisman et al., 2008; Lu 450 & Tian, 2017; Ortez et al., 2018). However, the excessive use of fertilizer leads to ele-451 vated nitrogen losses to receiving water bodies (Li et al., 2010; Radcliffe et al., 2015; Woo 452 & Kumar, 2016; Sinha et al., 2017) and the atmosphere as volatilization (Good & Beatty, 453 2011), causing consequent environmental degradation and economic losses to farmers (Goulding 454 et al., 2008). These negative consequences occur because only one-third of nitrogen fer-455 tilizer applied to the soil is taken up by crops (Raun & Johnson, 1999; Gardner & Drinkwa-456 ter, 2009; Ciampitti & Vyn, 2014) and fertilizer use efficiency decreases as the use of fer-457 tilizer increases (Ray et al., 2013). Therefore, the use of nitrogen fertilizer also needs to 458 be considered while meeting the growing demands of plant-based food. In this study, we 459 show that there is potential to simultaneously improve crop grain yields and profits with-460 out a significant increase in nitrogen leaching by "impoverishing, not enriching", root 461 systems (Figure 5). That is, solely increasing fertilizer applications for yield improve-462 ment is not a sustainable option to increase crop yields. 463

This study considered only a single crop, winter wheat, to explore whether root struc-464 tures can be redesigned to meet growing global food demands by improving yields and 465 profitability per unit land area. To extend our results in future analyses, we recommend 466 that impoverished root structures be examined further to assess the impacts of climate 467 change, soil properties, and field management on wheat yields. However, our results in-468 dicate that developing relatively more impoverished root systems will enhance nonstruc-469 tural nutrient allocations to grains. A recent review paper (Lynch, 2018) also argued that 470 parsimonious root structures were advantageous to improve crop yields in high-input agri-471 cultural systems. Genetically engineering root radius and carbohydrates transfer con-472 ductance between shoots and roots should be tested. Therefore, in light of the findings 473 obtained in this study, we conclude that the concept of "impoverishing, not enriching" 474 root systems may improve winter wheat profitability albeit with the potential for rain-475 fed crops to be more susceptible to drought. 476



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 ($\mathbb{R}^2=0.95$), and (d) root carbon to a depth of 0.2 m during the model validation period. For regional-level validation, (e) 1:1 plot for the observed and predicted grain yields from 1998 to 2017 ($\mathbb{R}^2=0.36$). 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 (x-axis) 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 (N₂O) 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 (y-axis), 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.

Parameters and descriptions	Value	
Horizontal mesh size, $\Delta x = \Delta y$ (m)	1	
Vertical mesh size, Δz (m)	see foot note ^{a}	
Overland flow		
Manning's coefficient $(m^{-1/3} h)$	0.05^{b}	
Soil parameters		
Sand content (%)	24^c	
Clay content (%)	48^c	
Bulk density (Mg m ^{-3})	1.39^{c}	
Field capacity $(m^3 m^{-3})$	0.36^{d}	
Wilting point $(m^3 m^{-3})$	0.16^{d}	
Saturated hydraulic conductivity $(mm h^{-1})$	8.8^e	
Wheat parameters		
Planting density (m^{-2})	350^c	
Rubisco carboxylation activity at 25°C (μ mol g ⁻¹ s ⁻¹)	140^{f}	
Chlorophyll activity at 25°C (μ mol g ⁻¹ s ⁻¹)	450^{g}	
Root porosity $(m^3 m^{-3})$	0.05^{g}	
Root radius (mm)	$0.05 \text{-} 1.0^{\dagger}; 0.2^{*j}$	
Root:Shoot carbon transfer conductance (h^{-1})	$0.002 - 0.04^{\dagger}; 0.0375^{*k}$	

 a The vertical mesh sizes of 12 soil layers implemented are gradually increased as the depth is increased to the depth of 2 m.

 b Chow (1959)

 c Site observation

 d Saxton and Rawls (2006) ^eClapp and Hornberger (1978)

 f Perdomo et al. (2016)

 g Farquhar et al. (1980)

 h Wang. and Shangguan (2015)

ⁱStriker et al. (2007)

^jMunoz-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)

kGrant (1998)

[†]Parameter for the model validation.

*Parameter range for numerical optimization practices.

477 Appendix A

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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 read⁴⁸² ers.

A1 Water and nutrient uptake

Water uptake: Water uptake by plant roots is estimated as the difference between 484 soil water potential and shoot water potential divided by the sum of (i) radial resistance 485 to water transport from soil to surface of roots, (ii) radial resistance to water transport 486 from surface to axis of roots, and (iii) axial resistance to water transport along axes of 487 roots. To maintain a water balance between shoot, root, and soil systems, root water po-488 tential is estimated under the constraint that water fluxes out of soil layers are equal to 489 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 491 prognosed root lengths. 492

⁴⁹³ Nutrient uptake: Root nutrient uptake is iteratively estimated by letting (i) radial ⁴⁹⁴ transport via advective and diffusive pathways between the soil solutions and root sur-⁴⁹⁵ faces and (ii) active uptake by the surface, be the same (Grant., 1991; Grant & Heaney, ⁴⁹⁶ 1997; Grant, 1998, 2013). Under the cylindrical root shape assumption, the radial trans-⁴⁹⁷ port (Q_p , g m⁻² 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 surface (g g⁻¹), respectively; L_r is sum of root length (m² m⁻²); D_e is effective dispersivitydiffusivity (m² h⁻¹); d is half distance between adjacent roots (m); r is effective root radius (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 and \bar{U}_{O_2} are O_2 uptake by roots under ambient O_2 and non-limiting O_2 conditions (g 504 $m^{-2} h^{-1}$), respectively; A_r is root surface area $(m^2 m^{-2})$; $[S]_m$ is concentration of nu-505 trient at root surface below which $[S]_r = 0$; K_m is Michaelis–Menten constant for nu-506 trient uptake at root surface; f_t and f_m are temperature and nutrient inhibition of root 507 nutrient uptake (-), respectively. Nutrients obtained from root systems influence leaf-508 level CO_2 fixation, and vice versa through phloem translocation of labile carbon, nitro-509 gen, and phosphrous between shoots and roots (Grant, 1992). That is, a functional equi-510 librium between aboveground and belowground plant storage is achieved, enabling the 511 adjustment of plant growth and metabolism to water- and nutrient-limited conditions. 512

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 CO₂ concentration (C_a), canopy temperature (T_i), and canopy wind speed (U_i). The CO₂ fixation is controlled by differences between canopy and leaf CO₂ concentrations (C_1) 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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- ⁵²² 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
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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.

