

**UNIVERSIDADE FEDERAL DE SANTA MARIA  
CENTRO DE CIÊNCIAS RURAIS  
PROGRAMA DE PÓS-GRADUAÇÃO EM ENGENHARIA AGRÍCOLA**

**Giovana Ghisleni Ribas**

**POTENCIAL E LACUNAS DE PRODUTIVIDADE EM ARROZ  
IRRIGADO NO RIO GRANDE DO SUL**

**Santa Maria, RS, Brasil  
2020**

**Giovana Ghisleni Ribas**

**POTENCIAL E LACUNAS DE PRODUTIVIDADE EM ARROZ IRRIGADO NO RIO  
GRANDE DO SUL**

Tese apresentada ao Curso de Doutorado  
do Programa de Pós-Graduação em  
Engenharia Agrícola da Universidade  
Federal de Santa Maria (UFSM), como  
requisito parcial para obtenção do título de  
**Doutora em Engenharia Agrícola**

Orientador: Prof. Ph.D. Nereu Augusto Streck

**Santa Maria, RS, Brasil  
2020**

This study was financed in part by the Coordenação de Aperfeiçoamento de Pessoal de Nível Superior - Brasil (CAPES) - Finance Code 001

Ghisleni Ribas, Giovana  
POTENCIAL E LACUNAS DE PRODUTIVIDADE EM ARROZ  
IRRIGADO NO RIO GRANDE DO SUL / Giovana Ghisleni Ribas.  
2020.  
92 p.; 30 cm

Orientador: Nereu Augusto Streck  
Coorientador: Alencar Junior Zanon  
Tese (doutorado) - Universidade Federal de Santa  
Maria, Centro de Ciências Rurais, Programa de Pós  
Graduação em Engenharia Agrícola, RS, 2020

1. Oryza sativa 2. potencial de produtividade 3.  
lacuna de produtividade 4. lavouras 5. questionários I.  
Streck, Nereu Augusto II. Zanon, Alencar Junior III.  
Título.

Sistema de geração automática de ficha catalográfica da UFSM. Dados fornecidos pelo autor(a). Sob supervisão da Direção da Divisão de Processos Técnicos da Biblioteca Central. Bibliotecária responsável Paula Schoenfeldt Patta CRB 10/1728.

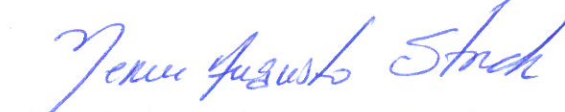
Declaro, GIOVANA GHISLENI RIBAS, para os devidos fins e sob as penas da lei, que a pesquisa constante neste trabalho de conclusão de curso (Tese) foi por mim elaborada e que as informações necessárias objeto de consulta em literatura e outras fontes estão devidamente referenciadas. Declaro, ainda, que este trabalho ou parte dele não foi apresentado anteriormente para obtenção de qualquer outro grau acadêmico, estando ciente de que a inveracidade da presente declaração poderá resultar na anulação da titulação pela Universidade, entre outras consequências legais.

**Giovana Ghisleni Ribas**

**POTENCIAL E LACUNAS DE PRODUTIVIDADE EM ARROZ IRRIGADO NO RIO GRANDE DO SUL**

Tese apresentada ao Curso de Doutorado do Programa de Pós-Graduação em Engenharia Agrícola da Universidade Federal de Santa Maria (UFSM), como requisito parcial para obtenção do título de **Doutora em Engenharia Agrícola**

**Aprovado em 19 de dezembro de 2019:**



---

**Nereu Augusto Streck, Ph.D.**  
(Presidente/Orientador)




---

**Filipe Selau Carlos Dr.(UFPEL)**



---

**André da Rosa Ulguim Dr. (UFSM)**



---

**Alencar Junior Zanon, Dr. (UFSM)**



---

**Cleber Maus Alberto Dr. (UNIPAMPA)**

## **AGRADECIMENTOS**

A concretização deste trabalho ocorreu, principalmente, pelo auxílio, compreensão e dedicação de várias pessoas. Agradeço a todos que, de alguma forma, contribuíram para a conclusão deste estudo e, de uma maneira especial, agradeço:

- á Deus por me guiar e proteger
  - o meu orientador Nereu Augusto Streck pela oportunidade concedida no Programa de Pós-Graduação em Engenharia Agrícola, pela confiança em mim depositada, e pela pessoa humana, incentivadora e dedicada, grata pela orientação;
  - a meu coorientador Alencar Junior Zanon, pelo apoio e confiança, pelo empenho dedicado à elaboração deste trabalho, pelas suas correções e incentivos;
  - ao professor Patricio Grassini da University of Nebraska - EUA, pelo suporte no pouco tempo que lhe coube, pelas suas correções e incentivos;
  - a minha mãe Vera Lúcia Ghisleni e minha avó Eni Angela Ghisleni por todo amor verdadeiro e apoio em todos os momentos, porque sempre acreditaram na minha capacidade e tudo que conquistei na minha vida foi graças a elas;
  - aos meus amigos, que souberam entender minha ausência e que sempre me deram incentivo;
  - aos colegas Nicolas Cafaro, Fatima Tenorio e Shen Yuan, que sempre estiveram à disposição para me atender na University of Nebraska, EUA;
  - à Universidade pública, gratuita e de qualidade, pela oportunidade de desenvolver e concretizar este estudo;
  - aos professores e funcionários do Programa de Pós-Graduação da Engenharia Agrícola por contribuírem de uma forma ou de outra pela conquista desse título;
- Enfim a todos àqueles que fazem parte da minha vida e que são essenciais para eu ser, a cada dia nessa longa jornada, um ser humano melhor.

## RESUMO

### Potencial e lacunas de produtividade em arroz irrigado no Rio Grande do Sul

AUTOR: Giovana Ghisleni Ribas  
ORIENTADOR: Nereu Augusto Streck

O Estado do Rio Grande do Sul é o principal produtor brasileiro de arroz (*Oryza sativa* L.). Apesar do contínuo aumento na produtividade média do arroz nos últimos anos, ainda há uma considerável diferença entre as produtividades medidas em experimentos de estações de pesquisa de arroz e da produtividade média atual de arroz no Rio Grande do Sul. O potencial de produtividade é a produtividade de uma cultivar que cresce sem limitações biótica e abiótica. Entre os objetivos deste projeto destacam-se (i) introduzir três cultivares convencionais de arroz atualmente, muito utilizadas no RS nos modelos SimulArroz e Oryza, (ii) estimar o potencial de produtividade e as lacunas de produtividade da culturas do arroz nas regiões de terras baixas do Estado do Rio Grande do Sul, (iii) identificar os fatores biofísicos e de manejo que potencialmente explicam a lacuna de produtividade nas lavouras de arroz nas regiões de terras baixas do Estado do Rio Grande do Sul. Levantamento de dados de manejo foram feitos por meio de 324 questionários aplicados em três anos agrícolas (2015/2016, 2016/2017 e 2017/2018). Os modelos mostraram bom desempenho, apresentando variação do NRMSE entre 0,8% à 34%. O potencial reportado no RS com o modelo Oryza v3 (14,8 t ha<sup>-1</sup>). Sob ponto de vista das melhores lavouras de arroz no RS foi observado que estão produzindo 68% do potencial, enquanto que as demais lavouras estão produzindo 52% do potencial no RS. Estes resultados indicam o quanto, ainda, é possível melhorar o manejo de arroz no RS sendo época de semeadura, época de entrada de água na lavoura, controle de plantas daninhas, rotação de culturas e fertilizantes os fatores que potencialmente estão relacionados com a lacuna. O uso combinado entre agricultores e a estratégia de programas de pesquisa e extensão é uma ótima ferramenta para capturar variações regionais que podem ajudar a transferência de informar.

**Palavras-chave:** *Oryza sativa*, potencial de produtividade, lacuna de produtividade, lavouras, questionários.

## ABSTRACT

### Yield potential and yield gap in irrigated rice in Rio Grande do Sul

AUTHOR: Giovana Ghisleni Ribas

ADVISOR: Nereu Augusto Streck

The Rio Grande do Sul state is the main Brazilian rice producer (*Oryza sativa* L.). Despite continue increase of average rice yield in the last years, there is still a huge difference between yield experiments from rice research centers and actual yield in irrigated rice in the Rio Grande do Sul. The yield potential is the yield from a cultivar that grown without biotic and abiotic limitation. Among the objectives of this study highlight (i) to introduce of three conventional rice cultivar actual widely used in RS by SimulArroz and Oryza models, (ii) to estimate yield potential and yield gap in lowland rice area in the Rio Grande do Sul state, (ii) to identify the biophysics and management factors that are potentially causing the yield gap in lowland area in the Rio Grande do Sul state. Management data were collected from 324 surveys applied in three growing seasons (2015/2016, 2016/2017 e 2017/2018). The models showed a great performance and the NRMSE varied from 0,8% to 34%. The yield potential reported in RS using Oryza v3 was 14.8 t ha<sup>-1</sup>. From the point of view of best rice fields in RS was found that they are reaching 68% of yield potential, whereas the other fields are reaching 52% of yield potential in RS. This result indicates how much fields in RS still need to improve the management, where the most consistent factors to cause the gaps were sowing date, onset irrigation, pre-sowing weed control, soybean-rice rotation, and fertilizer. The combined use of farmers and strategize research and extension programs at is a great tool to capture regional variation which can help to inform.

**Key-words:** *Oryza sativa*, yield potential, yield gap, farmers, surveys.

## SUMÁRIO

1.INTRODUÇÃO E JUSTIFICATIVA.....	9
1.1. OBJETIVOS.....	10
1.1.2 Objetivos Específicos .....	10
2. REFERENCIAL TEÓRICO.....	10
2.1 A CULTURA DO ARROZ .....	11
2.2 MODELAGEM NA AGRICULTURA.....	12
2.3 ESTIMATIVA DO POTENCIAL DE PRODUTIVIDADE A PARTIR DE MODELOS AGRÍCOLAS ORYZA E SIMULARROZ .....	13
3. RESULTADOS .....	14
3.1 ARTIGO I: (PUBLICADO NA REVISTA PESQUISA AGROPECUÁRIA BRASILEIRA) .....	14
3.2 ARTIGO II: (SUBMETIDO PARA AGRONOMY JOURNAL).....	38
3.3 ARTIGO III : (SERÁ SUBMETIDO PARA EUROPEAN JOURNAL OF AGRONOMY) .....	60
4 DISCUSSÃO.....	84
5 CONCLUSÃO.....	85
REFERÊNCIAS BIBLIOGRÁFICAS .....	86
APÊNDICE .....	90



## 1. INTRODUÇÃO E JUSTIFICATIVA

O arroz (*Oryza sativa* L.) é o segundo cereal mais produzido no mundo, sendo fundamental para segurança alimentar do Planeta (FAO, 2018). Nos últimos dois anos (2014-2015), a área cultivada com arroz no mundo foi, aproximadamente, de 160 milhões de hectares, com uma produção de aproximadamente 478 milhões de toneladas, respectivamente. O Brasil é o nono maior produtor mundial de arroz, na média de cinco anos (2010-2014), a produção brasileira de arroz foi de 12 milhões de toneladas (USDA, 2018), sendo a região Sul (Paraná, Rio Grande do Sul e Santa Catarina) responsável por 82% da produção brasileira e o Estado do Rio Grande do Sul (RS) o maior produtor, com 73% da produção nacional (IRGA, 2018). Em termos de área, anualmente no RS são cultivados 1,1 milhão de hectares com arroz irrigado (CONAB, 2016), sendo que esta cultura tem grande participação no produto interno bruto gerado pelo setor agrícola neste Estado. Em ambiente de solo alagado é possível alcançar produtividades de 12 a 15 t ha<sup>-1</sup>, devido à adaptação da planta a essa condição (MENEZES et al., 2013).

Durante a primeira década do século XXI, ocorreram mudanças nas lavouras de arroz no Sul do Brasil. No arroz, a mudança iniciou em 2003 com o denominado “Projeto 10” do Instituto Rio Grandense do Arroz (IRGA), que teve como objetivo aumentar a produtividade média da cultura no Rio Grande do Sul, através do manejo integrado de plantas daninhas, insetos e doenças, aumento dos níveis de adubação e antecipação da época de semeadura, o que resultou no incremento da produtividade média de 5,5 Mg ha<sup>-1</sup> (1998-2002) para 7,5 Mg ha<sup>-1</sup> (2010-2015) (MENEZES et al., 2013). Apesar do contínuo aumento no produtividade médio do arroz nos últimos anos no RS, ainda há uma considerável diferença entre os produtividades medidos em experimentos de estações de pesquisa de arroz (13 Mg ha<sup>-1</sup>) e do produtividade médio atual de arroz (7,5 Mg ha<sup>-1</sup>) no RS (BATTISTI et al., 2013; IRGA 2016). Esta lacuna é um incentivo para continuar os esforços científicos visando minimizá-la.

O potencial de produtividade (PR) (também referido como produtividade potencial por muitos autores) é o produtividade de uma cultivar que cresce sem limitações de nutrientes, estresses bióticos (plantas daninhas, insetos e doenças) e água, ou seja, a taxa de crescimento da planta ou da cultura é determinada pela radiação solar interceptada pelo dossel, temperatura, CO<sub>2</sub> atmosférico e características genéticas (EVANS, 1993; VAN ITTERSUM; RABBINGE,

1997). A lacuna de produtividade (LR), do inglês *yield gap*, é a diferença entre PR ou PR<sub>A</sub> (para culturas de sequeiro) e os produtividades médios dos agricultores (R<sub>M</sub>) (LOBELL et al., 2009).

O tema da proposta (lacunas de produtividade – *Yield Gap*) é um dos temas agronômicos mais estudados atualmente nos Estados Unidos. Nos países em desenvolvimento, como o Brasil, este tema ainda não é muito estudado, porém nestes países a lacuna é, teoricamente, muito maior que nos países desenvolvidos devido ao nível tecnológico das lavouras ser mais baixo em função do custo dos insumos de produção. Neste projeto foi usada a metodologia mais recomendada internacionalmente para determinar a lacuna de produtividade (modelos agrícolas baseados em processos e dados coletados diretamente em lavouras comerciais) da principal cultura agrícola do Rio Grande do Sul (arroz). Assim, em nível internacional, a contribuição científica foi de determinar a lacuna de produtividade e os fatores biofísicos que causam esta lacuna em uma região agrícola importante utilizando uma metodologia aceita na comunidade científica internacional. Os dados gerados neste projeto serão compartilhados com o projeto GYGA ([www.yieldgap.org](http://www.yieldgap.org)), um esforço global para mapear as lacunas de produtividade ao redor do Planeta.

## 1.1. OBJETIVOS

### 1.1.1 Objetivo Geral

Estimar o potencial de produtividade e a lacuna de produtividade dos modelos SimulArroz e Oryza como simuladores da cultura de arroz irrigado no Rio Grande do Sul.

### 1.1.2 Objetivos Específicos

- Introduzir três cultivares convencionais de arroz atualmente, muito utilizadas no RS nos modelos SimulArroz e Oryza.
- Estimar o potencial de produtividade de cultivares de arroz irrigado do Estado do Rio Grande do Sul.
- Estimar a lacuna de produtividade da cultura do arroz no Estado do Rio Grande do Sul.
- Identificar os fatores biofísicos e de manejo que potencialmente explicam a lacuna de produtividade nas lavouras de arroz irrigado por inundação do Estado do Rio Grande do Sul.

## 2. REFERENCIAL TEÓRICO

## 2.1 A CULTURA DO ARROZ

A maioria das pessoas associam o arroz à Ásia, no entanto o arroz também é de origem africana. Entre as muitas espécies do gênero *Oryza*, apenas duas foram domesticadas, uma na Ásia (*Oryza sativa*) e a outra na África Ocidental (*Oryza glaberrima*) (LU, 1999). Enquanto a Ásia tem sido conhecida como país sinônimo da cultura do arroz, a África não. Contudo, uma exceção notável ocorre em comunidades isoladas do nordeste da América do Sul, onde descendentes de escravos e quilombolas comemoram o arroz como parte de sua herança africana. Desde o povo Suriname até o Cayenne e do outro lado da Amazônia, aos estados brasileiros do Amapá, Pará e Maranhão, surgiu uma tradição que afirma que uma mulher africana introduziu arroz escondendo grãos em seus cabelos. As sementes preciosas escaparam à detecção e, como explicam, foi assim que o arroz foi plantado nas américas, mesmo o arroz plantado na Carolina do Sul colonial, sugere um relato semelhante. Em 1726, o correspondente suíço, Jean Watt, observou que "foi por uma mulher que o arroz foi transplantado em Carolina" (VAILLANT, 1948).

Este relato apresenta uma perspectiva contrastante sobre as transferências transoceânicas de sementes que ocorreram entre os séculos XVI e XVIII e substitui os relatos de dispersão de sementes por navegadores ocidentais (navegadores europeus, colonos e pesquisadores). Foi por uma mulher africana escravizada, cujo esforço deliberado de seqüestrar grãos de arroz em seus cabelos foi possível que seus descendentes sobrevivessem (CROSBY, 2003). Desta forma, a história vincula as transferências de sementes de arroz ao comércio transatlântico de escravos, à iniciativa africana e as preferências de subsistência dos escravizados. Essa visão da introdução do arroz é estabelecida em uma região ampla, onde três potências européias criaram economias de plantação e contrasta fortemente com os relatos escritos que dão créditos aos marinheiros europeus as sementes da Ásia (RIBEIRO, 1983), sendo a única perspectiva compartilhada entre as duas versões da história que o arroz foi introduzido nas Américas.

No Brasil, o cereal foi cultivado para subsistência um século antes de seu surgimento, logo após a fundação da colônia da Carolina em 1670. Atualmente, 77% do arroz cultivado no Brasil encontra-se no estado do Rio Grande do Sul, onde é cultivado sob irrigação por inundação. O arroz é do gênero *Oryza sativa*, uma planta megatérmica, aquática, de cultivo anual, porte ereto, com altura variando de 60 a 150 cm, pertencente a subfamília Oryzoideae (BOLDRINI et al., 2005), adaptada a latitudes que variam de 50°N (Checoslováquia) a 35°S (Uruguai), ao nível do mar, e em elevadas altitudes (2000 m de altitude no Nepal) (CASTRO et al., 1987).

A evolução da produtividade de arroz nos Estados do Rio Grande do Sul se deve principalmente ao desenvolvimento de cultivares adaptadas as condições climáticas locais, que atendem as exigências do mercado e com maior tolerância aos estresses bióticos e abióticos, o que gerou cultivares de arroz denominadas "modernas", com alto teto produtivo (COMISSÃO DE AGRICULTURA PECUÁRIA E COOPERATIVISMO, 1999). Com cultivares mais responsivas ao manejo do solo e da cultura, o investimento financeiro e tecnológico se torna economicamente viável.

## 2.2 MODELAGEM NA AGRICULTURA

A produção de alimentos na agricultura tem se tornado cada vez mais complexa nas últimas décadas por instabilidades econômicas, inflações, preços no exterior e regulamentação governamentais, junto com oferta de dinheiro e manipulações de crédito. Para lidar com toda esta complexidade na agricultura modelos agrícolas tem sido vistos como uma poderosa ferramenta para avaliar e selecionar estratégias políticas (KROPFF, 1994, SHIN et al., 2006).

Modelos podem ser usados para gerar previsões quantitativas e avaliar o efeito de alternativas de decisões ou estratégias sob controle direto na política de mercado (KROPFF, 1994). Na essência, modelos podem oferecer uma estrutura para condução de experimentos em laboratórios sem influenciar diretamente na agricultura. Muitos modelos tem sido construídos com finalidade de fazer previsões climáticas e também da cultura, sendo o mais demandado, pois é utilizado na tomada de decisão na agricultura através de um sistema estocástico dinâmico (BOUMAN et al., 2000, AGGARWAL et al., 2006, ROSA et al., 2015, RIBAS et al., 2020).

Modelos matemáticos estão sendo cada vez mais utilizados na agricultura, pois são ferramentas de baixo custo operacional que permite descrever as complexas interações nos agroecossistemas (WALTER et al., 2012). Na área agrícola, para ser representativo e confiável, cada modelo matemático precisa ser adaptado e testado em diferentes ambientes. Após testados, com os modelos agrícolas pode-se prever o crescimento, o desenvolvimento e a produtividade da cultura em função das condições meteorológicas que ocorre em cada estação de crescimento, em diferentes locais (SHIN et al., 2006; SHIN et al., 2010).

Para a cultura do arroz existem modelos dinâmicos de simulação do produtividade de grãos mais complexos, como o CERES-rice (SINGH et al., 1993) e o ORYZA1 (KROPFF et al., 1994), e outros mais simplificados, como o InfoCrop (AGGARWAL et al., 2006), SimulArroz (STRECK et al., 2013; ROSA et al., 2015). Os modelos ORYZA e SimulArroz são modelos ecofisiológicos dinâmicos baseados em processos. Estes modelos utilizam a radiação

solar como forçante ambiental principal para o cálculo diário do acúmulo de matéria seca, e a temperatura mínima e máxima como base do cálculo da taxa de desenvolvimento da fenologia (BOUMAN & VAN LAAR, 2006; WALTER et al., 2014; ROSA et al., 2015).

O modelo ORYZA é o modelo de simulação da cultura do arroz do Instituto Internacional de Pesquisa em Arroz (IRRI - *The International Rice Research Institute*), nas Filipinas, e o modelo para estimativa de PR em estudos de lacuna de produtividade em arroz no projeto GYGA. O SimulArroz ([www.ufsm.br/simularroz](http://www.ufsm.br/simularroz)), é um modelo mais simples que o ORYZA, mas ajustado para o cultivo de arroz no RS e de fácil uso.

### 2.3 ESTIMATIVA DO POTENCIAL DE PRODUTIVIDADE A PARTIR DE MODELOS AGRÍCOLAS ORYZA E SIMULARROZ

Os modelos matemáticos baseados em processos (*process-based models*) são as ferramentas mais indicadas para estimar o potencial de produtividade (PP) (LOBELL et al., 2009). O PP é a produtividade de uma cultivar que cresce sem limitações de nutrientes, estresses bióticos (plantas daninhas, insetos e doenças) e água, ou seja, a taxa de crescimento da planta ou da cultura é determinada pela radiação solar interceptada pelo dossel, temperatura, CO<sub>2</sub> atmosférico e características genéticas (EVANS, 1993; VAN ITTERSUM & RABBINGE, 1997).

Os modelos ORYZA (BOUMAN et al., 2006) e SimulArroz (STRECK et al., 2013; ROSA et al., 2015) são modelos ecofisiológicos dinâmicos baseados em processos. Estes modelos utilizam a radiação solar como forçante ambiental principal para o cálculo diário do acúmulo de matéria seca, e a temperatura mínima e máxima como base do cálculo da taxa de desenvolvimento da fenologia (BOUMAN & VAN LAAR, 2006; WALTER et al., 2014; ROSA et al., 2015).

O modelo ORYZA é o modelo de simulação da cultura do arroz do Instituto Internacional de Pesquisa em Arroz (IRRI - *The International Rice Research Institute*), nas Filipinas, e o modelo para estimativa de PR em estudos de lacuna de rendimento em arroz no projeto GYGA. O ORYZA simula o crescimento e desenvolvimento de arroz irrigado em situações de potencial de produção, limitação de água e limitação de nitrogênio (BOUMAN & VAN LAAR, 2006), já foi calibrado para o cultivo de arroz em terras altas do Brasil (LORENÇONI et al., 2010; HEINEMANN et al., 2015), entretanto não se tem estudos da utilização deste modelo para o Rio Grande do Sul.

O SimulArroz ([www.ufsm.br/simularroz](http://www.ufsm.br/simularroz)), foi desenvolvido pela equipe FieldCrops da Universidade Federal de Santa Maria (UFSM), para simular o crescimento, desenvolvimento e produtividade de arroz irrigado no sistema por inundação para o estado do Rio Grande do Sul na condição potencial e em três níveis tecnológicos da lavoura (ALTO, INTERMEDIÁRIO e BAIXO). É um modelo mais simples que o ORYZA, mas ajustado para o cultivo de arroz no RS e de fácil uso. A atual versão do SimulArroz (versão 1.1) tem uma lista de vinte cultivares de arroz que podem ser selecionados pelo usuário. Atualmente, o SimulArroz foi selecionado para estimar o zoneamento agroclimático para a cultura do arroz irrigado no RS.

### **3. RESULTADOS**

#### **3.1 ARTIGO I: (PUBLICADO NA REVISTA PESQUISA AGROPECUÁRIA BRASILEIRA)**

## An update of new rice cultivars in the SimulArroz model

Giovana Ghisleni Ribas<sup>(1)</sup>, Nereu Augusto Streck<sup>(1)</sup>, Ary José Duarte Junior<sup>(1)</sup>, Bruna Rolin San Martin Ribeiro<sup>(1)</sup>, Isabela Bulegon Pilecco<sup>(1)</sup>, Ioran Guedes Rossato<sup>(1)</sup>, Gean Leonardo Richter<sup>(1)</sup>, Kelin Pribs Beixaira<sup>(1)</sup>, Vladison Fogliato Pereira<sup>(1)</sup> and Alencar Junior Zanon<sup>(1)</sup>

<sup>(1)</sup>Universidade Federal de Santa Maria/ Agrometeorology, Av. Roraima, 1000 – 97105-900 – Santa Maria, RS – Brazil. e-mails: giovana.ghisleni@hotmail.com, nstreck2@yahoo.com, aryduartee@gmail.com, brunasanmartinrolim@gmail.com, isabelabpilecco@gmail.com, ioranrossato@gmail.com, geanleonardorichter@gmail.com, kelin\_bexaira@hotmail.com, vladisom\_15@hotmail.com, alencarzanon@hotmail.com

**Abstract** - The objective of this study was to model the three rice cultivars currently most grown in the Rio Grande do Sul State in the SimulArroz model. The experiments to calibrated and validated SimulArroz model were conducted in Cachoeirinha, Santa Maria, Uruguaiana, Santa Vitória do Palmar e Cachoeira do Sul in Rio Grande do Sul, Brazil. There were evaluated the number of leaves, phenology, dry matter biomass aboveground and yield for the currently most grown cultivars in the State. The results showed a slightly overestimate of the R1, R4 and R9 stages, but overall, the model had good performance in simulating rice phenology for the three genotypes. Furthermore, the model had a reasonable accuracy in simulating aboveground dry matter and yield. The RMSE for dry matter aboveground ranged from 0.5 to 3.0 Mg ha<sup>-1</sup> (leaves, stems, panicle and grain). For yield the RMSE ranged from 0.8 to 1.3 Mg ha<sup>-1</sup>. The calibration of the SimulArroz model used is efficient in simulating the growth, development and grain yield for the most important irrigated rice cultivars in Southern Brazil and can be used to estimated harvest forecast, yield potential and yield gap studies.

**Index terms:** *Oryza sativa*, mathematical model, yield.

## Uma atualização de novas cultivares de arroz no modelo SimulArroz

27

28

29 **Resumo** - O objetivo deste trabalho foi modelar três cultivares de arroz atualmente mais  
30 cultivadas no Estado do Rio Grande do Sul no modelo SimulArroz. Os experimentos para  
31 calibrar e validar o modelo SimulArroz foram conduzidos em Cachoeirinha, Santa Maria,  
32 Uruguaiana, Santa Vitória do Palmar e Cachoeira do Sul, no Rio Grande do Sul, Brasil. Foram  
33 avaliados o número de folhas, a fenologia, a biomassa da matéria seca aérea e a produtividade  
34 das cultivares atualmente mais cultivadas no Estado. Os resultados mostraram uma leve  
35 superestimativa dos estádios R1, R4 e R9, mas no geral, o modelo apresentou bom desempenho  
36 na simulação da fenologia do arroz para os três genótipos. Além disso, o modelo teve uma  
37 precisão razoável em simular matéria seca e produtividade. O RMSE para a matéria seca da  
38 parte aérea variou de 0,5 a 3,0 Mg ha<sup>-1</sup> (folhas, caules, panículas e grãos). Para produtividade,  
39 o RMSE variou de 0,8 a 1,3 Mg ha<sup>-1</sup>. A calibração do modelo SimulArroz utilizado é eficiente  
40 em simular o crescimento, desenvolvimento e produtividade de grãos das cultivares de arroz  
41 irrigado mais importantes do Sul do Brasil e pode ser utilizada para estimar a previsão de safra,  
42 potencial de produtividade e estudos de lacunas de produtividade.

43 **Termos para indexação:** *Oryza sativa*, modelo matemático, produtividade.

44

45

### Introduction

46 Brazil is the first largest rice (*Oryza sativa* L.) producer in the world outside Asia (FAO,  
47 2018; USDA, 2018) with an annual production of around 11 Mt. The Rio Grande do Sul (RS)  
48 State is the largest producer of rice in Brazil (1.1 million ha) with 70% of the national production  
49 and a yield of 7.4 Mg ha<sup>-1</sup> (CONAB, 2019). Analyzing the time series of rice yield in RS, during  
50 the first decade of the 21<sup>st</sup> century, rice yield steady increased and reached 7.5 Mg ha<sup>-1</sup> in 2011  
51 as result of farmers adopting the Clearfield system (CL), and genetic breeding that developed



52 cultivars with resistance to the imidazolinone herbicide, such as IRGA 424 RI, Guri INTA CL  
53 and Puitá INTA CL (Menezes et al., 2013). Since 2012, rice yields have been stable and these  
54 cultivars represented around 80% of the farmers in the last two growing seasons (2016/2017  
55 and 2017/2018).

56 Simulation modelling is among the most used research techniques in recent years in  
57 Brazil, and its application in the rice area focused on the comparative assessment of different  
58 crop models in current and future weather scenarios (Walter et al., 2015; Castro et al., 2018;  
59 Ramirez-Villegas et al., 2018), the evaluation of alternative water management strategies  
60 (Heinemann, et al., 2002), and the assessment of the yield losses due weeds (Richter et al.,  
61 2019).

62 From a crop modeler perspective, the genotypic differences regulating the phenological  
63 development- e.g., the thermal requirements to reach flowering - the plant physiological traits -  
64 e.g., the specific leaf area - and its morphological features - e.g., the maximum plant height -  
65 are embedded into parameters, driving the response of process-level models, in turn leading to  
66 yield formation (Hossard et al., 2017). Model parameters can thus be considered as crop  
67 “genetic coefficients”, providing a mathematical representation of the gene effects under  
68 different environmental conditions (Boote et al., 2001). It follows that crop models could be  
69 successfully used to analyze the interactions between genotype, environment, and management  
70 (G×E×M) occurring at the yield level (Rattalino Edreira et al., 2017), estimating at the yield  
71 potential (Evans, 1993; Van Ittersum & Rabbinge, 1997), and quantifying the yield gap  
72 (difference between farm yield and yield potential, according to Van Ittersum et al., 2013).

73 In RS, irrigated rice modeling studies are provided by SimulArroz model (Rosa et al.,  
74 2015), which has already been calibrated for rice cultivars and technological farm levels, and it  
75 has been used for a variety of applications at a farm and regional levels, e.g. to evaluate, in  
76 "real-time" basis, the impact of current weather on irrigated rice yield potential (Rosa et al.,

2015; Ribas et al., 2017). As a result, SimulArroz model was selected for updating the Agricultural Zoning for rice in the State (ZARC), which is the first time a process-based model will be used for agricultural zoning in Brazil. Therefore, this model has a potential use as a tool to improve on-farm management through estimative of yield potential and yield gap, according to the methodology proposed by Grassini et al. (2015). However, the latest version of the SimulArroz model (Ribas et al., 2017) does not include the currently most grown cultivars in the RS state (IRGA 424 RI, Puitá INTA CL and Guri INTA CL) which is crucial to make happening those estimates (Cassman et al., 2003; Lobell et al., 2009; Van Ittersum et al., 2013), providing information about the yield potential and yield gap for irrigated rice in southern Brazil.

The objective of this study was to model the three rice cultivars currently most grown in the Rio Grande do Sul State into the SimulArroz model.

89

90

### **Material and Methods**

91

92

93

94

95

96

97

98

99

100

101

Field experiments were conducted during four growing seasons (2013/2014, 2014/2015, 2015/2016 and 2016/2017) in five locations (Table 1), which represent the range of environments where irrigated rice is grown in the Rio Grande do Sul State, Brazil. In these fields experiments with irrigated rice two cultivars of early maturation group (Puitá INTA-CL and Guri INTA CL) and one intermediate maturation group (IRGA 424 RI) were used. These cultivars represent around 80% of the rice area sown in Rio Grande do Sul, approximately 800 thousand hectares (IRGA, 2018). Sowing dates were on September, October, November and December, which are sowing dates within the period recommended by the rice agroclimatic zoning (Table 1). The experimental design was randomized blocks with four replicates. The sowing density was 0.1 Mg of seeds ha<sup>-1</sup>, at a spacing of 0.17 m between rows and a seeding depth of 0.03 m. Each plot had 20 meters long and 13 meters wide.

102 Leaf appearance and phenology were weekly evaluated by the Haun (Haun, 1973) and  
103 the Counce (Counce et al., 2000) scales, respectively. Panicle differentiation (R1) was  
104 determined through a destructive sampling of 10 plants and the R1 date was considered when  
105 50% of the plants were in this development stage. During the growing season in Cachoeirinha  
106 and Santa Maria, aboveground biomass was collected (clipped close to the soil), in an area of  
107 1.36 m<sup>2</sup> per cultivar at the following developmental stages: V2 (before irrigation), between V3  
108 and R1, R1, between R1 and R4, R4, between R4 and R9, R9. Aboveground biomass was  
109 separated into stems, panicles, and green leaf blade (>50% green area). Subsequently, the  
110 samples were oven dried at 60 °C until constant weight, and then weighted in a precision scale  
111 (0.001 g). For the determination of grain yield (Mg ha<sup>-1</sup>), an area of 20 m<sup>2</sup> was collected for  
112 each cultivar.

113 The genetic parameters calibrated in the SimulArroz model were: maximum rate of  
114 appearance of the first and second leaves (LAR<sub>max1,2</sub>), cumulative number of leaves on the  
115 main stem (HS), development rates (DVR), total thermal time necessary to complete the  
116 Sowing-Emergence phase (TTEM), total thermal time necessary to complete the Emergence-  
117 Panicle Differentiation phase (TTVG), total thermal time necessary to complete the Panicle  
118 Differentiation-Anthesis phase (TTRP), total thermal time necessary to complete the Anthesis-  
119 maturation phase (TTEG), radiation use efficiency (RUE), dry matter biomass aboveground  
120 (DM), assimilate partitioning factors; leaf area index (LAI), Spike formation factor (SOCF),  
121 and maximum grain weight (Pmax). The calibration approach was the same as in Rosa et al.  
122 (2015) and Ribas et al. (2017).

123 The evaluation of the model in simulating leaf appearance, phenology, aboveground dry  
124 matter (leaves, stems, panicle and grain yield) was performed with data from the experiments  
125 described in Table 1. The model was run in the potential level mode for the experiments where  
126 dry matter was collected and in the high technology mode for the remaining experiments. The

127 potential level in the model represents experiments without biotic and abiotic stress, while high  
 128 technological level in the model represents the best farmers in state, which use to integrated  
 129 management of weeds, insects and diseases, and high fertilization (Menezes et al., 2013). The  
 130 weather data to run the model were from automatic weather stations located close to the  
 131 experiments in each location as possible.

132 The performance of the SimulArroz model was evaluated using the statistics measuring  
 133 the accuracy, precision, and trend metrics by root-mean-square error (RMSE) – equation 1  
 134 (Janssen e Heuberger, 1995), normalized-root-mean-square error (NRMSE) – equation 2  
 135 (Janssen e Heuberger, 1995), BIAS index – equation 3 (Gabriel, et al., 2014), agreement index  
 136 (dw) – equation 4 (Gabriel, et al., 2014), adjusted coefficient of determination ( $R^2_a$ ) – equation  
 137 5 (Srivastava et al., 1995), and Systematic Error (Es) – equation 6 (Streck et al., 2008)

138

### 139 1. ACCURACY METRICS :

140

$$141 \text{ RMSE} = \left[ \frac{\sum (S_i - O_i)^2}{n} \right]^{0.5} \quad (1)$$

142

$$143 \text{ NRMSE} = 100 \times \text{RMSE} / \bar{O} \quad (2)$$

144

$$145 \text{ BIAS} = \frac{\sum S_i - \sum O_i}{\sum O_i} \quad (3)$$

146

$$147 d_w = 1 - \frac{\sum (S_i - O_i)^2}{[(\sum S_i - \bar{O}) + (\sum O_i - \bar{O})]^2} \quad (4)$$

148

### 149 2. METRICS FOR ACCURACY :

$$150 R^2_a = \frac{\sum_{i=1}^N (S_i - \bar{O})^2}{\sum_{i=1}^N (O_i - \bar{O})^2} \quad (5)$$

151

152 3. TREND METRICS:

$$153 \quad E_s = \sqrt{\frac{\sum_{i=1}^N (O_i - \bar{O})^2}{n}} \quad (6)$$

154

155 Where,  $S_i$  - simulated values;  $S$  - mean of simulated values;  $O_i$  - observed values;  $\bar{O}$  - mean of  
 156 observed values; and  $n$  - number of observations.

157

### Results and Discussion

158

159 The maximum appearance rates of the first and second leaves ( $LAR_{\max 1,2}$ ) were similar  
 160 for Guri INTA CL, Puitá INTA CL and IRGA 424 RI cultivars (Table 2), indicating that leaf  
 161 appearance is not different among these three genotypes. For the thermal time (TTEM), the  
 162 duration of the Emergence-Panicle Differentiation and Panicle Differentiation-Anthesis phases  
 163 are shorter in early than in intermediate maturity cultivars (Table 2), as verified in rice hybrids  
 164 by Ribas et al. (2017). In addition, RUE and LAI for Puitá INTA CL and RUE for Guri INTA  
 165 CL were higher than for IRGA 424 RI, indicating greater efficiency in converting light energy  
 166 (solar radiation) into chemical energy (photosynthesis). However, Puitá INTA CL and Guri  
 167 INTA CL had a lower SOCF and  $P_{\max}$ , which caused lower grain yield in Puitá INTA CL (10.2  
 168  $Mg \text{ ha}^{-1}$ ) and Guri INTA CL (11.5  $Mg \text{ ha}^{-1}$ ) compared to IRGA 424 RI (13.2  $Mg \text{ ha}^{-1}$ ) (Table

169

170 Despite a general slight underestimation, the SimulArroz model accurately simulated  
 171 HS values (Figure 1a), with an RMSE equal to 1 leaf, which is close to values (0.6 to 1.48  
 172 leaves) found for rice by Streck et al. (2008) using Streck, Wang and Engel and phyllochron  
 173 models. In all cases the other statistics indicate a good model performance for this variable. A  
 174 slightly overestimate of the R1, R4 and R9 stages was observed, as verified by RMSE ranging  
 175 from 3 to 8 days, and by NRMSE ranging from 6% to 26% (Figure 1b). These values are similar  
 to the RMSE for rice varied from 3 to 7 days (RMSE) using the ORYZA2000 model (Van Oort

176 et al., 2011). In Italy, Mongiano et al. (2019) reported RMSE and NRMSE values for rice of  
177 5.5 (R1), 7.1 (R9) and 6.2% (R1) 22% (R9) using the WOFOST\_GT model. Overall, the model  
178 had good performance in simulating rice phenology for the three genotypes (Figure 1b).

179 The cultivars (IRGA 424 RI, Guri INTA CL and Puitá INTA CL) allocated more  
180 photoassimilates into the leaves, translocating more than 50% until the development stage  
181 (DVS) of 0.43 (Table 3), compared to rice hybrids (40% into the leaves) (Ribas et al., 2017).  
182 Rice hybrids allocate more photoassimilates into the stems to sustain a bigger panicle (Ribas et  
183 al., 2017). In general, SimulArroz had a reasonable accuracy in simulating aboveground  
184 biomass accumulation (Figure 2a to 2d). The RMSE ( $\text{Mg ha}^{-1}$ ) of simulation aboveground DM,  
185 leaves, stems and panicle IRGA 424 RI ranged from 1.0 to 3.0  $\text{Mg ha}^{-1}$ . The values of the index  
186 BIAS, indicated an overestimation of the model for the Guri INTA CL and Puitá INTA CL  
187 cultivars in DM partitioning, with the exception of the total DM in Guri INTA CL cultivar, and  
188 an underestimate to the cultivar IRGA 424 RI, except for DM of leaves. In addition, the index  
189  $d_w$  indicated a good performance of the model, with values above 0.80 (Figure 2). As a result,  
190 the  $E_s$  and  $R_a^2$  ranging from 0.6% to 9.3% and from 0.52 to 0.97, respectively for dry matter.  
191 Tang et al. (2009) to apply the models RiceGrow and ORYZA2000 to describe the aboveground  
192 dry matter and grain yield they found RMSE values from 0.2 to 0.8  $\text{Mg ha}^{-1}$  (Table 4). In turn,  
193 in study of Confalonieri et al. (2016) with rice, WARM model reported large values of RMSE,  
194 between 0.97 to 3.78  $\text{Mg ha}^{-1}$  and NRMSE values between 8% to 36%, respectively to  
195 aboveground and panicle dry matter. For dry matter grain yield, the RMSE and NRQME of  
196 SimulArroz model varied from 0.6 to 1.0  $\text{Mg ha}^{-1}$  and from 6.3 to 8.3% respectively (Figure  
197 2e). As a result, Tang et al. (2009) and Artacho et al. (2011) achieved values of RMSE (from  
198 0.6 to 1.6  $\text{Mg ha}^{-1}$ ) and NRMSE (19%) slightly higher in relation to the SimulArroz model of  
199 this study for grain yield.

200 In the validation of the model with the simulated grain yield a comparison was made  
201 with yield dataset of experiments with different sowing dates with the cultivars IRGA 424 RI,  
202 Guri INTA CL and Puitá INTA CL being RMSE and NRMSE ranging from 0.8 to 1.3 Mg ha<sup>-1</sup>  
203 and from 10.5 to 11.2% respectively. In China, Boling et al. (2011) reported a RMSE of 0.6 Mg  
204 ha<sup>-1</sup> and an NRMSE of 20.4 % for rice, showing that the errors of the present study are within  
205 the range reported by the authors mentioned. Same in Italy, where Mongiano, et al. (2019)  
206 reported RMSE and NRMSE of 0.81 Mg ha<sup>-1</sup> and 13.2%, respectively, using the WOFOST\_GT  
207 model. Also, the SimulArroz model simulated yields ranging from 4.1 to 15.0 Mg ha<sup>-1</sup>,  
208 indirectly proving the robustness of the model approach (Figure 3). The relationship between  
209 the experimental data and data generated by the model confirmed the goodness of fit of the  
210 models to the yield with  $R_a^2$  ranging from 0.59 to 0.78 and Es approximately of 8.9%, these  
211 results are in agreement with the literature.

212 Following the international literature, rice models have been used by researchers to estimate the  
213 yield impact across stacking resistance in rice fields by using CL variates (Dauer et al., 2017),  
214 rice hydration at different thermal conditions (Balbinoti et al., 2018a), estimates of rice yield  
215 potential and yield gap (Deng et al., 2019; Liu et al., 2019), and modeling the interactions of  
216 rice structure and level protein-ligand (Baicharoen et al., 2018) which could lead to an  
217 enhancement in rice quality, market price and increase the yielded without increase area.  
218 Furthermore, models with the same fits are mathematically identical and can be used by anyone  
219 to modeling plant behavior (Balbinoti, et al., 2018b; Dauer et al., 2017; Baicharoen et al., 2018).  
220 In this study, the analysis of the statistical parameters allowed concluding that the SimulArroz  
221 model may with the same degree of quality describe the growth and development for irrigated  
222 rice.

223 Therefore, the robustness and accuracy of SimulArroz combined with the low requirements in  
224 terms of inputs for reproducing biophysical processes strongly influencing the year-to-year

225 yield variation, make the model suitable for grain yields of the most important CL cultivars of  
226 irrigated rice in RS. The model can be applied with confidence to explore potential yields in  
227 this State, also, this study confirmed the existence of a yield gap between potential and actual  
228 yields. The average simulated yields potential (13.5 Mg ha<sup>-1</sup>) exceeded the actual yield to the  
229 cultivars IRGA 424 RI, Guri INTA CL and Puitá INTA CL in the same growing season (7.5  
230 Mg ha<sup>-1</sup>) (IRGA 2018).

### 231 **Conclusions**

- 232 1. The SimulArroz model tested in this study made possible to predict the reproduce growth,  
233 development and grain yield variability within years and locations for IRGA 424 RI, Puitá  
234 INTA CL and Guri INTA CL with NRMSE between 6% to 105%.
- 235
- 236 2. The evaluation of the parameter mean of RMSE (7 days to phenology; 1.4 Mg ha<sup>-1</sup> to dry  
237 matter and grain yield),  $R_a^2$  (0.77) and  $E_s$  (13%) demonstrate that the SimulArroz model  
238 present good fitness to the experimental data (109 field experiments) in the major rice-  
239 producing area of the Brazil (Rio Grande do Sul) with a mean relative error of 28%, and  
240 due to its predictive ability, this model can support potential yield and yield gap studies.

### 241 **References**

- 242 AGGARWAL, P.K.; KALRA, N.; CHANDER, S.; PATHAK, H. InfoCrop: a dynamic  
243 simulation model for the assessment of crop yields, losses due to pests, and environmental  
244 impact of agro-ecosystems in tropical environments. **Agricultural Systems**, v.89, p.1-25, 2006.  
245 DOI: 10.1016/j.agsy.2005.08.001.
- 246 ARTACHO, P.; MEZA, F.; ALCALDE, J.A. Evaluation of the Oryza2000 rice growth model  
247 under nitrogen-limited conditions in an irrigated Mediterranean environment. **Chilean Journal**  
248 **of Agricultural Research**, v.71, p.23-33, 2011. DOI: 10.4067/S0718-58392011000100003.



- 249 BAICHAROEN, A., VIJAYAN, R.; PONGPRAYOON, P. Structural insights into betaine  
250 aldehyde dehydrogenase (BADH2) from *Oryza sativa* explored by modeling and  
251 simulations. **Scientific reports**, v.8, p.12892, 2018. DOI: 10.1038/s41598-018-31204-z.
- 252 BALBINOTI, T. C. V., DE MATOS JORGE, L. M.; JORGE, R. M. M. Mathematical modeling  
253 of paddy (*Oryza sativa*) hydration in different thermal conditions assisted by Raman  
254 spectroscopy. **Journal of cereal science**, v.79, p.390-398, 2018a. DOI:  
255 10.1016/j.jcs.2017.11.019.
- 256 BALBINOTI, T. C. V., DE MATOS JORGE, L. M.; JORGE, R. M. M. Modeling the hydration  
257 step of the rice (*Oryza sativa*) parboiling process. **Journal of Food Engineering**, v.216, p.81-  
258 89, 2018b. DOI: 10.1016/j.jfoodeng.2017.07.020.
- 259 BOLING, A.A.; BOUMAN, B.A.M.; TUONG, T.P.; KONBOON, Y.;  
260 HARNPICHITVITAYA, D. Yield gap analysis and the effect of nitrogen and water on  
261 photoperiod-sensitive Jasmine rice in north-east Thailand. **Wageningen Journal of Life**  
262 **Science**, v.58, p.11-19, 2011. DOI: 10.1016/j.njas.2010.05.001.
- 263 BOOTE, K.J.; KROPFF, M.J.; BINDRABAN, P.S. Physiology and modelling of traits in crop  
264 plants: implications for genetic improvement. *Agricultural System*. v.70, p.395–420. 2001.  
265 DOI:10.1016/s0308-521x(01)00053-1.
- 266 BOUMAN, B.A.M.; KROPFF, M.J.; TUONG, T.P.; WOPEREIS, M.C.S.; TEN BERGE,  
267 H.F.M.; LAAR, H.H. VAN. **Oryza 2000: modeling lowland rice**. Manila, Philippines:  
268 International Rice Research Institute (IRRI), 2004. 245p.
- 269 CASSMAN, K.G.; DOBERMANN, A.; WALTERS, D.T.; YANG, H. Meeting cereal demand  
270 while protecting natural resources and improving environmental quality. **Annual Review**  
271 **Environment Resources**, v.28, p.315–358, 2003. DOI:  
272 10.1146/annurev.energy.28.040202.122858.

- 273 CASTRO, J. R. D., CUADRA, S. V., PINTO, L. B., SOUZA, J. M. H. D., SANTOS, M. P. D.;  
274 HEINEMANN, A. B. Parametrization of Models and Use of Estimated Global Solar Radiation  
275 Data in the Irrigated Rice Yield Simulation. **Revista Brasileira de Meteorologia**, v.33, p.238-  
276 246, 2018. DOI: 10.1590/0102-7786332003.
- 277 CONAB. **Acompanhamento da safra brasileira de grãos**. Available at: < www.conab.gov.br  
278 >. Accessed on: May. 01 2018.
- 279 CONFALONIERI, R.; BREGAGLIO, S.; ACUTIS, M. Quantifying uncertainty in crop model  
280 predictions due to the uncertainty in the observations used for calibration. **Ecological**  
281 **modelling**, v.328, p.72-77, 2016. DOI: 10.1016/j.ecolmodel.2016.02.013
- 282 COUNCE, P.; KEISLING, T.C.; MITCHELL, A.J. A uniform, objective, and adaptative system  
283 for expressing rice development. **Crop Science**, v.40, p.436-443, 2000. DOI:  
284 10.2135/cropsci2000.402436x.
- 285 DAUER, J., HULTING, A., CARLSON, D., MANKIN, L., HARDEN, J.; MALLORY-  
286 SMITH, C. Gene flow from single and stacked herbicide-resistant rice (*Oryza sativa*): modeling  
287 occurrence of multiple herbicide-resistant weedy rice. **Pest Management Science**, v.74, p.348-  
288 355, 2018. DOI: 10.1002/ps.4711.
- 289 DENG, N.; GRASSINI, P.; YANG, H.; HUANG, J.; CASSMAN, K. G.; PENG, S. Closing  
290 yield gaps for rice self-sufficiency in China. **Nature communications**, v.10, 1725, 2019.  
291 DOI: 10.1038/s41467-019-09447-9.
- 292 ESPE, M.B.; CASSMAN, K.G.; YANG, H.; GUILPART, N.; GRASSINI, P.; VAN WART,  
293 J.; ANDRES M.; BEIGHLEY D.; HARELL D.; LISCOMBE S.; MCKENZE K.; MUTTERS  
294 R.; WILSON L.T.; LINQUIST. B.A. Yield gap analysis of US rice production systems shows  
295 opportunities for improvement. **Field Crops Research**. v.196, p.276-283, 2016. DOI:  
296 10.1016/j.fcr.2016.07.011.
- 297 EVANS, L. T. Crop evolution, adaptation and yield. Cambridge university press.1996.

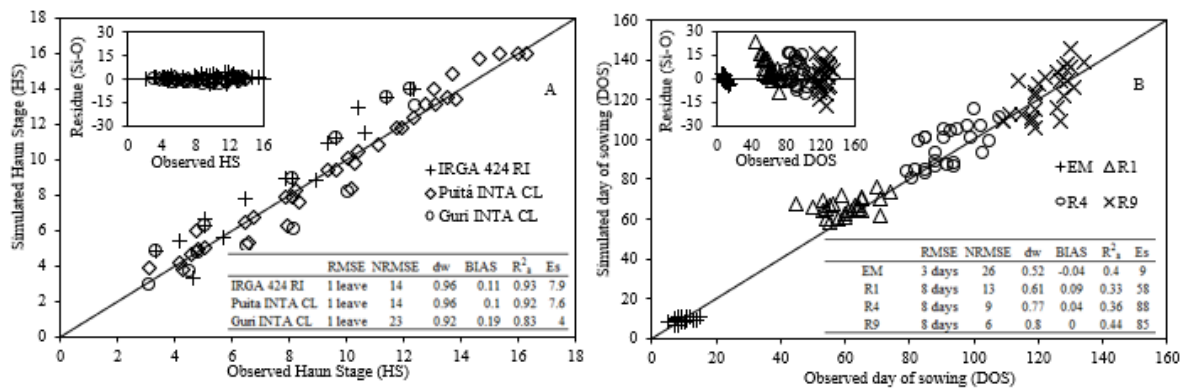
- 298 FAO. **Database of the Food and Agricultural Organization of the United Nations.**  
299 Available at: <[www.fao.org/faostat/en/#data/QC](http://www.fao.org/faostat/en/#data/QC)>. Accessed on: May. 01 2018.
- 300 GABRIEL, L.F.; STRECK, N.A.; ROBERTI, D.R.; CHIELLE, Z.G.; UHLMANN, L.O.;  
301 SILVA, M. R.DA.; SILVA, S.D. da. Simulating cassava growth and yield under potential  
302 conditions in Southern Brazil. **Agronomy Journal**, v.106, p.1119-1137, 2014. DOI:  
303 10.2134/agronj2013.0187.
- 304 GRASSINI, P.; TORRION, J.A.; YANG, H.S.; REES, J.; ANDERSEN, D.; CASSMAN, K.G.;  
305 SPECHT, J.E. Soybean yield gaps and water productivity in the western U.S. Corn Belt. **Field**  
306 **Crops Research**, v.179, p.150-163, 2015. DOI: 10.1016/j.fcr.2015.04.015.
- 307 HAUN, J.R. Visual quantification of wheat development. **Agronomy Journal**, v.65, p.116-119,  
308 1973. DOI: 10.2134/agronj1973.00021962006500010035x.
- 309 HEINEMANN, A. B.; HOOGENBOOM, G.; DE FARIA, R. T. Determination of spatial water  
310 requirements at county and regional levels using crop models and GIS: An example for the State  
311 of Parana, Brazil. **Agricultural Water Management**, v.52, p.177-196, 2002. DOI:  
312 10.1016/S0378-3774(01)00137-8.
- 313 HOSSARD, L.; BREGAGLIO, S.; PHILIBERT, A.; RUGET, F.; RESMOND, R.; CAPPELLI,  
314 G.; DELMOTTE, S. A web application to facilitate crop model comparison in ensemble studies.  
315 *Environmental Model Software*. v.97, p.259–270. 2017. DOI:10.1016/j.envsoft.2017.08.008.
- 316 IRGA. **Levantamento da área semeada com arroz irrigado no Rio Grande do Sul.**  
317 Available at: <<http://www.irga.rs.gov.br>>. Accessed on: Feb. 20 2018.
- 318 JANSSEN, P. H. M.; HEUBERGER, P. S. C. Calibration of process-oriented models.  
319 **Ecological Modelling**, v.83, p.55-56, 1995. DOI: 10.1016/0304-3800(95)00084-9.
- 320 LI, T.; ANGELES, O.; MARCAIDA M.; MANALO, E.; MANALILI, M. P.; RADANIELSON,  
321 A.; MOHANTY, S. From ORYZA2000 to ORYZA (v3): An improved simulation model for

- 322 rice in drought and nitrogen-deficient environments. **Agricultural and forest meteorology**,  
323 v.237, p.246-256, 2017. DOI: 10.1016/j.agrformet.2017.02.025.
- 324 LIU, Y., LI, C., FANG, B., FANG, Y., CHEN, K., ZHANG, Y.; ZHANG, H. Potential for  
325 high yield with increased seedling density and decreased N fertilizer application under  
326 seedling-throwing rice cultivation. **Scientific reports**, v.9, p.731. 2019. DOI:  
327 10.1038/s41598-018-36978-w.
- 328 LOBELL, D.B.; CASSMAN, K.G.; FIELD, C.B. Crop yield gaps: their importance,  
329 magnitudes, and causes. **Annual Review Environment Resources**, v.34, p.179–204, 2009.  
330 DOI: 10.1146/annurev.environ.041008.093740.
- 331 MENEZES, V. G.; ANGHINONI, I.; SILVA, P. R. F. DA; MACEDO, V. R. M.; PETRY, C.;  
332 GROHS, D. S.; FREITAS, T. F. S. DE; VALENTE, L. A. L. **Project 10 - Management**  
333 **strategies to increase yield and sustainability of irrigated rice in RS: advances and new**  
334 **challenges**. Cachoeirinha, Brazil: Instituto Rio Grandense do Arroz (IRGA), 2013. 96p.
- 335 MONGIANO, G.; TITONE, P.; TAMBORINI, L.; PILU, R.; BREGAGLIO, S. Advancing crop  
336 modelling capabilities through cultivar-specific parameters sets for the Italian rice germplasm.  
337 **Field Crops Research**, v.240, p.44-54. 2019. DOI: 10.1016/j.fcr.2019.05.012
- 338 RAMIREZ-VILLEGAS, J., HEINEMANN, A. B., PEREIRA DE CASTRO, A.,  
339 BRESEGHELLO, F.; NAVARRO-RACINES, C., LI, T., REBOLLEDO, M.C.;
- 340 CHALLINOR, A. J. Breeding implications of drought stress under future climate for upland  
341 rice in Brazil. **Global Change Biology**, v.24. p.2035-2050, 2018. DOI: 10.1111/gcb.14071.
- 342 RIBAS, G.G.; STRECK, N.A.; DUARTE JUNIOR, A.J.; NASCIMENTO, M.F.; ZANON, A.J.;
- 343 SILVA, M.R. Number of leaves and phenology of rice hybrids simulated by the SimulArroz  
344 model. **Revista Brasileira de Engenharia Agrícola e Ambiental**, v.21, p.221-226, 2017. DOI:  
345 10.1590/1807-1929/agriambi.v21n4p221-226.

- 346 RICHTER, G. L.; STRECK, N. A.; ZANON, A. J.; ULGUIM, A. D. R.; KRUSE, N. D.;
- 347 SANTOS, G. A. D. A. D.; CERA, J.C.; RIBAS, G.G.; DUARTE JUNIOR, A.J.; PILECCO, I.
- 348 B. Introducing rice yield loss caused by weed competition into the SimulArroz model. Pesquisa
- 349 Agropecuária Brasileira, v.54. 2019. DOI: 10.1590/s1678-3921.pab2019.v54.01418
- 350 ROSA, H.T.; WALTER, L.C.; STRECK, N.A.; CARLI, C.DE; RIBAS, G.G.; MARCHESAN,
- 351 E. Simulação do crescimento e produtividade de arroz no Rio Grande do Sul pelo modelo
- 352 SimulArroz. **Revista Brasileira de Engenharia Agrícola e Ambiental**, v.19, p.1159-1165,
- 353 2015. DOI: 10.1590/1807-1929/agriambi.v19n12p1159-1165
- 354 SRIVASTAVA, A. K.; SRIVASTAVA, V. K.; ULLAH, A. The coefficient of determination
- 355 and its adjusted version in linear regression models. *Econometric Reviews*, v.14. p. 229-240.
- 356 1995. DOI: 10.1080/02664760802553000
- 357 STÖCKLE C.O.; WILLIAMS J.R.; ROSENBERG C.A.; JONES C.A. A method for estimating
- 358 direct and climatic effects of rising atmospheric carbon dioxide on crops growth and yield.
- 359 **Agricultural Systems**, v.38, p.225–238, 1992. DOI: 10.1016/0308-521X(92)90067-X.
- 360 STRECK, N. A.; BOSCO, L. C.; LAGO, I. Simulating leaf appearance in rice. **Agronomy**
- 361 **Journal**, v.100, p.490-501, 2008. DOI: 10.2134/agronj2007.0156.
- 362 TANG, L.; ZHU, Y.; HANNAWAY, D.; MENG, Y.; LIU, L.; CHEN, L.; CAO, W. RiceGrow:
- 363 A rice growth and productivity model. **NJAS-Wageningen Journal of Life Sciences**, v.57,
- 364 p.83-92, 2009. DOI: 10.1016/j.njas.2009.12.003.
- 365 USDA. **Production, Supply and Distribution**. Available at:
- 366 <[www.usda.gov/wps/portal/usda/usdahome?navid=DATA\\_STATISTICS](http://www.usda.gov/wps/portal/usda/usdahome?navid=DATA_STATISTICS)> Accessed on: Feb.
- 367 20 2018.
- 368 VAN ITTERSUM, M. K., & RABBINGE, R. Concepts in production ecology for analysis and
- 369 quantification of agricultural input-output combinations. *Field Crops Research*, v.52. p. 197-
- 370 208. 1997. DOI: 10.1016/s0378-4290(97)00037-3

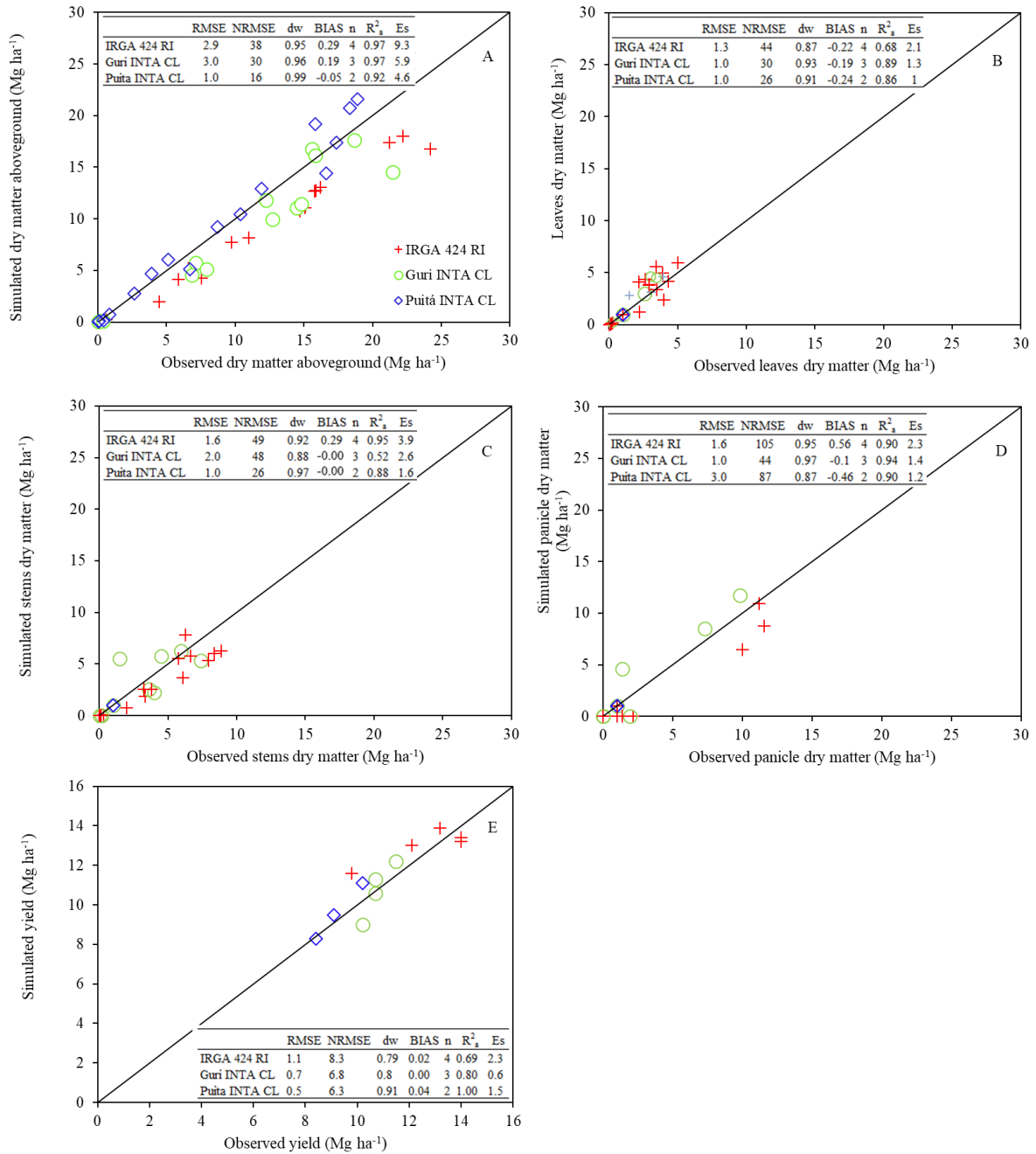
- 371 VAN ITTERSUM, M.K.; CASSMAN, K.G.; GRASSINI, P.; WOLF, J.; TITTONELL, P.;  
372 HOCHMAND, Z. Yield gap analysis with local to global relevance—a review. **Field Crops**  
373 **Research**, v.143, p.4–17. 2013. DOI: 10.1016/j.fcr.2012.09.009
- 374 VAN OORT, P.A.J.; ZHANG, T.; DE VRIES, M.E.; HEINEMANN, A. B.; MEINKE, H.  
375 Correlation between temperature and phenology prediction error in rice (*Oryza sativa* L.).  
376 **Agricultural and Forest Meteorology**, v.151, p.1545-1555, 2011. DOI:  
377 10.1016/j.agrformet.2011.06.012.
- 378 WALTER, L. C.; STRECK, N. A.; ROSA, H. T. Mecanismos de aclimação das plantas à  
379 elevada concentração de CO<sub>2</sub>. *Ciência Rural*, v. 45, p. 1564-1571, 2015. DOI: 10.1590/0103-  
380 8478cr20140527

381



382

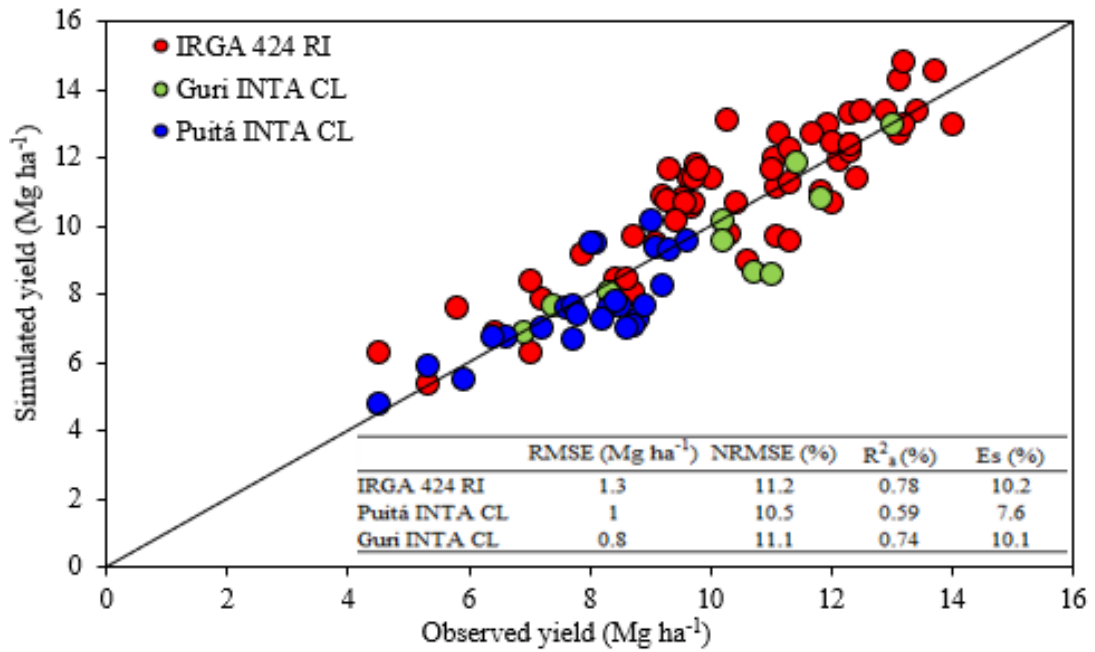
383 **Figure 1.** Evaluation of SimulArroz model in simulating the HS (A) and Days of Sowing (B),  
 384 following the Counce Scale: Sowing-Emergence phase (EM), panicle differentiation (R1),  
 385 anthesis (R4) and physiological maturity (R9). The model was run in potential-level mode, for  
 386 three cultivars of irrigated rice and two seasons in Rio Grande do Sul (see Table 1). n is the  
 387 number of observations, RMSE (leaves; days - units), NMRSE (%), BIAS, dw,  $R_a^2$  (%), Es (%).



388

389 **Figure 2.** Evaluation of SimulArroz model to the total dry matter aboveground (DM) (A),  
 390 leaves (B), stems (C), panicle (D) and grain yield at 13% moisture (E). The model was run in  
 391 potential mode for three irrigated rice cultivars, in two growing season and two sites in Rio  
 392 Grande do Sul (see Table 1). RMSE (Mg ha<sup>-1</sup>), NRMSE (%)BIAS = index (BIAS), dw, R<sup>2</sup><sub>a</sub> (%)  
 393 and Es (%) and n is the number of observations.





394

395 **Figure 3.** Evaluation of SimulArroz model for the observed grain yield at 13% moisture in the  
 396 experiments with different sowing dates. The model was run in the high-level mode for three  
 397 cultivars, in five sites and four growing seasons (see Table 1). Statistics analyses are showed.

398 **Table 1.** Experiments with flood-irrigated rice conducted during four growing seasons  
 399 (2013/2014, 2014/2015, 2015/2016 and 2016/2017) at the five locations in the Rio Grande do  
 400 Sul State, Brazil, used in the study to calibration and evaluation (independent data) of the  
 401 submodels of leaf appearance, phenology, dry matter partitioning and yield in the SimulArroz  
 402 model.

Experiments (location)	Data	Calibration		Evaluation	
	Soil Type (Clay %)	n* Sowing date (range)	n** Cultivars (MG)	n* Sowing date (range)	n** Cultivars (MG)
Cachoeirinha (29° 95' S, 51° 12' W and 17 m)	Typic Albaqualf (6%)	2 (Oct 01 - Nov 09)	3 (early – intermediate cycle)	33 (Oct 18 - Dez 15)	3 (early – intermediate cycle)
Cachoeira do Sul (-30° 02' S, -52° 53' W and 68 m)	Typic Albaqualf (6%)	-	-	20 (Set 01 - Dez 15)	3 (early – intermediate cycle)
Santa Vitória do Palmar (-33° 51' S, -53° 35' W and 24 m)	Typic Albaqualf (6%)	-	-	16 (Set 01 - Dez 15)	3 (early – intermediate cycle)
Santa Maria (-29° 72' S, -53° 71' W and 95 m),	Typic Hapludalf (43%)	-	-	15 (Oct 24 - Dez 03)	3 (early – intermediate cycle)
Uruguaiana (-29° 83' S, -57° 08' W and 74 m),	Lithic Udorthent (39%)	-	-	23 (Set 01 - Dez 15)	3 (early – intermediate cycle)

403 n\*: number, n\*\*: Guri INTA CL and Puitá INTA CL - Early cycle (106 to 120 days); IRGA  
 404 424 RI - Intermediate cycle (121 to 135 days).

405 **Table 2.** Parameters of the submodels of leaf production and phenology in the SimulArroz  
 406 model calibrated for three rice cultivars.

Parameter*	Unit	Cultivars		
		IRGA 424 RI	Guri INTA CL	Puitá INTA CL
LAR <sub>max 1,2</sub>	Leaves day <sup>-1</sup>	0.272	0.276	0.276
TTEM	°C day	80.0	80.0	80.0
TTVG	°C day	659.2	581.6	591.4
TTRP	°C day	168.4	134.6	156.85
TTEG	°C day	108.7	95.9	89.81
RUE	g MJ <sup>-1</sup>	2.87	2.65	2.77
LAI		8.3	8.3	6.5
SOCF	spikelets /g MS	70.0	90.0	90.0
Pmax	grams (g)	0.0232	0.0245	0.0245

407 \* LAR<sub>max 1,2</sub> = the maximum appearance rate of the first and second leaves; TTEM = total  
408 thermal to complete the Sowing-Emergence phase; TTVG = total thermal time to complete the  
409 Emergence-Panicle Differentiation phase; TTRP = total thermal time to complete the Panicle  
410 Differentiation-Anthesis phase; TTEG = total thermal time to complete the Anthesis-  
411 maturation phase; RUE = radiation use efficiency; LAI = leaf area index; SOCF = Spike  
412 formation factor, Pmax = maximum grain weight.

413 **Table 3.** Parameters of the partitioning dry matter, development stage of irrigated rice (DVS),  
 414 leaves (L), Stems (S) and panicle (P) of the SimulArroz model calibrated for three rice cultivars  
 415 (IRGA 424 RI, Guri INTA CL, Puitá INTA CL) compared to rice hybrids that were already  
 416 into the SimulArroz model. The model was run in the potential level mode.

		CULTIVARES											
DVS	Dry matter	IRGA 424 RI			Guri INTA CL			Puitá INTA CL			Híbridos		
(1)	aboveground	L.	S.	P.	L.	S.	P.	L.	S.	P.	L.	S.	P.
0	0.5	0.73	0.27	0.0	0.7	0.30	0.0	0.75	0.25	0.0	0.4	0.6	0.0
0.43	0.75	0.5	0.5	0.0	0.6	0.4	0.0	0.48	0.52	0.0	0.4	0.6	0.0
0.75	0.75	0.3	0.7	0.0	0.2	0.8	0.0	0.19	0.81	0.0	0.3	0.7	0.0
1.0	1.0	0.0	0.9	0.1	0.0	0.8	0.2	0.0	0.90	0.1	0.1	0.3	0.6
1.2	1.0	0.0	0.0	1.0	0.0	0.0	1.0	0.0	0.0	1.0	0.0	0.0	1.0
1.6	1.0	0.0	0.0	1.0	0.0	0.0	1.0	0.0	0.0	1.0	0.0	0.0	1.0
2.0	1.0	0.0	0.0	1.0	0.0	0.0	1.0	0.0	0.0	1.0	0.0	0.0	1.0

417 <sup>(1)</sup>DVS = Developmental stages; 0 = emergency; 1.0 = anthesis or flowering; 2.0 = physiological  
 418 maturity.

419 **Table 4.** Statistical analyses of both data described in the literature and SimulArroz model  
 420 reported in this study. The comparison below was made between mathematical models  
 421 calibrated and evaluated from field experimental data. The results found in the literature were  
 422 similar to in this study.

Dry matter (DM)	RMSE	NRMSE	Model, contry, reference
DM aboveground	0.5	20	Oyza2000, Filipinas, Boling et al. (2011)
	2.2	19	Oyza2000, Chile, Artacho et al. (2011)
	0.8	12	InfoCrop, Índia, Aggarwal et al (2005)
	0.7	-	RiceGrow, China, Tang et al. (2009)
	0.8	-	Oryza2000, China, Tang et al. (2009)
	2.5	27	SimulArroz, Rio Grande do Sul, Brasil
DM of leaves	0.9	47	Oyza2000, Chile Artacho et al. (2011)
	0.2	-	RiceGrow, China, Tang et al. (2009)
	1.2	35	SimulArroz, Rio Grande do Sul, Brasil
DM os stems	2.2	37	Oyza2000, Chile Artacho et al. (2011)
	1.5	68	SimulArroz, Rio Grande do Sul, Brasil
DM of panicle	1.7	72	Oyza2000, Chile Artacho et al. (2011)
	2.5	75	SimulArroz, Rio Grande do Sul, Brasil
Grain yield	0.6	-	RiceGrow, China, Tang et al. (2009)
	1.6	19	Oyza2000, Chile Artacho et al. (2011)
	1.0	7	SimulArroz, Rio Grande do Sul, Brasil

1 3.2 ARTIGO II: (SUBMETIDO PARA AGRONOMY JOURNAL)

2

3 **Assessing causes of yield gaps in irrigated rice areas in Southern Brazil**

Assessing causes of yield gaps in flooded rice in Southern Brazil

Giovana Ghisleni Ribas a \*, Alencar Junior Zanon a, Nereu Augusto Streck a, André da Rosa Ulguim a, Filipe Selau Carlos b, Cleber Maus Alberto c, Pablo Mazzuco de Souza d and Taira Bercellos b

a Department of Plant Science - Hall 77, University Federal of Santa Maria, Santa Maria, RS 97105-900, BRA.

b Department of Soil Science, University Federal of Pelotas, Pelotas, RS 96010-610, BRA.

c Department of Agrometeorology, University Federal of Pampa, Itaqui, RS 97650-000, BRA.

d Rice extensionist at Rice Research Institute, Missões Avenue 342, Porto Alegre, RS 90230-100, BRA.

4 \*Corresponding author e-mail address: [giovana.ghisleni@hotmail.com](mailto:giovana.ghisleni@hotmail.com)

5 Abbreviations:

6 BRA, Brazil; CZ, Climate zones; GDD, annual growing-degree days; HY, High yield; LY,

7 low yield; RS, Rio Grande do Sul; Yg, yield gap; Yp, yield potential

8

### **ABSTRACT**

9 Identification of yield gap causes is key to understanding and adopting proactive measurements  
10 to improve management factors in some crops. This is need to identify Yp and key management  
11 factors explaining Yg in flooded rice in Rio Grande do Sul, Southern Brazil, which accounts  
12 for 73% of the national production. In the study, we evaluated Yp as benchmarks in relation to  
13 producer flooded rice yield fields, and identified key management factors explaining Yg in

14 flooded rice in Southern Brazil. Survey data on yield and management were collected from 324  
15 producer fields over three seasons (from 2015/2016 to 2017/2018) into two similar climate  
16 zones. Yp was estimated using Oryza v3 crop model. Yield gaps were calculated as the  
17 difference between yield potential and average producers yield. Explanatory factors for yield  
18 gaps were investigated by identifying management practices that were concordantly associated  
19 with high and low-yield fields. Flooded rice average Yp ranged from 13.2 to 15.7 Mg ha<sup>-1</sup>.  
20 Highest producer yields were similar ( $\pm 15\%$ ) to the estimated yield potential. Yield gap,  
21 calculated as percentage of yield potential, was higher in Center and Eastern RS BRA region  
22 (range: 50–51% Yp). Analysis of data base indicated that (i) rice producers in this region  
23 obtained yields 52% close to the estimated yield potential ceiling, and (ii) agronomic on-farm  
24 yield improvement might be achieved by current management practices, including earlier  
25 sowing date coupled with judiciously chosen tillage to achieve warmer soils in the springs plus  
26 suitably applied nutrient fertilizer application, seed density, weed control, and soybean-rice  
27 rotation.

## 28 INTRODUCTION

29 The rate of increase in average on-farm yields of agricultural crops worldwide has been  
30 relatively slow and average yields have remained well below yields obtained from well  
31 managed farms (Battisti et al., 2018). Likewise, there are increasing concerns about possible  
32 conversion of areas with grassland and rainforest into areas grown with grain crop (Franchini  
33 et al., 2009; Sentelhas et al., 2015). Brazil has a comparative advantage to help meet global food  
34 demand due to abundant land and water resources (FAO, 2018). Hence, it is crucial to determine  
35 the degree to which Brazil can increase crop production on existing cropland area through  
36 sustainable intensification of cropping systems, without increase production area.

37 Flooded rice (*Oryza sativa* L.) is of special importance for the nutrition of large parts of the  
38 population in Asia, Latin America, Caribbean and, Africa. Therefore, plays a key role for food

39 security of over half the world population (Licker et al., 2010; Zorrilla et al., 2012; Agus et al.,  
40 2019; Deng et al., 2019; Van Loon et al., 2019). Brazil is the first largest rice producer in the  
41 world outside the Asian continent (USDA, 2020) with an annual production of 11 Mg (CONAB,  
42 2020). The Southern region (Paraná, Rio Grande do Sul and Santa Catarina States) accounts for  
43 82% of Brazilian production, with an average area of 1.1 Mha, and an average yield of 7.7 Mg  
44 ha<sup>-1</sup> (CONAB, 2020). Rio Grande do Sul state is the largest producer of flooded rice in Brazil  
45 (1 million ha) with 73% of the national production and a yield of 7.8 Mg ha<sup>-1</sup> (CONAB, 2020).  
46 Rice yield in Rio Grande do Sul, Southern Brazil has increased on average 2 Mg ha<sup>-1</sup> over the  
47 past 10 years, due to genetic improvements (Clearfield® technology) and management practices  
48 changes (increased fertilization rates and early sowing date) (Menezes et al., 2013). However,  
49 there is still a considerable difference between the yields measured in flooded rice experiments  
50 (13 Mg ha<sup>-1</sup>) (Ribas et al., 2016; 2017) and the current mean yield of flooded rice (7.7 Mg ha<sup>-1</sup>)  
51 (CONAB, 2020). These differences is referred as yield gap (Yg).

52 Yield gap analysis has been a robust quantitative framework used to address not only the  
53 difference between actual yield and yield from well managed farms or experiments but also to  
54 identify the factors that cause the gap (Lobell et al. 2009; van Ittersum et al. 2013). Yield  
55 potential (Yp) is the yield of a crop grown in an environment to which it is adapted, with non-  
56 limiting water and nutrient supplies, and with pests, weeds, and diseases effectively controlled  
57 (Evans, 1993; Evans and Fisher, 1999; van Ittersum & Rabbinge, 1997). Under these optimal  
58 conditions, crop growth is determined by solar radiation, temperature, atmospheric CO<sub>2</sub>  
59 concentration, and management practices which influence crop cycle duration and light  
60 interception, such as sowing date, maturity group, and plant density. In irrigated systems, like  
61 flooded rice in Southern Brazil, yield potential is driven mainly by solar radiation and thermal  
62 time during crop growth. The Yp is very difficult to reach under field conditions, being more  
63 often estimated using process-based crop simulation models that properly crop describe the



64 complex responses of crops to weather and crop management (Van Wart et al., 2015, Soltani et  
65 al., 2020). Desirable attributes of crop simulation models for Yg analysis were summarized by  
66 van Ittersum et al. (2013). Once Yp is known, then the yield gap (Yg) can be quantified and  
67 management practices to close the Yg can be identified, providing an opportunity to increase  
68 crop production on existing cropland (Cassman et al., 2003; van Ittersum et al., 2013).

69 In contrast to flooded rice systems in Asia, rice production in Southern Brazil is highly  
70 mechanized, with individual farmers managing large paddies (range: 150-750 ha). About half  
71 of the rice area is owned by the farmers, the rest is rented. All the rice area is direct-seeded with  
72 Indica cultivars, paddies are flooded from the V3-V4 stage by pumping water from streams or  
73 man-made reservoirs and kept flooded during the entire growing season and drained around  
74 physiological maturity to allow mechanical harvest. Sowing spans from September to  
75 December and harvest is in February and March.

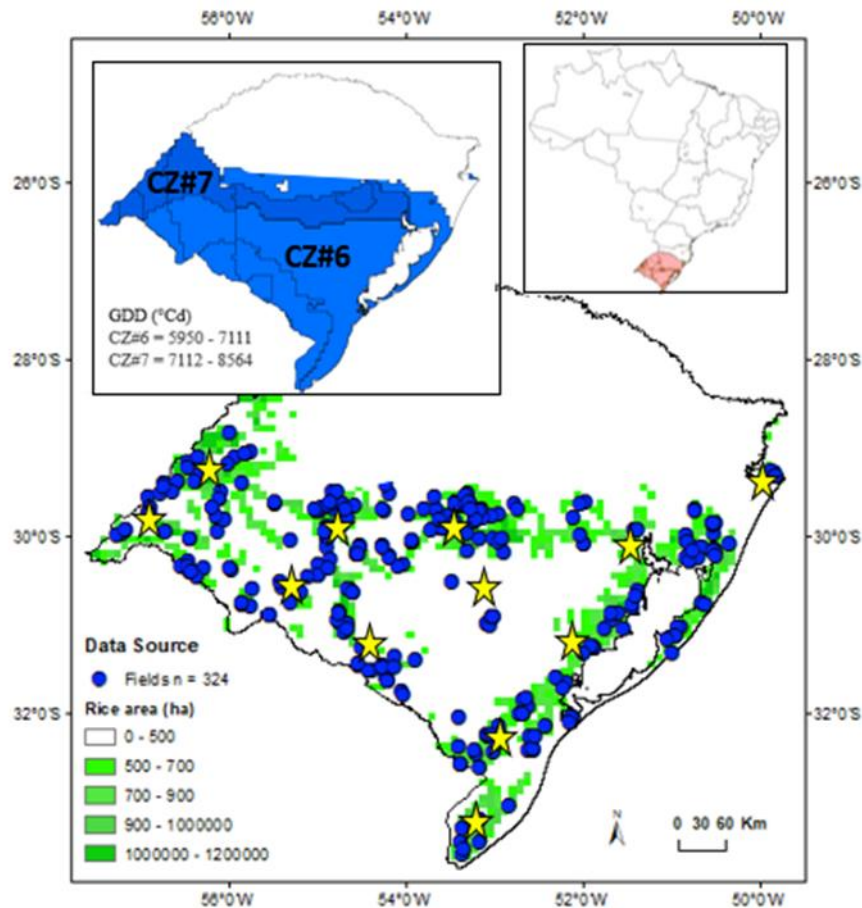
76 A thorough assessment of Yg is lacking for major crops in Brazil which includes flooded rice  
77 (Sentelhas et al., 2015, Marin et al., 2016, Heinemann et al., 2019) and, to our knowledge, there  
78 are no reports of previous Yg studies for flooded rice in Brazil. The objectives of this study  
79 were identified Yp and key management factors explaining Yg in flooded rice in Southern  
80 Brazil.

## 81 **MATERIALS AND METHODS**

### 82 **Database and descriptive data analyses**

83 Data on flooded rice seed yield (reported on a 13% seed moisture basis), crop management  
84 (i.e., sowing date, seed density, maturity group, and tillage method), applied inputs (fertilizer  
85 and pesticides), and production-site adversities (i.e., incidence of insect pests, diseases, hail,  
86 waterlogging, or frost) were collected from 324 fields via mail survey forms completed and  
87 returned by producers and multiple personal interviews conducted by the co-authors with

88 producers (Figure 1). Each producer was asked to report the yield range across his/her rice  
 89 fields, for each year, and provide data for a number of fields that portray well the reported yield  
 90 range. Data were collected during the 2016, 2017 and 2018 crop seasons.



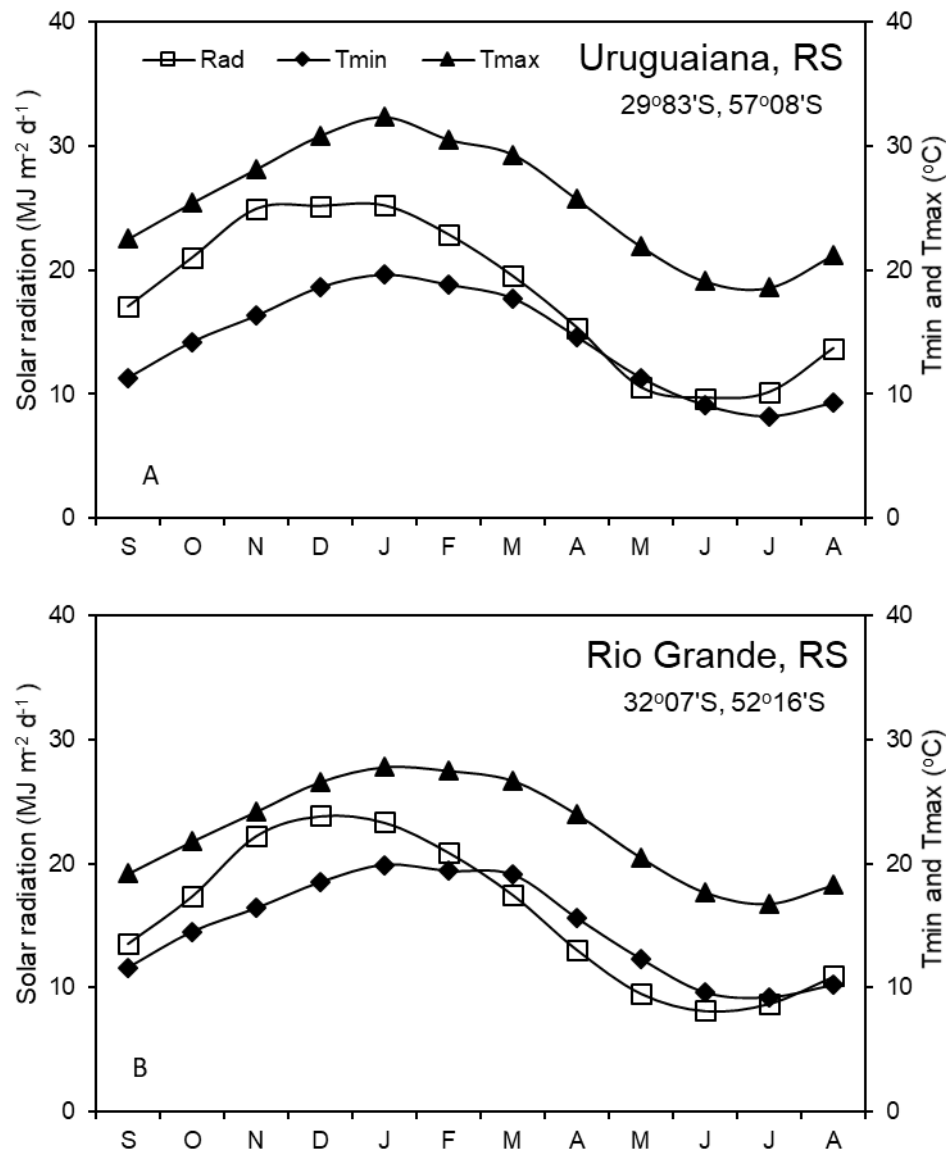
91

92 Figure 1. Map of Rio Grande do Sul State showing the harvested area in year 2010 (green area;  
 93 CONAB, 2010) and location of the 324 surveyed flooded rice fields (blue dots). Meteorological  
 94 stations are shown by yellow stars. Top left inset in blue color shows the annual growing-  
 95 degree days according to the Global Yield Gap Atlas framework. A coding system (from CZ 6  
 96 to 7) is used to identify each CZ, Top right inset shows the location of Rio Grande do Sul (red  
 97 color) State in Southern Brazil.

98 The 108 field-year data points naturally grouped into five regions: Central, Southern,  
 99 Western, Eastern, Southwestern of RS (Figure 1). These five regions constitute the rice

100 production area in Rio Grande do Sul (RS), Southern Brazil region. The regional means for the  
101 producer-reported yield data were slightly higher (i.e., 10%) than IRGA (Rice Research  
102 Institute) yields (<https://irga.rs.gov.br/safras-2>) for the corresponding regions. Likewise,  
103 management practices (e.g., sowing date) and applied inputs (e.g., pesticides, fertilizer) reported  
104 by producers were remarkably similar to most recent (year 2019) RS state average values  
105 reported for these variables for rice by IRGA (<http://www.ers.usda.gov>). Differences among the  
106 coolest and warmest regions relative to weather are readily apparent in Figure 2. Temperature  
107 and radiation are lower in the southern region of the state (Rio Grande) compared with the  
108 western region (Urugaiana).

109



110

111 Figure 2. (A, B) Monthly average incident solar radiation and maximum (Tmax) and minimum  
 112 temperature (Tmin) for two locations representative of the rice producing area in flooded area  
 113 in Rio Grande do Sul (RS): Urugaiana (western RS) and Rio Grande (southern RS). Each  
 114 datapoint represent means of meteorological variables calculated based on five years (solar  
 115 radiation) or 30 years (Tmax and Tmin) of measured weather data.

116

117 In this study, the rice-growing area of the Rio Grande do Sul State was classified in a single  
 118 Climate Zone to analyze the the yield gap due to their similarity (Figure 1, top left inset), no  
 119 difference between CZs x yield x year, according to the annual total growing degree-days

120 biophysical criteria defined by the framework of the Global Yield Gap Atlas (GYGA, 2020; Van  
121 Wart et al., 2013).

### 122 **Estimation yield gap and yield potential for flooded rice**

123 In this study, Yp was simulated in order to portray the recommended management practices  
124 for high-yield flooded rice simulations using sowing window (from late September to early  
125 December), dominant cultivar name (IRGA 424 RI) and maturity (intermediate, 130 days), and  
126 optimal plant population density (200 pls m<sup>-2</sup>) (Supplementary Table S1), reflecting a rice crop  
127 timely sown by end of February, which would efficiently capture most of the available solar  
128 radiation during the growing season (Menezes et al., 2013).

129 Daily weather data, including solar radiation, minimum and maximum temperature were  
130 retrieved from 2-3 stations in each region from Brazilian Institute of Meteorology (INMET)  
131 (Figure 1). In each region, daily weather data from 2-3 meteorological stations was used to run  
132 the model. Date of physiological maturity was estimated for using Oryza v3 model based on  
133 site-specific weather and management. Previous assessments on the variation of Yp indicates  
134 that the number of weather stations used in the present study was sufficient for a robust  
135 estimation (Van Wart et al., 2013). Likewise, our analysis indicated that there was a very little  
136 variation in simulated yield (Yp) among weather stations (coefficient of variation = 9%). Hence,  
137 our estimates of yield potential based on weather stations can be considered robust. Yp was  
138 used as benchmarks for calculating Yg for flooded rice. The Yg was calculated as the difference  
139 between Yp and average producer yield and expressed as percentage of Yp.

### 140 **Identification of causes for yield gaps**

141 In order to identify factors explaining Yg, high-yield (HY) and low-yield (LY) field classes  
142 were identified in the surveyed data by splitting the data into terciles. The data located in upper  
143 and lower terciles were assumed to the HY and LY farms, respectively. Differences in each  
144 management practice between the HY and LY fields were then tested for significance using

145 ANOVA and the t-test at 0.05% probability. Association between field classes and management  
146 variables (e.g., fertilizer, seed density, fungicide application) was evaluated using the Chi-  
147 square ( $\chi^2$ ) test at 0.05%, 0.01% and 0.1% probability using the quantreg package in R (R  
148 Development Core Team, 2016).

149 Management variables identified as statistically significant on their influence on grain yield  
150 were further investigated. Quantile regression was used to derive a boundary function for the  
151 relationship between grain yield and sowing date and onset irrigation delay based on the best  
152 yield reported using the quantreg package in R (R Development Core Team, 2016). For  
153 management variables (e.g., fertilizer, seed density, pesticide application), average yields  
154 calculated for contrasting management categories were compared in the same classes using  
155 unpaired t-test and Wilcoxon test at 0.05%, 0.01% and 0.1% probability.

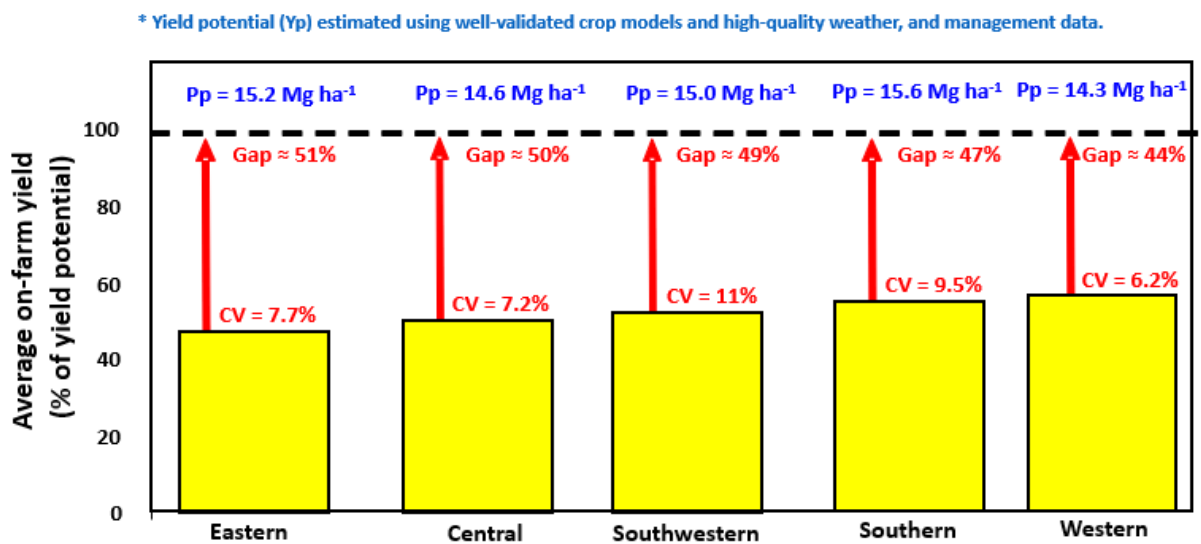
## 156 RESULTS AND DISCUSSION

### 157 Flooded rice yield potential and yield gap in the RS BRA region

158 Using simulation modeling, estimated  $Y_p$  for flooded rice ranged from 13.2 to 15.7 Mg ha<sup>-1</sup>  
159 across fields, year, and regions.  $Y_p$  was higher in Southern (15.6 Mg ha<sup>-1</sup>) and lower in Western  
160 (14.3 Mg ha<sup>-1</sup>) (Figure 3). In RS,  $Y_p$  is similar to the  $Y_p$  reported in Uruguay (14 Mg ha<sup>-1</sup>), and  
161 greater than reported in the United States (9.4 Mg ha<sup>-1</sup>), China (12.4 Mg ha<sup>-1</sup>) and Africa (9 Mg  
162 ha<sup>-1</sup>) as reported by Espe et al. (2016), Van Ittersum et al. (2016), and Deng et al. (2019),  
163 respectively. The  $Y_p$  difference can be explained by a greater availability of solar radiation and  
164 larger longer photoperiod during flowering and grain filling phases, provided by in the Brazilian  
165 subtropical climate conditions in comparison to the tropical climate of South and Southeast  
166 Asia. Besides that, subtropical rice production regions, near to the Latitude of 30°, presents  
167 higher  $Y_p$  when compared to lower latitudes, as near to the tropics there is less solar radiation

168 available during the growing season, and temperate regions presents higher risk of crop damage  
 169 due to low temperatures.

170 In contrast,  $Y_g$ , expressed as percentage of their respective simulated  $Y_p$ , in RS was higher  
 171 (47%  $Y_p$ ) than in USA (27%  $Y_p$ ) and China (33%  $Y_p$ ), similar to Uruguay (43%  $Y_p$ ) and lower  
 172 than Africa (60%  $Y_p$ ) as reported by Espe et al. (2016), Van Ittersum et al. (2016), Carracelas  
 173 et al. (2019) and Deng et al. (2019), respectively. The  $Y_g$  in RS tended to be larger in Eastern,  
 174 Center and Southern part (range: 51-50%  $Y_p$ ) than in Western and Southern (range: 44-47%  $Y_p$ ),  
 175 which shows room to improve rice yields on fields in Brazil by changing management practices  
 176 (Figure 3).



177  
 178 Figure 3. Simulated flooded rice yield potential and for yield gap in the East, Central,  
 179 Southwest, South and West regions during three (2016–2018) crop seasons.

180

### 181 **Underpinning causes for yield variation among fields and yield gap**

182 Analysis of management practices allowed identification of candidate factors explaining  
 183  $Y_g$  (Table 2). Differences in sowing date and onset irrigation between HY and LY fields were  
 184 statistically significant ( $p < 0.1$ ). Additionally, on average, we verified that 32% and 44% of  
 185 total  $Y_g$  are due to delay of sowing date (from September 20) and timing of irrigation (from

186 V3-stage). Sowing date and onset irrigation had the most consistent impact on flooded rice  
 187 yield (Figures 4 and 5).

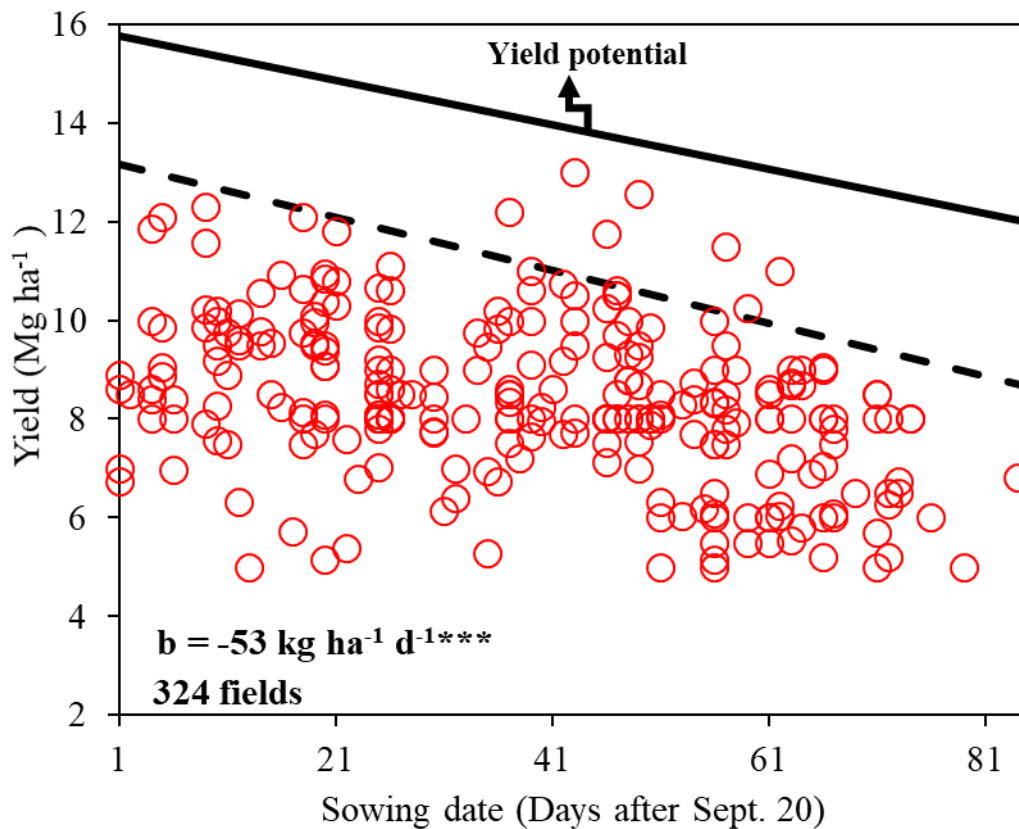
188

189 Table 2. Comparison of producer flooded rice yield, management practices and applied inputs  
 190 between the highest terciles of field yields (HY) and the lowest terciles (LY) in the Southern  
 191 Brazil region. Values indicate the mean differences (HY – LY) between the upper and lower  
 192 yield terciles (p<0.01\*\*\*, p<0.05\*\*, p<0.1\*).

Variables	Units	High-yield fields (HY)	Low-yield fields (LY)	HY- LY <sup>2</sup>
Yield	t ha <sup>-1</sup>	10.3	6.9	3.4**
Sowing date	date	Oct 16	Nov 5	-20**
Seed density	kg ha <sup>-1</sup>	87	93	-6**
Timing on flooding	V stage	3	4	-1*
Foliar insecticide	% fields	50	50	<1
Foliar fungicide	% fields	50	50	<1
N fertilizer amount	kg ha <sup>-1</sup>	130	103	26**
P <sub>2</sub> O <sub>5</sub> fertilizer amount	kg ha <sup>-1</sup>	63	50	13**
K <sub>2</sub> O fertilizer amount	kg ha <sup>-1</sup>	75	65	9
Lime application	% fields	65	35	30**
<i>Previous summer crop</i>				
Rice	% fields	29	71	-42***
Soybean	% fields	64	36	28***
<i>Pre-sowing herbicide application</i>				
Disc + herbicide	% fields	30	70	-40***
Only herbicide	% fields	61	39	22***

193



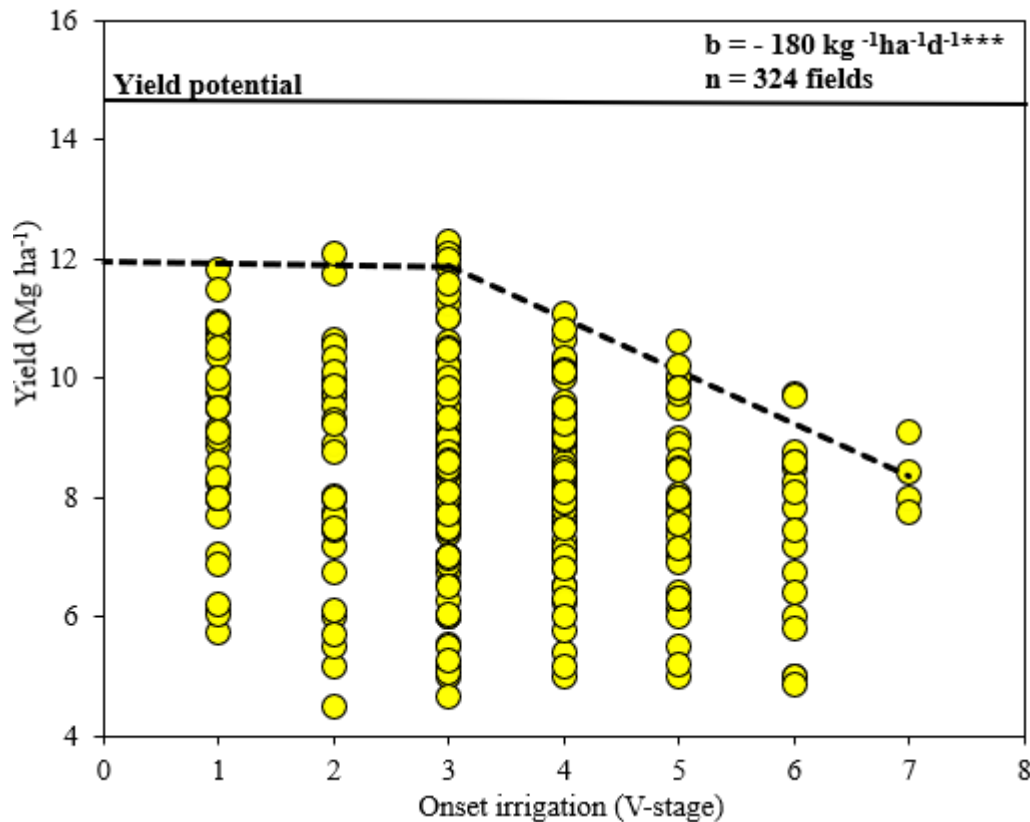


194

195 Figure 4. Flooded rice yield as a function of sowing date in Rio Grande do Sul. The solid line  
 196 corresponds to the yield potential estimated by Oryza model v3 and the dash line corresponds  
 197 to the fitted boundary function using quantile regression (percentile 90th). Slope of the fitted  
 198 boundary function (b) is shown, with asterisks indicating significance at  $p < 0.01***$  for the  
 199 null hypothesis of  $b = 0$ .

200 Timing of sown and irrigation in HY fields were, on average, 20 and 7 days earlier than  
 201 LY fields respectively (Table 2). The yield penalty over sowing dates was  $53 \text{ kg ha}^{-1} \text{ d}^{-1}$   
 202 (Figure 4), explained by lower soil temperatures (16-19 °C) that is typical in this time of year  
 203 at RS, weed competition and flood problems causing a smaller stand of plants established,  
 204 whereas yield penalty by delay of irrigation from V<sub>3</sub>-stage was  $180 \text{ kg ha}^{-1} \text{ d}^{-1}$  (Figure 5),  
 205 which can be related by weed competition. V<sub>3</sub>-Stage is also the crop moment to define the

206 number of panicles per area in rice and N fertilizer cover applied in this moment was  
 207 significative between HY and LY ( $p < 0.05$ ).



208

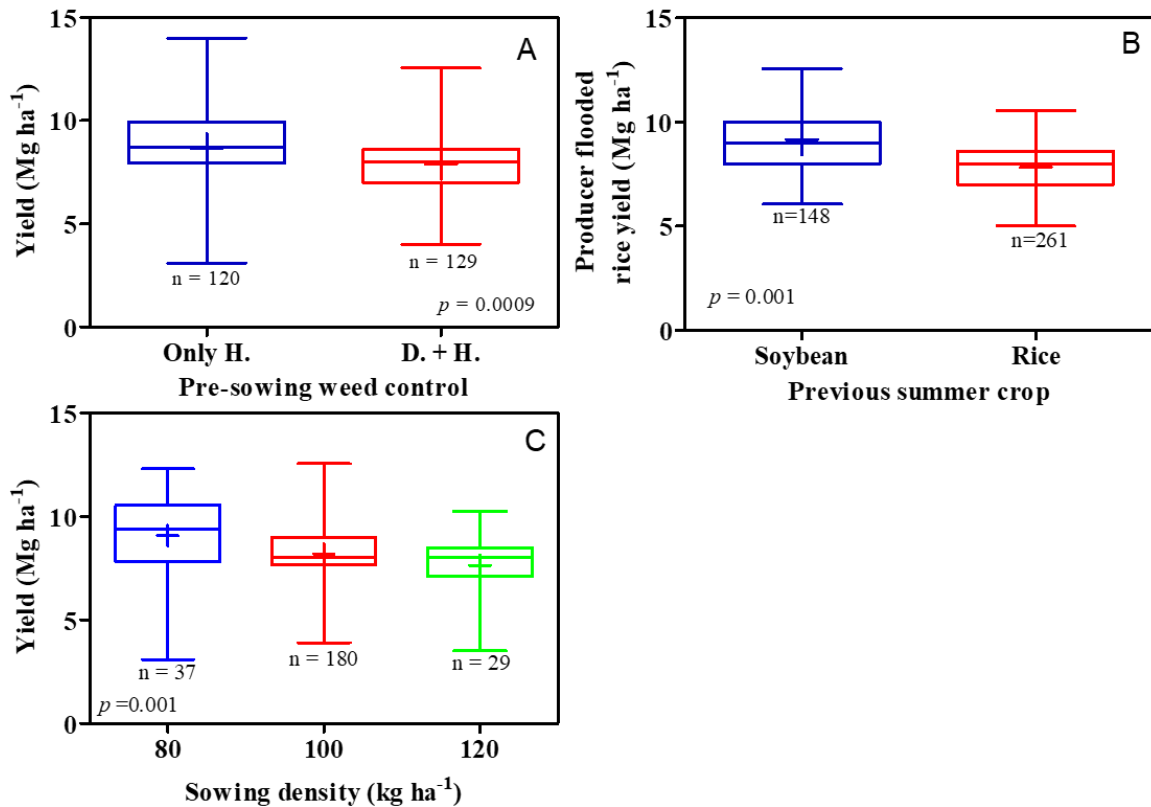
209 Figure 5. Comparison of onset irrigation versus yield in irrigated flooded rice on different V-  
 210 stages in Rio Grande do Sul, Southern Brazil region the dash line shows the fitted boundary  
 211 function using quantile regression (percentile 90th). Slope of the fitted boundary function (b) is  
 212 shown, with asterisks indicating significance at  $p < 0.01$ \*\*\*.

213 N fertilizer must be applied by producer, as a common management practice, on the fields  
 214 in the same day that irrigation starts, reducing N losses mainly due to ammonia volatilization  
 215 and giving more efficiency to the system. Our assumption is, the yield response to delay of  
 216 irrigation exhibited much higher explanatory power by the time and amount of N application at  
 217 this crop moment, which is consistent with reported by Fageria et al., 2001; Peng et al., 2010.  
 218 N fertilizer amount explain, on average, 26% of Yg of flooded rice on Southern Brazil (Table  
 219 2), and it is related with the sowing date, genotype and weather forecast. In this study was

220 identified HY fields applying on average 130 kg N fertilizer ha<sup>-1</sup>. Likewise, in China, Yuan et  
221 al. (2019) reported higher rice yield by 150 kg N fertilizer ha<sup>-1</sup> cover applied in rice fields.  
222 Therefore, the results of this study are consistent according has been reported in the literature.  
223 Similar to sowing date, onset irrigation and N fertilizer, other management practices also  
224 exhibited a significance (Table 2, Figure 6).

225 There were statistically impact of pre-sowing weed control ( $p < 0.01$ ), previous summer  
226 crops ( $p < 0.01$ ) seed density ( $p < 0.01$ ) on rice seed yield, (Table 2, Figure 6). For example, the  
227 average yield of fields with only herbicides control was 0.7 Mg ha<sup>-1</sup> higher in relation with  
228 disc+herbicide control fields. Likewise, soybean previous summer crop fields achieved  
229 statistically higher yields compared with fields with rice previous summer crop. Furthermore,  
230 80 kg ha<sup>-1</sup> of seed density fields achieved statistically higher yields compared with fields with  
231 100 to 120 kg ha<sup>-1</sup> of seed density. Still, lime, P<sub>2</sub>O<sub>5</sub> fertilizer variables that seemed to be  
232 irrelevant for this study shows up the significance (Table 2). Our belief is lime and P<sub>2</sub>O<sub>5</sub>  
233 application might influence previous summer crop yield in lowland fields due to soil acidity  
234 (soybean crop needs pH 6.0) associated with low levels of clay, organic matter, and deficient  
235 in phosphorus (Pollet et al., 2019). The 30% of soybean-rice lowland area cultivation (Zanon et  
236 al., 2016) needs almost twice amounts of P<sub>2</sub>O<sub>5</sub> for soybean, highlighting the higher P<sub>2</sub>O<sub>5</sub> soil

237 availability (higher critical content) in soybean-rice system which make it a relevant factor to  
 238 yield increase (Partey et al., 2016; Pollet et al., 2019).  
 239



240

241 Figure 6. Comparison of pre-sowing weed control (A), previous summer crop (B) and sowing  
 242 density (C) in flooded rice in the Southern Brazil region. The median (continue line), mean (+),  
 243 t-test and ANOVA significance are shown.

244 However, there may be reasons for producers to adopt for example, disc+herbicide, rice  
 245 after rice, and high seed density on the fields despite the observed yield penalty. For example,  
 246 disc+herbicide can help soil drainage in lowland areas, whereas rice after rice fields can be only  
 247 option for fields closer by rivers where flood problems happen often. Indeed, we found that, on  
 248 average, soybean after rice turned rice fields 20% more productive than rice after rice fields ( $p$   
 249  $< 0.01$ ) by weed control resistance, diversifying herbicide mechanisms of herbicides action and

250 cultural practices (Filizadeh et al., 2007; Angus et al., 2015; Theisen et al., 2017), whereas only  
251 herbicide control and less seed density (80 kg ha<sup>-1</sup>) were 8% and 15% more yielded than  
252 disc+herbicide and higher seed density (100-120 Kg ha<sup>-1</sup>), respectively (Figure 6).

253 Pre-sowing weed control aims to manage some annual winter weed species and prepare  
254 flooded rice seedbed, being rarely the weed survivors at this phase reducing crop yield. For this,  
255 the results observed in the present study seems more related to previous summer crop, once in  
256 crop rotation cases producers managing weeds on winter predominantly with only herbicides,  
257 while producers with flooded rice monoculture using to tillage to reduce the soil disturb caused  
258 to harvest on humidity conditions (Theisen et al., 2017). Whereas less seed density shows an  
259 increased yield in HY fields, our beliefs is this management practice plays as fine-tuning, which  
260 can give more net economic return by decreasing production costs using fewer seeds on the  
261 fields.

262 In contrast to the aforementioned variables, there were inconsistent (and generally small)  
263 differences between HY and LY fields in relation with fungicide e/or insecticide application,  
264 nutrient (K) fertilizer application (Table 2). Lack of statistically significant differences between  
265 management practices should be interpreted with caution. For example, some practices might  
266 influence yield depending upon the level of another management practice [e.g., K fertilizer in  
267 relation with previous summer crop (Peoples et al., 2009; Partey et al., 2016)]. Likewise, the  
268 benefit of other practices may only be realized in crop seasons with unfavorable weather, which  
269 was not the case in our study [e.g., fungicide e/or insecticide; Delmotte et al., 2011).

270 Similarly, yield impact of some practices may be masked by other field variables not  
271 accounted here. For example, lack of yield differences between fields that received higher  
272 amount of NPK fertilizer application versus those that receive lower amount fertilizer might  
273 reflect producer tendency to apply fertilizer only in fields where soil nutrient status is inadequate  
274 as evaluated using soil nutrient tests. It may also reflect many producers over-fertilizing the

275 previous soybean crop, expecting the subsequent rice crop to benefit from the residual soil  
276 fertility.

277 Finally, there are management practices that exhibited a very narrow range (e.g.,  
278 fungicide/insecticide, seed density) or inputs that were applied in amounts well above their  
279 optimums. For example, on-farm average rice seed density ranged from 70 to 140 Kg ha<sup>-1</sup>.  
280 These densities are higher than the required plant density for maximum yields (80 kg ha<sup>-1</sup>) (Ali  
281 et al., 2014); hence, our analysis does not fully capture the influence of these management  
282 factors on seed yield.

283 A contribution of the present study is to provide an assessment of the extra crop production,  
284 that would result from producer fine-tuning of a given management practice. For example, the  
285 potential extra production derived from earlier flooded rice sowing can be calculated based on  
286 the (i) the degree to which the current average sowing date differs from the optimal one, and  
287 (ii) flooded rice harvested area. Hence, a 2-week shift towards early sowing in Southern Brazil,  
288 from current average sowing on October 26 to a hypothetical, but realistic, October 11 sowing,  
289 would result in 0.75 Mg ha<sup>-1</sup> yield increase and 705,000 Mg production increase, leading to a  
290 10% increase. This example illustrates the power of this approach for impact assessment to  
291 support policy and investment prioritization and for monitoring the impact of research and  
292 extension programs.

## 293 **CONCLUSIONS**

294 The framework applied in this study explained the largest portion of the management  
295 practices across the RS BRA region. Flooded rice Y<sub>g</sub> in RS BRA was relatively high, averaging  
296 48% of the estimated yield potential. Sowing date, onset irrigation and N fertilizer amount, pre-  
297 sowing weed control, previous summer crop and seed density were the most consistent factors  
298 explaining yield variation, with magnitude of yield response to sowing delay dependent upon  
299 degree of soil temperature, weed control, and flood problems. Variability in yields was also

300 associated with the association between sowing date and onset irrigation, NPK fertilizer  
 301 amount, lime, previous summer crop, pre-sowing weed control. The combined use of producers  
 302 and strategize research and extension programs at is a great tool to capture regional variation  
 303 which can help inform

#### 304 ACKNOWLEDGMENTS

305 We would like to especially thank all colleagues from the Rice Research Institute (IRGA)  
 306 in Brazil for helping to collect data used for this study.

#### 307 SUPPLEMENTAL MATERIAL

308 Supplementary Table S1. Southern Brazil meteorological station, climate zones (CZs), and  
 309 management data to run the model are shown.

Local	CZ	Sowing date	Cultivar (MG)	Plant density (pls m <sup>-2</sup> )
CachoeiradoSul	7	15-Oct	IRGA 424 RI (intermediate)	200
Camaqua-A838	6	15-Oct	IRGA 424 RI (intermediate)	200
SaoBorja-A830	7	15-Oct	IRGA 424 RI (intermediate)	200
Jaguarao-A836	6	15-Oct	IRGA 424 RI (intermediate)	200
Cangucu-A811	6	15-Oct	IRGA 424 RI (intermediate)	200
SantaMaria-A803	7	15-Oct	IRGA 424 RI (intermediate)	200
DomPedrito-A881	6	15-Oct	IRGA 424 RI (intermediate)	200
SantaVitoriadoPalmar-A899	6	15-Oct	IRGA 424 RI (intermediate)	200
Alegrete-A826	7	15-Oct	IRGA 424 RI (intermediate)	200
Uruguaiiana-A809	7	15-Oct	IRGA 424 RI (intermediate)	200
SaoVicentedoSul-A889	7	15-Oct	IRGA 424 RI (intermediate)	200

310

#### 311 REFERENCES

- 312 Agus, F., Andrade, J. F., Edreira, J. I. R., Deng, N., Purwantomo, D. K., Agustiani, N., ... and  
 313 Makka, A. 2019. Yield gaps in intensive rice-maize cropping sequences in the humid  
 314 tropics of Indonesia. *Field Crops Research*, 237, 12-22.  
 315 <https://doi.org/10.1016/j.fcr.2019.04.006>
- 316 Ali, A., Erenstein, O., and Rahut, D.B. 2014. Impact of direct rice-sowing technology on rice  
 317 producers' earnings: Empirical evidence from Pakistan. *Development Studies Research*.  
 318 *An Open Access Journal*, 1(1), 244-254. <https://doi.org/10.1080/21665095.2014.943777>

- 319 Angus, J.F., Kirkegaard, J.A., Hunt, J. R., Ryan, M. H., Ohlander, L., and Peoples, M. B.  
320 2015. Break crops and rotations for wheat. *Crop and Pasture Science*, 66(6), 523-552.  
321 <http://dx.doi.org/10.1071/CP14252>
- 322 Battisti, R., Sentelhas, P.C., Pascoalino, J.A.L., Sako, H., de Sá Dantas, J. P., and Moraes, M.  
323 F. 2018. Soybean yield gap in the areas of yield contest in Brazil. *International Journal of*  
324 *Plant Production*, 12, 3, 159-168. <https://doi.org/10.1007/s42106-018-0016-0>
- 325 Bouman, B.A.M., and Van Laar, H.H. 2006. Description and evaluation of the flooded rice  
326 growth model ORYZA2000 under nitrogen-limited conditions. *Agricultural Systems*,  
327 87(3), 249-273. <https://doi.org/10.1016/j.agsy.2004.09.011>
- 328 Carmona, L. Projeto 10+ - Uma Nova Etapa na Transferência de Tecnologia da Lavoura  
329 Orizícola no RS. Instituto Rio Grandense do Arroz (IRGA) 2019. 56p.
- 330 Carracelas, G., Hornbuckle, J., Rosas, J., and Roel, A. 2019. Irrigation management strategies  
331 to increase water productivity in *Oryza sativa* (rice) in Uruguay. *Agricultural water*  
332 *management*, 222, 161-172. <https://doi.org/10.1016/j.agwat.2019.05.049>
- 333 Cassman, K. G. 1999. Ecological intensification of cereal production systems: yield potential,  
334 soil quality, and precision agriculture. *Proceedings of the National Academy of Sciences*  
335 *USA* 96, 5952–5959. <https://doi.org/10.1073/pnas.96.11.5952>
- 336 Cassman, K. G., Dobermann, A., Walters, D.T., and Yang, H. 2003. Meeting cereal demand  
337 while protecting natural resources and improving environmental quality. *Annual Review*  
338 *of Environment and Resources*, 28(1), 315-358.  
339 <https://doi.org/10.1146/annurev.energy.28.040202.122858>
- 340 Cassman, K.G., Dobermann, A., Walters, D.T., Yang, H., 2003. Meeting cereal demand while  
341 protecting natural resources and improving environmental quality. *Annual Review of*  
342 *Environment and Resources*. 28, 1, 315–358.  
343 <https://doi.org/10.1146/annurev.energy.28.040202.122858>
- 344 CONAB - Companhia Nacional de Abastecimento. Levantamentos de Safra. 2020 Available  
345 in: <https://www.conab.gov.br/info-agro/safra/graos> . GrosZjaneiroZcompletoZ2020.pdf  
346 (accessed 10 jan. 2020).
- 347 Counce, P.; Keisling, T.C.; Mitchell, A.J. 2000. A uniform, objective, and adaptative system  
348 for expressing rice development. *Crop Science*, v.40, p.436-443. DOI:  
349 <https://doi.org/10.2135/cropsci2000.402436x>.
- 350 Delmotte, S., Tittonell, P., Mouret, J.C., Hammond, R., and Lopez-Ridaura, S. 2011. On farm  
351 assessment of rice yield variability and productivity gaps between organic and  
352 conventional cropping systems under Mediterranean climate. *European Journal of*  
353 *Agronomy*, 35(4), 223-36. <https://doi.org/10.1016/j.eja.2011.06.006>
- 354 Deng, N., Grassini, P., Yang, H., Huang, J., Cassman, K. G., and Peng, S. 2019. Closing yield  
355 gaps for rice self-sufficiency in China. *Nature communications*, 10(1), 1-9.  
356 <https://doi.org/10.1038/s41467-019-09447-9>
- 357 Edreira, J. I. R., Mourtzinis, S., Conley, S. P., Roth, A. C., Ciampitti, I. A., Licht, M. A. and  
358 Naeve, S. L. 2017. Assessing causes of yield gaps in agricultural areas with diversity in  
359 climate and soils. *Agricultural and forest meteorology*, 247, 170-180.  
360 <https://doi.org/10.1016/j.agrformet.2017.07.010>
- 361 Espe, M.B., Cassman, K.G., Yang, H., Guilpart, N., Grassini, P., Van Wart, J., Anders, M.,  
362 Beighley, D., Harrell, D., Linscombe, S., McKenzie, K., Mutters, R., Wilson, L.T.,  
363 Linqvist, B.A. 2016. Yield gap analysis of US rice production systems shows



- 364 opportunities for improvement. *Field Crops Research*, 196, 276-283.  
365 <https://doi.org/10.1016/j.fcr.2016.07.011>
- 366 Evans, L.T., 1993. *Crop Evolution, Adaptation, and Yield*. Cambridge University Press,  
367 Cambridge, UK.
- 368 Evans, L.T., Fisher, R.A., 1999. Yield potential: its definition, measurement, and significance.  
369 *Crop science*, 39(6), 1544-1551. <https://doi.org/10.2135/cropsci1999.3961544x>
- 370 Fageria, N.K., and Baligar, V.C. 2001. Lowland rice response to nitrogen fertilization.  
371 *Communications in Soil Science and Plant Analysis*, 32(9-10), 1405-1429.  
372 <https://doi.org/10.1081/CSS-100104202>
- 373 FAO - Food and Agriculture Organization of the United Nations. World production. 2018.  
374 Available at [http://www.fao.org/economic/est/publications/flooded\\_rice\\_publications/en/](http://www.fao.org/economic/est/publications/flooded_rice_publications/en/).  
375 (accessed 10 Sept. 2018).
- 376 Filizadeh, Y., Rezazadeh, A., Younessi, Z., 2007. Effects of crop rotation and tillage depth on  
377 weed competition and yield of flooded rice in the paddy fields of Northern Iran. *Journal of*  
378 *Agricultural Science and Technology*, 9, 99-105.
- 379 Fischer, R.A. 1985. Number of kernels in wheat crops and the influence of solar radiation and  
380 temperature. *J. Agric. Sci.* 105:447–461. <https://doi.org/10.1017/S0021859600056495>
- 381 Franchini, J.C., Debiassi, H., Sacoman, A., Nepomuceno, A.L. and Farias, J.R.B. 2009. Soil  
382 Management to Reduce Yield Gap by Drought. *Documentos 314*. Londrina: Embrapa  
383 Soja. (In Portuguese, with English abstract)
- 384 Grassini, P., van Bussel, L. G., Van Wart, J., Wolf, J., Claessens, L., Yang, H. and Cassman,  
385 K. G.2015. How good is good enough? Data requirements for reliable crop yield  
386 simulations and yield-gap analysis. *Field Crops Research*, 177, 49-63.  
387 <https://doi.org/10.1016/j.fcr.2015.03.004>
- 388 GYGA – GLOBAL YIELD GAP ATLAS. Brazil Irrigated rice yield potential. available in:  
389 <http://www.yieldgap.org/brazil> . (accessed 25 Jan. 2020).
- 390 Heinemann, A. B., Ramirez-Villegas, J., Rebolledo, M.C., Neto, G.M.F.C., and Castro, A.P.  
391 2019. Upland rice breeding led to increased drought sensitivity in Brazil. *Field Crops*  
392 *Research*, 231, 57-67. <https://doi.org/10.1016/j.fcr.2018.11.009>
- 393 Licker, R., Johnston, M., Foley, J.A., Barford, C., Kucharik, C.J., Monfreda, C., and  
394 Ramankutty, N. 2010. Mind the gap: how do climate and agricultural management explain  
395 the ‘yield gap’ of croplands around the world? *Global ecology and biogeography*, 19(6),  
396 769-782. <https://doi.org/10.1111/j.1466-8238.2010.00563.x>
- 397 Lobell, D.B., Cassman, K.G., and Field, C.B. 2009. Crop yield gaps: their importance,  
398 magnitudes, and causes. *Annual review of environment and resources*, 34, 179-204.  
399 <https://doi.org/10.1146/annurev.enviro.041008.093740>
- 400 Marin, F. R., Martha Jr, G. B., Cassman, K.G., and Grassini, P. 2016. Prospects for increasing  
401 sugarcane and bioethanol production on existing crop area in Brazil. *BioScience*, 66(4),  
402 307-316. <https://doi.org/10.1093/biosci/biw009>
- 403 Menezes, V.G.; Anghinoni, I.; Silva, P.R.F. Da; Macedo, V.R.M.; Petry, C.; Grohs, D.S.;  
404 Freitas, T.F.S. De; Valente, L.A. De L. Projeto 10: management strategies to increase  
405 productivity and sustainability of irrigated rice fields growth in the state of Rio Grande do  
406 Sul, Brazil: developments and new challenges. Porto Alegre: IRGA, 2013. Available at:  
407 <<http://oryzasoy.com/publicacoes/projeto-10-management-strategies-toincrease->

- 408 productivity-and-sustainability-of-irrigated-rice-fieldsgrowth-in-the-state-of-rio-grande-  
409 do-sul-brazil-developmentsand-new-challenges/>. Accessed on: Dec. 18 2019
- 410 Partey, S.T., Saito, K., Preziosi, R.F., and Robson, G.D. 2016. Biochar use in a legume–rice  
411 rotation system: effects on soil fertility and crop performance. *Archives of Agronomy and*  
412 *Soil Science*, 62(2), 199-215. <https://doi.org/10.1080/03650340.2015.1040399>
- 413 Peng, S., Buresh, R.J., Huang, J., Zhong, X., Zou, Y., Yang, J., Wang, G., Liu, Y., Hu, J.,  
414 Tang, Q., Cui, K., Zhang, F., and Dobermann, A. 2010. Improving nitrogen fertilization in  
415 rice by sitespecific N management. A review. *Agronomy for sustainable development*,  
416 30(3), 649-656. <https://doi.org/10.1051/agro/2010002>
- 417 Peoples, M. B., Brockwell, J., Herridge, D. F., Rochester, I. J., Alves, B. J. R., Urquiaga, S.,  
418 Boddey, R.M., Dakora, F.D., Bhattarai, S., Maskey, S.L., Sampet, C., Rerkasem, B.,  
419 Khans, D.F., Hauggaard-Nielsen, H. and Jensen, B.S. 2009. The contributions of nitrogen-  
420 fixing crop legumes to the productivity of agricultural systems. *Symbiosis*, 48(1-3), 1-17.  
421 <https://doi.org/10.1007/BF03179980>
- 422 Pollet, C. S., Silva, L. S. D., Chaves, B., Rosa Neto, L., Dossin, M. F., Giacomini, S. J., and  
423 Cargnelutti Filho, A. 2019. Influence of summer crop residues on 15N present in organic  
424 matter fractions under two lowland soils. *Ciência Rural*, 49(4).  
425 <http://dx.doi.org/10.1590/0103-8478cr20180747>
- 426 R Development Core Team, 2016. R: A Language and Environment for Statistical.  
427 Computing. R Foundation for Statistical Computing, Vienna, Austria.
- 428 Ribas G.G.; Streck N.A.; Duarte Junior A.; Nascimento M.F.; , Zanon A.J.; Silva, M.R. 2017.  
429 Number of leaves and phenology of flooded rice hybrids simulated by the SimulArroz  
430 model. *Pesquisa Agropecuária Brasileira* 51: 1907-1917. [http://dx.doi.org/10.1590/1807-](http://dx.doi.org/10.1590/1807-1929/agriambi)  
431 [1929/agriambi](http://dx.doi.org/10.1590/1807-1929/agriambi)
- 432 Ribas G.G.; Streck N.A.; Lago I.; Zanon A.J.; Waldow D.A.G.; Duarte Junior A.J.;  
433 Nascimento M.F.; Fontana V. 2016. Accumulated dry matter and grain yield in flooded  
434 hybrid flooded rice simulated with the SimulArroz model. *Pesquisa Agropecuária*  
435 *Brasileira* 51: 1907-1917 (in Portuguese, with abstract in English).  
436 <http://dx.doi.org/10.1590/s0100-204x2016001200001>
- 437 Soltani, A., Alimaghani, S. M., Nehbandani, A., Torabi, B., Zeinali, E., Zand, E., Vadez, M.  
438 P., van Loon, M. K. and van Ittersum, M. K. 2020. Future food self-sufficiency in Iran: A  
439 model-based analysis. *Global Food Security*, 24, 100351.  
440 <https://doi.org/10.1016/j.gfs.2020.100351>
- 441 Theisen, G., Silva, J. J. C., Silva, J. S., Andres, A., Anten, N. P., and Bastiaans, L. 2017. The  
442 birth of a new cropping system: towards sustainability in the sub-tropical lowland  
443 agriculture. *Field Crops Research*, 212, 82-94. <http://dx.doi.org/10.1016/j.fcr.2017.07.001>
- 444 USDA – United States Department of Agriculture. Production, Supply and Distribution  
445 Online. Disponível em Zorrilla, G., Martínez, C., Berrío Orozco, L. E., Corredor, E.,  
446 Carmona, L., and Pulver, E. (2012). Improving rice production systems in Latin America  
447 and the Caribbean. Centro Internacional de Agricultura Tropical (CIAT).  
448 [http://www.usda.gov/wps/portal/usda/usdahome?navid=DATA\\_STATISTICS](http://www.usda.gov/wps/portal/usda/usdahome?navid=DATA_STATISTICS). (accessed  
449 10 Sept. 2019).
- 450 Van Ittersum A, M.K., Cassman, K.G., Grassini, P., Wolf J., Tittonell; P., Hochman, Z. 2013.  
451 Yield gap analysis with local to global relevance - A review. *Field Crops Research*, v.143,  
452 p.4–17.

- 453 Van Ittersum M.K. , Van Bussel, G.J., Wolf, J., Grassini, P., van Wart, J., Guilpart, N.,  
454 Claessens, L., Groot, H., Wiebe, K., Mason-D'Croz, D., Yang, H., Boogaard, H., van Oort,  
455 P.A.J., van Loon, M.P., Saito, K., Adimo, O., Adjei-Nsiah, S., Agali, A., Bala, A.,  
456 Chikowo, Kaizzi, R.K., Kouressy, M., Makoi, J.H.J.R., Ouattara, K., Tesfaye, K. and  
457 Cassman, K.G. 2016. Can sub-Saharan Africa feed itself?. *Proceedings of the National*  
458 *Academy of Sciences*, 113(52), 14964-14969. <https://doi.org/10.1073/pnas.1610359113>
- 459 Van Ittersum, M. K. and Rabbinge, R. 1997. Concepts in production ecology for analysis and  
460 qualification of agricultural input-output combinations. *Field Crops Research* 52, 197–208
- 461 Van Loon, M. P., Deng, N., Grassini, P., Edreira, J. I. R., Wolde-Meskel, E., Bajjukya, F., and  
462 van Ittersum, M. K. 2018. Prospect for increasing grain legume crop production in East  
463 Africa. *European Journal of Agronomy*, 101, 140-148.  
464 <https://doi.org/10.1016/j.eja.2018.09.004>
- 465 Van Wart, J., van Bussel, L. G., Wolf, J., Licker, R., Grassini, P., Nelson, A., Boogaard, H.,  
466 Gerber, J., Mueller, N.D., Claessens, C., van Ittersum, M.K., Cassman, K.G. 2013. Use of  
467 agro-climatic zones to upscale simulated crop yield potential. *Field Crops Research*. 143,  
468 44–55. [https://doi.org/10.1016/S0378-4290\(97\)00037-3](https://doi.org/10.1016/S0378-4290(97)00037-3)
- 469 Van Wart, J., Grassini, P., Yang, H., Claessens, L., Jarvis, A., and Cassman, K.G. 2015.  
470 Creating long-term weather data from thin air for crop simulation modeling. *Agricultural*  
471 *and Forest Meteorology*, 209, 49-58. <http://dx.doi.org/10.1016/j.agrformet.2015.02.020>
- 472 Van Wart, J., van Bussel, L.G.J., Wolf, J., Licker, R., Grassini, P., Nelson, A., Boogaard, H.,  
473 Gerber, J., Mueller, N.D., Claessens, L., van Ittersum, M.K., Cassman, K.G. 2013. Use of  
474 agro-climatic zones to upscale simulated crop yield potential. *Field Crops Research*. 143,  
475 44-55. <https://doi.org/10.1016/j.fcr.2012.11.023>
- 476 Yuan, S., Cassman, K. G., Huang, J., Peng, S., and Grassini, P. 2019. Can ratoon cropping  
477 improve resource use efficiencies and profitability of rice in central China?. *Field crops*  
478 *research*, 234, 66-72. <https://doi.org/10.1016/j.fcr.2019.02.004>
- 479 Zanon, A. J., Streck, N. A., and Grassini, P. 2016. Climate and management factors influence  
480 soybean yield potential in a subtropical environment. *Agronomy Journal*, 108(4), 1447-  
481 1454. <https://doi.org/10.2134/agronj2015.0535>
- 482 Zorrilla, G., Martínez, C., Berrío Orozco, L. E., Corredor, E., Carmona, L., and Pulver, E.  
483 2012. Improving rice production systems in Latin America and the Caribbean. *Centro*  
484 *Internacional de Agricultura Tropical (CIAT)*.

1 3.3 ARTIGO III : (SERÁ SUBMETIDO PARA EUROPEAN JOURNAL OF AGRONOMY)

2  
3 **Rotation impact on on-farm rice yield and input-use efficiency in southern Brazil**

4 Giovana Ghisleni Ribas, Alencar Junior Zanon, Isabela Bulegon Pilecco, Thiago Schmitz  
5 Marques Rocha, Patricio Grassini

6  
7 <sup>a</sup> University Federal of Santa Maria, Plant Engineering Hall 77, Roraima Avenue 1000, Santa  
8 Maria-Rio Grande do Sul, Brazil.

9 <sup>b</sup> Department of Agronomy and Horticulture, University of Nebraska-Lincoln, Lincoln, NE,  
10 68583-0915, USA

11  
12 \*Corresponding author e-mail address: [pgrassini2@unl.edu](mailto:pgrassini2@unl.edu)

13  
14 **Abstract**

15 Cereal–legume rotations grain yields tend to be higher than cereal monoculture. We  
16 investigated the benefits on rice grain yield and input-use efficiency of introducing soybean to  
17 the irrigate rice monoculture. We used 3-yr producer-reported data from southern Brazil, which  
18 is the largest rice producer country outside Asia. Commodity prices obtained from literature  
19 and official statistics were used to estimate economic profit for two groups in consecutive 2-yr  
20 continues rice *versus* soybean–rice or rice-soybean sequence Average rice grain yield in the  
21 soybean-rice rotation was 20% (1.8 Mg ha<sup>-1</sup>) higher than rice monoculture persistently across  
22 the wide range of rice yield analyzed (6 to 12.5 Mg ha<sup>-1</sup>). Nitrogen fertilizer rate in soybean-  
23 rice fields was 61% (91 kg N ha<sup>-1</sup>) lower than in soybean-rice crop rotation. Moreover, the  
24 highest net return (US\$ 904 ha<sup>-1</sup>) was obtained in soybean-rice rotation fields, which net returns  
25 difference between soybean-rice and continue rice systems was 25% (US\$ 294 ha<sup>-1</sup>). Like net

26 returns, the benefit-to-cost ratio in soybean-rice was higher (1.4) than rice monoculture (1.1).  
27 In the context of fallow and pasture areas being replaced by soybean, our analysis indicated that  
28 soybean-rice can be a viable option to achieve both high annual productivity and large positive  
29 energy balance and profit, while reducing the environmental impact.

30

31 Keywords: Crop rotation, on-farm data, lowland rice, lowland soybean

32

### 33 **1. Introduction**

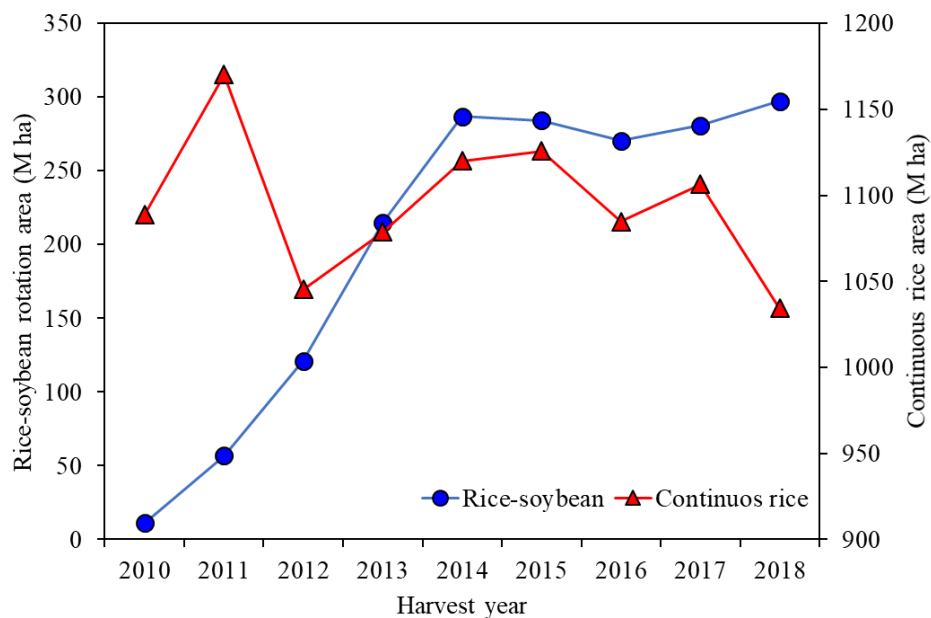
34 Brazil is the largest rice producing country in the world outside Asia, with an annual  
35 production of ca. 11 million metric tons (MMT) (FAO, 2019; USDA, 2019). There are two  
36 dominant rice producing regions: one in the central Brazil, where rainfed upland rice is grown  
37 in ca. half million ha, and another in southern Brazil, mostly Rio Grande do Sul (RS) state,  
38 where lowland irrigated rice is grown in ca. 1 million ha. Productivity is generally higher and  
39 more stable in lowland irrigated rice compared with upland rainfed rice. While the area of  
40 upland rice has declined steadily during the past 20 years (from 4.1 to 0.6 million ha), the area  
41 of lowland irrigated rice in southern Brazil has remained relatively stable over time. As  
42 upland rainfed rice production keeps declining, Brazil will increasingly rely on lowland  
43 irrigated rice production from southern Brazil, in particular RS state, which accounts for 77%  
44 of national rice production (CONAB, 2019).

45 Until mid-2000s, lowland irrigated rice in southern Brazil was typically grown in  
46 monoculture, with one rice crop per year as a result of the relatively shorter growing season  
47 compared with other tropical and subtropical regions where rice is produced. However, as a  
48 result of increasing weed pressure, together with high production costs, producers have  
49 introduced soybean to the traditional continuous rice system. Despite claims to be a ‘new  
50 cropping system’ (c.f. Theisen et al., 2017), the rice-soybean sequence has been practiced in

51 the Mississippi Valley (USA) over the past 50 years (Wolf, 1970; Frank et al., 1988; Mayse &  
52 Tugwell, 1980; Gill & Kamprath, 1990; Cass et al., 1994; Cox & Gerard 2010; Smartt et al.,  
53 2016; Tsiboe et al., 2018). Nowadays, about one third of the rice area in RS state follows a 2-  
54 year rice-soybean sequence (Figure 1). In this system, soybean is typically grown without  
55 irrigation. However, growing upland crops such a soybean in lowlands is not easy. Field  
56 preparation for rice aims to create a compacted soil layer that has low percolation rate so that  
57 rice fields can maintain the water level during most of the growing season without too many  
58 water applications. As a result, growing the subsequent soybean crop is difficult as a result of  
59 water excess due to the poor drainage (Pollet et al., 2019; Mitchell et al., 2013; Chan et al.,  
60 2004). Other difficulties for soybean include low soil pH (which rice can tolerate better as a  
61 result of the shallow root system), water and nutrient limitation due to the relatively shallow  
62 soil profile, lack of adapted soybean cultivars to the lowland environments, and general lack  
63 of knowledge in relation with suitable practices to grown soybean in the lowlands (e.g.,  
64 tillage, water management, nutrients, etc.).

65 Despite the difficulties to grow soybean in the lowlands, rice producers in RGS have  
66 increasingly adopted the rice-soybean sequence as shown in Figure 1. One of the reasons,  
67 together with the higher profit from the soybean cycle in the rotation, is the ‘perception’ that  
68 rice yield is higher after the soybean crop compared with rice grown continuously. Similarly,  
69 they perceive that weeds, insect pests, and disease pressure in rice have decreased when it is  
70 grown in rotation. Growing rice after soybean is also logistically convenient as it reduces the  
71 need for field leveling compared with rice after rice. Theisen et al. (2017) have documented  
72 some of these benefits using data from small-plot experiments conducted in a research station  
73 in RS state over nine years, where crops were managed following “recommended” or “best”  
74 farm management practices. It is not clear, however, how the management followed in this  
75 experiment compare with actual practices in producer fields, where the aim is to maximize net

76 profit rather achieving maximum productivity. Similarly, despite the advantages highlighted by  
 77 Theisen et al. (2017), the fast adoption of the rice-soybean sequence observed during the early  
 78 2010s was followed by a stabilization in the area following rotation (Fig. 1), suggesting that  
 79 there may be constraints limiting adoption of the rice-soybean system. A comprehensive on-  
 80 farm assessment of yield and profitability in continuous rice and rice-soybean systems would  
 81 be useful for understanding the drivers for adoption of the rice-soybean sequence and its  
 82 limitations.



83

84 **Figure 1** – Trends in harvested area in continuous rice and rice-soybean rotation in the state  
 85 of Rio Grande do Sul, Brazil. Source: Instituto Rio Grande do Arroz (<https://irga.rs.gov.br/>).  
 86

87 To fill in the gap of knowledge in relation with the influence of crop sequence on the economic  
 88 and productivity performance of rice-based systems in Southern Brazil, we used an original  
 89 farmer database containing yield and management records collected from 350 farmer fields in  
 90 Rio Grande do Sul (Brazil) over three years. The objective was to compare the continuous rice  
 91 *versus* rice-soybean system in terms of profitability and discuss the advantages and trade-offs  
 92 of the rice-soybean systems.

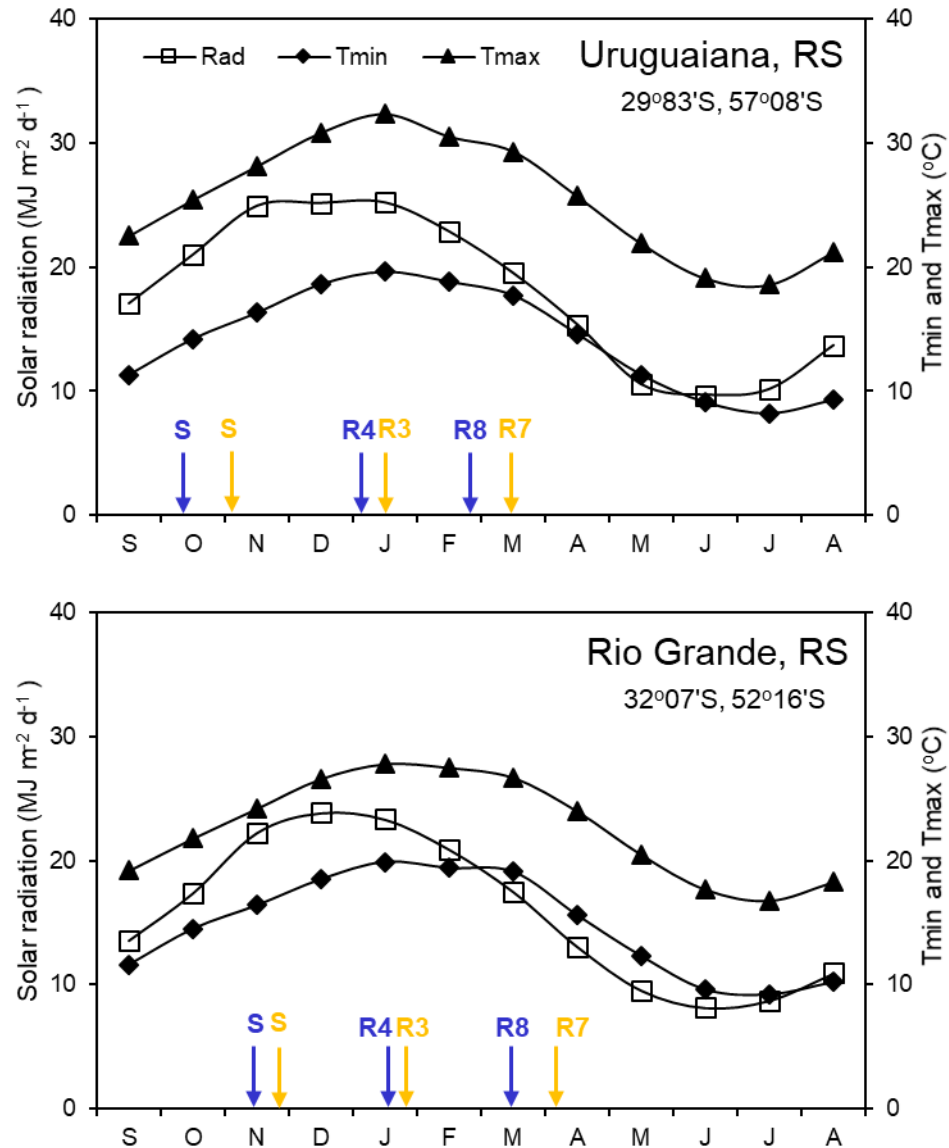
93

## 94 **2. Material and Methods**

### 95 **2.1. Lowland irrigated rice production in southern Brazil**

96 In contrast to lowland rice systems in Asia, rice production in southern Brazil is highly  
97 mechanized, with individual farmers managing large tracks of rice land (range: 150-750 ha).  
98 About half of the rice area is owned by the farmers, the rest is rented. All the rice area is direct-  
99 seeded with Indica cultivars; field are flooded ca. V3-V4 by pumping water from streams or  
100 reservoirs. Fields are kept flooded during the entire crop season and drained around  
101 physiological maturity to allow mechanical harvest. Direct seeding for rice and soybean starts  
102 in mid-Sept and continues until early Dec. Physiological maturity is reached in Feb-April, with  
103 harvest typically occurring two weeks after physiological maturity (Figure 2). Soybean water  
104 stress is more frequent and more intense in the southern and western regions of RS. Flowering  
105 and grain filling of early-sown crops coincide with the peak in solar radiation; in contrast, late-  
106 sown crops are exposed to lower solar radiation during reproductive stages and have lower yield  
107 potential. Temperature and radiation are lower in the southern region of the state (Rio Grande)  
108 compared with the western region (Urugaiana).





109

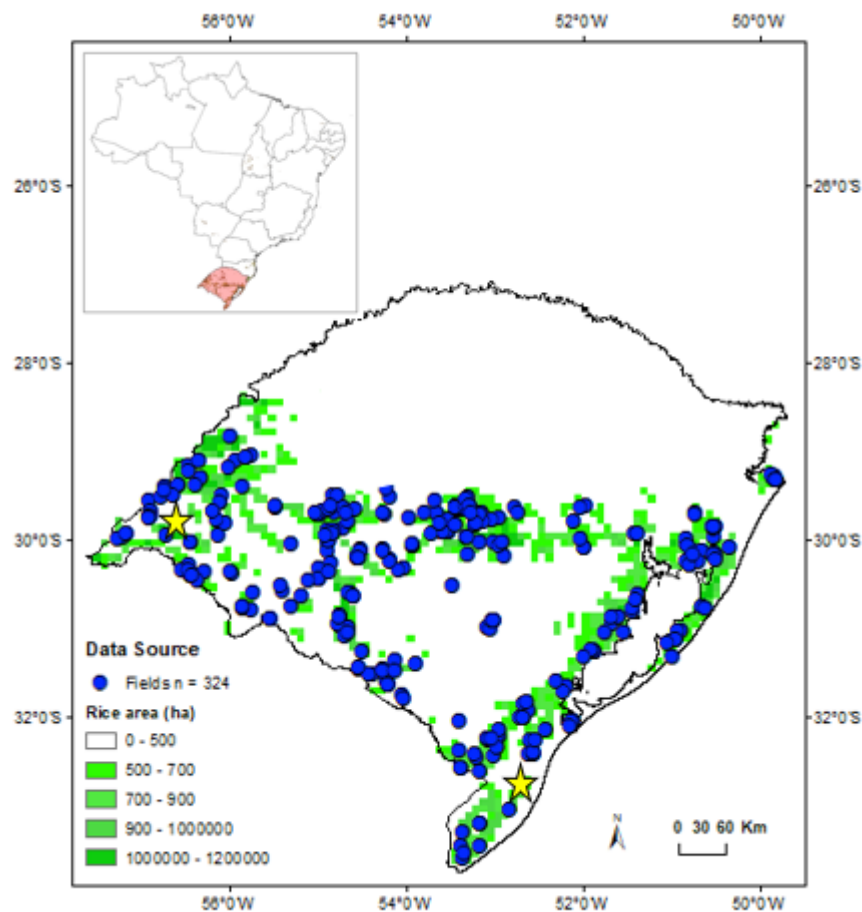
110 **Figure 2.** (A, B) Monthly average incident solar radiation and maximum ( $T_{max}$ ) and minimum  
 111 temperature ( $T_{min}$ ) for two locations representative of the rice and soybean producing area in  
 112 lowland area in Rio Grande do Sul (RS): Uruguaiiana (western RS) and Rio Grande (southern  
 113 RS). Figure 3 shows location of meteorological stations. Each datapoint represent means of  
 114 meteorological variables calculated based on five years (solar radiation) or 30 years ( $T_{max}$   
 115 and  $T_{min}$ ) of measured weather data. Solid arrows inside panels indicate average dates of  
 116 sowing (S), flowering (R1), and physiological maturity (R8) for irrigated rice. Dashed arrows  
 117 indicate average dates of sowing (S), beginning of pod setting (R3) and physiological maturity  
 118 (R7) for rainfed soybean.

119

## 120 2.2 On-farm database

121 Data on rice yield and management practices were collected over three years (2016, 2017, and  
 122 2018) from fields sown with continuous rice and soybean-rice rotation in RS state (Figure 3). All  
 123 surveyed fields were located in lowlands where continuous rice fields were cultivated with

124 irrigation and received irrigation, while soybean fields were cultivated in rainfed conditions.  
125 Rice producers provided data *via* surveys distributed by local crop consultants, extensionists of  
126 the Instituto Rio Grandense do Arroz (IRGA) and by personal interviews. Briefly, producers  
127 were asked to report the average field yield across the fields sown with rice and soybean-rice  
128 rotation in each year and to provide data for a number of fields that portray well that yield range.  
129 Requested data also included field location, average field yield (at 13% seed moisture content  
130 for rice and soybean), crop management (e.g., sowing date, previous crop, pre-sowing weed  
131 control, etc.), applied inputs (e.g., nutrient fertilizer, biocides, etc.), and incidence of biotic and  
132 abiotic adversities (e.g., insect pests, diseases, weeds, waterlogging, frost, etc.). Survey data  
133 were inputted into a digital database and screened to remove erroneous or incomplete data  
134 entries. Around 324 fields over three years, over the total of fields 177 corresponding to  
135 continues rice and 147 correspond to rice fields with soybean rotations.  
136



137

138 **Figure 3.** Map of the state of Rio Grande do Sul (RS) state showing location of the 324 surveyed  
 139 fields (solid circles). Green indicate the rice producing area within the state Inset shows the  
 140 location of RS within Brazil. Stars indicate the location of the two meteorological stations used  
 141 to illustrate weather patterns in Figure 2.

142

### 143 2.3 Data analysis

144 At question is the degree to which crop sequence influences rice yield compared with other  
 145 management practices (e.g., fertilizer, seeding rate, fungicide application, etc.). Here we used  
 146 regression tree analysis to determine the influence of previous summer crop *versus* other  
 147 management practices on rice yield using the “rpart” package in R (Hothorn et al., 2006).  
 148 Regression tree analysis is a non-parametric method which recursively partitions the data into  
 149 successively smaller groups with binary splits based on a single continuous predictor variable

150 (Breiman et al., 1984; Clark and Pregibon, 1992). Regression tree analysis produces a tree-  
151 diagram output, with branches determined by splitting rules and a series of terminal nodes that  
152 contain the mean response (*i.e.*, yield) and the number of observations that fall within each  
153 terminal node. The procedure initially grew maximal trees and then used of cross-validation  
154 technique to prune the over-fitted tree to an optimal size (Therneau and Atkinson, 1997). A  
155 “caret” package in R was used to split the dataset into training (80%) and testing (20%) datasets.  
156 The training dataset was used to run the regression tree analysis, while the testing dataset was  
157 utilized to estimate the mean square error (MSE) between observed and predicted yield. The  
158 regression tree analysis handled missing values in the explanatory factors (*na.rpart* function),  
159 excluding cases only if the response variable (*i.e.*, yield) or all explanatory factors were missing.  
160 When missing values were encountered in considering a split, they were ignored and predictions  
161 are calculated from the non-missing values of that factor (Venables and Ripley, 2002).  
162 Previous studies have used a similar approach to determine the influence of management  
163 practices on crop yields based on farmer or experimental data (Mourtzinis et al 2017; Tenorio  
164 et al., 2019).  
165 Following other studies (e.g. Yuan et al., 2019), we calculated a number of parameters to assess  
166 the productivity and economic performance in consecutive 2-yr sequence between continues  
167 rice (total of 88 fields) and rice-soybean or soybean-rice (total of 26 fields) field groups. These  
168 parameters include: yield, inputs (and their share of total variable costs), labor, incidence of  
169 biotic stresses (weeds, insect pests, and diseases), variable costs, net profit (based on gross  
170 income and variable costs), net income-to-cost ratio, and the net profit-to-labor ratio. For each  
171 field, costs were calculated based on reported annual input amounts and associated market  
172 prices (in US\$) around year 2018. Labor, land, and machinery costs were estimated based on  
173 expert opinion from local agronomists and researchers. Similarly, we calculated partial  
174 productivity factors for N fertilizer rate as the ratio between yield and N fertilizer input

175 (Cassman et al., 2002). Box plots were used to illustrate the range of values for these parameters  
176 in each crop sequence. Energy output was calculated based on farmer-reported yield and rice  
177 and soybean grain energy content (Amthor et al., 1994; Koester et al., 2014; Guilpart et al.,  
178 2017). Yield potential was calculated using Oryza2000 v3 (Bouman et al., 2004) using  
179 coefficients calibrated for the most dominant varieties in southern Brazil ([www.yieldgap.org](http://www.yieldgap.org)).  
180 To compare the two cropping sequence we use 2-year sums.

181

### 182 **3. Results**

#### 183 **3.2. Input use in continuous rice *versus* rice-soybean crop rotation**

184 In both crop sequences, fossil fuel, labor, and biocides (herbicide, insecticide, and fungicide)  
185 accounted for more than 80% of total energy use (Table 1). Soybean-rice fields require  
186 substantially less resources than rice-rice (Table 1). Hence, soybean-rice had higher energy  
187 output and gross income, than rice-rice because of less requirement of machinery resource with  
188 soil preparation. Finally, field-to-field variation in NER, and benefit-cost-to ratio was relatively  
189 lower (< 74 % and 28%) in soybean-rice than rice-rice.

190 **Table 2.** Sum of applied inputs, total fossil-fuel energy inputs (and average percentage of total  
 191 production cost, based on farmer-reported data over two consecutive years cropping systems  
 192 for soybean-rice and rice-rice.

Inputs (per ha)	Sum over two years cropping system fields	
	soybean-rice	rice-rice
N fertilizer, kg N	147 (6)	238 (9)
P fertilizer, kg P	96 (4)	53 (1)
K fertilizer, kg K	120 (3)	135 (3)
Lime, kg	2500 (9)	0
Seed, kg ha <sup>-1</sup>	148 (10)	197 (10)
Labor, h	80 (21)	110 (32)
Herbicide, kg a.i.	10 (5)	8 (4)
Insecticide, kg a.i	2 (4)	2 (3)
Fungicide, kg a.i.	2 (10)	2 (3)
Diesel, l	185 (20)	247 (21)
Electricity, KWh	78 (8)	156 (14)

193

### 194 3.3. Productivity and economic performance of two crop sequences

195

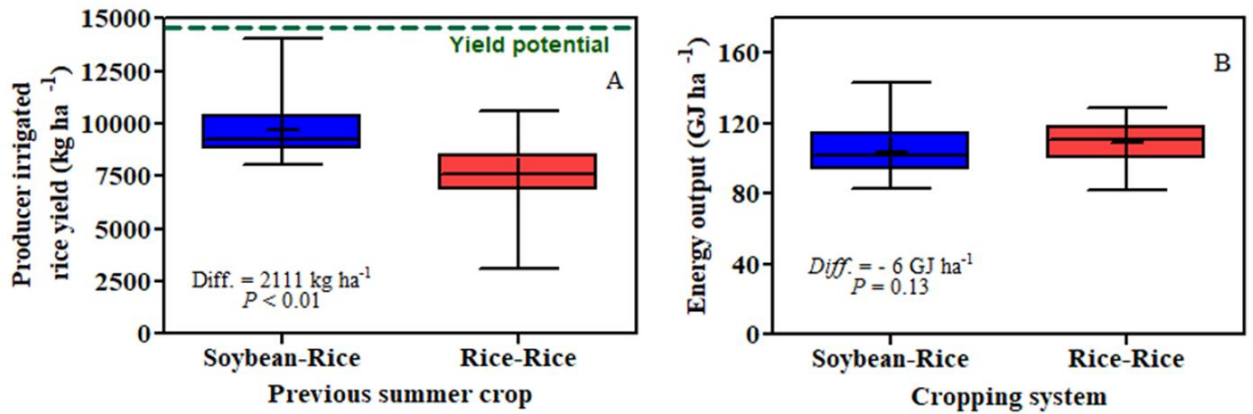
196 Soybean-rice crop rotation attained the highest grain yield with a strong relationship between  
 197 net economic return, energy output and benefit-to-cost ratio ( $r^2 = 0.66$ ,  $P < 0.01$ ). In continues  
 198 rice, the difference between the highest and lowest costs were US\$ 146 ha<sup>-1</sup> whereas in soybean-  
 199 rice system the production cost was almost the same US\$ 74 ha<sup>-1</sup>, which means that there were  
 200 a better resource-use efficiency and labor inputs for soybean-rice system making it more  
 201 profitable than continues rice. The highest net return (US\$ 904 ha<sup>-1</sup>) from the systems were  
 202 obtained with soybean-rice rotation fields. The difference in average? net return in soybean-rice  
 203 fields versus continue rice was US\$ 281 ha<sup>-1</sup>. Like net returns, the benefit-to-cost ratio was the

204 highest in soybean-rice fields (1.8), and these finding were consistent with difference between  
205 soybean-rice fields and continue-rice (0.2), indicating that soybean-rice fields attained larger  
206 economic benefit per unit of production cost compared with the continue rice system.

207 The  $\text{PFP}_N$  rice average was  $75 \text{ kg kg}^{-1} \text{ N}$  for rice after soybean (safe 1y fertilizer but increase  
208  $\text{NUE}$ )-rice fields and  $137 \text{ kg kg}^{-1} \text{ N}$  in continue rice fields. Difference in  $\text{PFP}_N$  was unrelated  
209 with residual soil from prior crop and the  $\text{PFP}_N$  between soybean-rice and continue rice fields  
210 were not significant. In RS, there is a tremendous variation fertilizer N total applied in rice  
211 among soybean-rice ( $147 \text{ kg ha}^{-1}$ ) and continue rice systems ( $238 \text{ kg ha}^{-1}$ ). However, soybean-  
212 rice fields require less amount of N than continue rice, therefore rice farmers are not applying  
213 fertilizer N total to account for the wide range in soil N supply resulting imbalance contributes  
214 to low N-use efficiency. In this sense, there is no study in Brazil about the N-use efficiency in  
215 soybean-rice *versus* continues rice fields, in order to turn the soybean-rice system much more  
216 profitable.

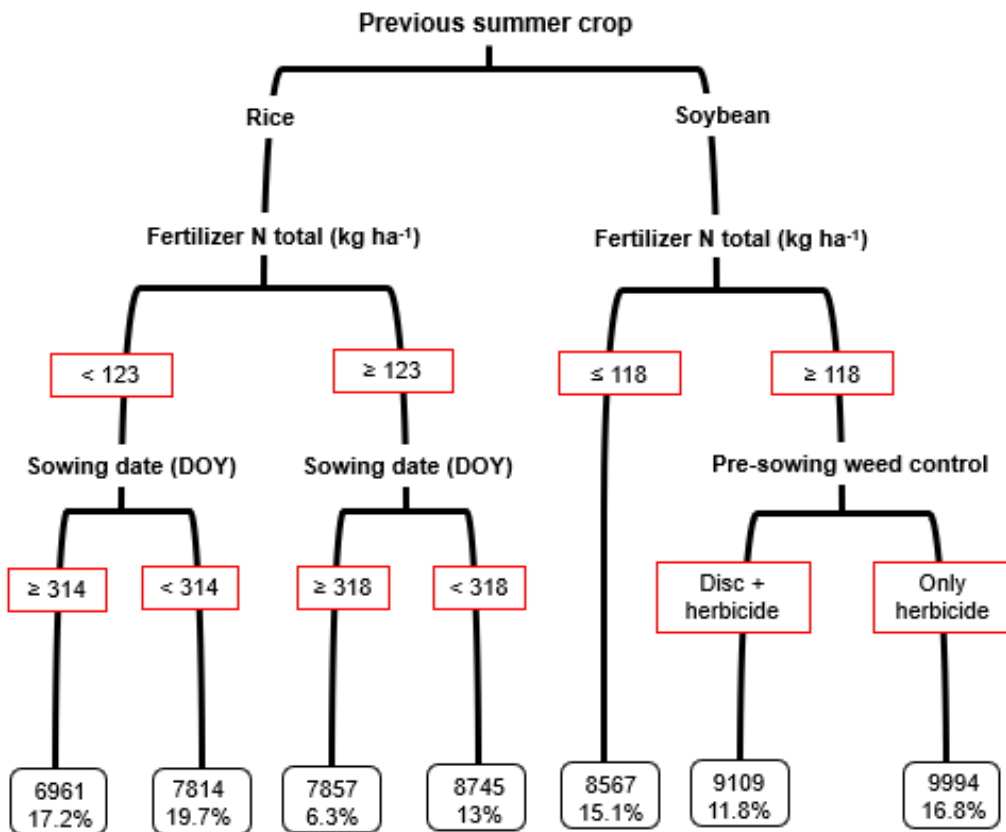
217 Annual grain energy output explaining the variation among cropping systems as well as field-  
218 to-field variation within cropping systems (Figure 4B). The difference in grain yield among the  
219 two cropping systems was mainly attributable to differences in previous summer crop,  
220 fertilizers, biocides and sowing date (Figure 4A). Therefore, the soybean-rice rotation has  
221 shown the most promising summer cropping system for lowland area in RS where the most  
222 important benefit was to increase the rice grain yield by 20%. Crop rotation fields have shown  
223 an increase of 7% of rice yield by pre-sowing weed control using only herbicide instant of disc  
224 plus herbicide. Furthermore, rice producers appply 1% less N fertilizer input when the previous  
225 summer crop is soybean. However, the yield gap still 49% of yield potential ( $14.8 \text{ Mg ha}^{-1}$ ),  
226 because rice farmers still have on fields management problems, such as weed control, N  
227 fertilizer input, delayed sowing date.

228



229

230 **Figure 4** – Comparison of average producer irrigated rice yield between groups of fields with  
 231 different management. Letters indicate significance of the impact on rice yield with respect to  
 232 the previous summer crop as evaluated using t test at  $p < 0.01$ . Comparison of irrigated rice  
 233 yield in Soybean-Rice rotation versus Rice-Rice against sowing date in the Rio Grande do Sul  
 234 Brazil region. The yield potential calculated with Oryza model, median (continue line) and  
 235 mean (+) are shown.  
 236



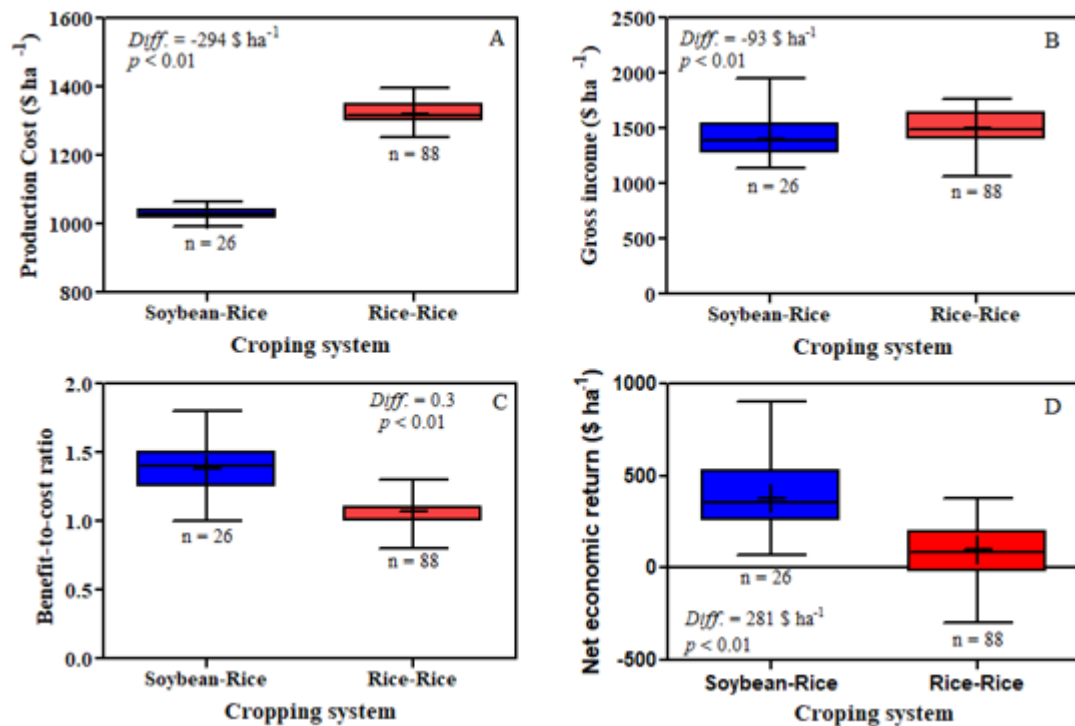
237

238

239 **Figure 3.** Regression tree model showing sources of variation in grain yield due to previous  
 240 summer crop (overall  $R^2 = 44\%$ ). Boxes are splitting nodes, with bottom boxes representing



241 terminal nodes. Values within each terminal node indicate average of grain yield (in  $\text{kg ha}^{-1}$ )  
 242 at a 13% moisture content basis and the percentage of observations in each terminal node.  
 243



244

245 **Figure 7.** Boxplots show the comparison of net economic return (A) a benefit-to-cost ratio (B)  
 246 in irrigated rice in two systems with different previous summer crop in the Rio Grande do Sul -  
 247 Brazil. Letters (a, b) indicate statistically significant differences (Anova and Contrast,  $p < 0.01$ ).  
 248 The median (continue line) and mean (+) are shown.  
 249

### 250 3.1. Influence of crop sequence on rice yield

251

252 The regression tree explained 44% of variation in rice yield using four variables, included  
 253 previous summer crop rotation, fertilizer nitrogen total, sowing date and pre-sowing control  
 254 weed (Figure 3). Previous summer crop was the most important variable associated with grain  
 255 yield, with crops under soybean-rice crop rotation reaching higher grain yield in relation with  
 256 continuous rice. The influence of soybean-rice rotation in grain yield was amplified in fields  
 257 that were also exposed higher fertilizer nitrogen total ( $\geq 118 \text{ kg ha}^{-1}$ ) and pre-sowing weed  
 258 control by only herbicide, while fields with lowest grain yield were associated with small N

259 fertilizer inputs ( $< 118 \text{ kg ha}^{-1}$ ) and pre-sowing weed control by disc plus herbicide. In contrast,  
260 the most important factors influencing grain yield in continuous rice were N fertilizer rate and  
261 sowing date: higher yield were associated with large N fertilizer input ( $\geq 123 \text{ kg ha}^{-1}$ ) and early  
262 sowing dates (DOY  $< 318$ ).

#### 263 **4. Discussion**

264 The yield benefit when cereal crops are rotated with legumes has been well documented for  
265 wheat and maize (Grassini et al., 2011; Fischer et al., 2002, Farmaha et al 2014 and references  
266 cited therein). For rice, t few studies including a side-by-side comparison of rice grown in  
267 rotation *versus* rice grown continuously showed a consistent rice yield advantage with  
268 rotation, ranging from +7% to +25% in relation with the continuous rice system (Anders et al.,  
269 2002; Olk et al., 2009; Smartt et al. 2016; Theisen et al., 2017). Studies have been showed  
270 continues rice has 19% average less grain yield than soybean-rice (Anders et al., 2004, 2007).  
271 Furthermore, there are situations where legume sources have provided a significant proportion  
272 (20-33%) of the next crop's N requirements (Peoples et al., 2009) by increasing nitrogen  
273 availability in the soil due to symbiotic  $\text{N}_2$ -fixation (Olk et al., 2009), increasing weed pre-  
274 sowing control by diversifying herbicide mechanisms of action of the herbicides and cultural  
275 practices (Filizadeh et al., 2007; Angus et al., 2015; Theisen et al., 2017) (Table 2). In this  
276 study we have provided information about the yield increasing soybean-rice crop rotation  
277 system by improving management practices and quantifying the production costs of systems.  
278 Soybean-rice rotation started to be adopted by farmers to control weed resistance, such as  
279 weedy rice (*Oryza sativa*), and barnyard grass (*Echinochloa crusgalli*) by rotating herbicides,  
280 and improving net returns. Legume N plays a key role in contributing to the soil organic  
281 matter (Schwenker et al., 2002) and may be the source of between 30-75% of the total mineral  
282 N accumulating after legumes (Evans et al., 2003). Furthermore, soybean-rice crop rotation is  
283 a stable tool allowing farmers to reduce production costs by using less machinery hours,

284 biocides and labors inputs. Therefore, the soybean price selling grain ( $\$ 18.0 \text{ ha}^{-1}$  at the  
285 industry is higher than rice ( $\$ 10.0 \text{ ha}^{-1}$ ) (IBGE, 2019) which makes the soybean-rice system  
286 more profitable than rice-rice as well.

287 Location-specific cropping-system data used in the analysis illustrated the shifts in southern  
288 Brazil rice production systems, where the total harvested irrigated rice area has decreased by  
289 65% since 2010 (CONAB, 2019). Farmers are focusing resources on increasing yields by using  
290 the soybean-rice rotation to reduce the sizable yield gaps in monoculture fields offering the  
291 greatest potential to ensure southern continues growing enough rice for its population. The good  
292 news is RS has substantial flexibility to maintain self-sufficiency without increasing the  
293 cropland dedicated to rice production (Clapp, 2019). Economic reasons for adoption of  
294 soybean-rice system are the best returns from the soybean crop is the greater prices of grain and  
295 high price stability (Clapp, 2019), saving labor, time, water and energy costs. Furthermore, the  
296 net returns and benefit to cost ratio from continuous rice are less reliable than from a diversified  
297 cropping sequence in lowland environments.

298 Even though soybean-rice rotation has been elected the most promisor system in lowland areas  
299 in Brazil, this system cannot be implemented by all rice farmers. Still there are problems to crop  
300 soybean in fields close to the rivers, poor drainage condition fields. Another problem is the  
301 investment with equipment that rice producer should do to crop soybean in lowland rice fields.

302 Farmers that have been adopted the soybean in lowland areas have to face risks with water  
303 surplus mostly in El Niño years, especially during germination and emergence period, which  
304 may turn soybean-rice system less profitable than continue rice sometimes. However, strategies  
305 can be adopted by farmers to minimize water surplus risks in lowland areas, as changing  
306 soybean sowing date to after November 1, decreasing the water surplus risk by less than 60%  
307 (Bortoluzzi et al., 2017).

308 Nowadays, the total cropping lowland area in RS is 3 M ha where 39% had been used by  
309 continue rice, 9% by soybean-rice rotation, 52% by fallow/pasture and continue soybean  
310 (IBGE, 2019). Our belief is, if part of the fallow/pasture and continue soybean current lowland  
311 area shift into the soybean-rice system, it can potentially increase the total rice production  
312 following the principle of high quality, efficiency, yielding, low cost and minimum impacts on  
313 the environment. Moreover, even the Brazilian production being smaller than Asian continent,  
314 the potential to increase rice production in Brazil is larger (66%) than Asia, which makes Brazil  
315 a potential rice exporter, and, Brazil, that already is a major global food supplier (Marin et al.,  
316 2016), will become more prominent in the global food security and it will be able to supply the  
317 estimated demand for rice in other countries, such as China (Nanyan et al., 2019), which  
318 guarantee the world food security and define public policies regarding the commercialization  
319 of rice.

320

## 321 **5. Conclusions**

322 Key insights from this study focusing on high-yield irrigated rice in the RS Brazil. Rice yield  
323 are: (i) rice grown with soybean has yield advantage (20%) than continue rice, (ii) soybean-rice  
324 may receive less N fertilizer than continue rice increasing the N-efficiency turn it more  
325 profitable, (iii) analysis of the data reported lower variation and higher average values in NER,  
326 and benefit-cost-to ratio in soybean-rice system than rice-rice system which makes soybean-  
327 rice system be more stable and profitable.

328

## 329 **References**

330 AGGARWAL, P.K.; KALRA, N.; CHANDER, S.; PATHAK, H. InfoCrop: a dynamic  
331 simulation model for the assessment of crop yields, losses due to pests, and environmental impact

332 of agro-ecosystems in tropical environments. *Agricultural Systems*, v.89, p.1-25, 2006. DOI:  
333 10.1016/j.agsy.2005.08.001.

334 ARTACHO, P.; MEZA, F.; ALCALDE, J.A. Evaluation of the Oryza2000 rice growth model  
335 under nitrogen-limited conditions in an irrigated Mediterranean environment. *Chilean Journal of*  
336 *Agricultural Research*, v.71, p.23-33, 2011. DOI: 10.4067/S0718-58392011000100003.

337 BAICHAROEN, A., VIJAYAN, R.; PONGPRAYOON, P. Structural insights into betaine  
338 aldehyde dehydrogenase (BADH2) from *Oryza sativa* explored by modeling and simulations.  
339 *Scientific reports*, v.8, p.12892, 2018. DOI: 10.1038/s41598-018-31204-z.

340 BALBINOTI, T. C. V., DE MATOS JORGE, L. M.; JORGE, R. M. M. Mathematical modeling  
341 of paddy (*Oryza sativa*) hydration in different thermal conditions assisted by Raman  
342 spectroscopy. *Journal of cereal science*, v.79, p.390-398, 2018. DOI: 10.1016/j.jcs.2017.11.019.

343 BALBINOTI, T. C. V., DE MATOS JORGE, L. M.; JORGE, R. M. M. Modeling the hydration  
344 step of the rice (*Oryza sativa*) parboiling process. *Journal of Food Engineering*, v.216, p.81-89,  
345 2018. DOI: 10.1016/j.jfoodeng.2017.07.020.

346 BOLING, A.A.; BOUMAN, B.A.M.; TUONG, T.P.; KONBOON, Y.; HARNPICHITVITAYA,  
347 D. Yield gap analysis and the effect of nitrogen and water on photoperiod-sensitive Jasmine rice  
348 in north-east Thailand. *Wageningen Journal of Life Science*, v.58, p.11-19, 2011. DOI:  
349 10.1016/j.njas.2010.05.001.

350 BOUMAN, B.A.M.; KROPFF, M.J.; TUONG, T.P.; WOPEREIS, M.C.S.; TEN BERGE,  
351 H.F.M.; LAAR, H.H. VAN. *Oryza 2000: modeling lowland rice*. Manila, Philippines:  
352 International Rice Research Institute (IRRI), 2004. 245p.

353 CASSMAN, K.G.; DOBERMANN, A.; WALTERS, D.T.; YANG, H. Meeting cereal demand  
354 while protecting natural resources and improving environmental quality. *Annual Review*  
355 *Environment Resources*, v.28, p.315–358, 2003.  
356 DOI:10.1146/annurev.energy.28.040202.122858.

- 357 CASTRO, J. R. D., CUADRA, S. V., PINTO, L. B., SOUZA, J. M. H. D., SANTOS, M. P. D.;
- 358 HEINEMANN, A. B. Parametrization of Models and Use of Estimated Global Solar Radiation
- 359 Data in the Irrigated Rice Yield Simulation. *Revista Brasileira de Meteorologia*, v.33, p.238-246,
- 360 2018. DOI: 10.1590/0102-7786332003.
- 361 CHAN, P., BASNAYAKE, J., NGOY, K., FUKAI, S., SAROM, M.E., 2004. The effect of water
- 362 availability on rice-based double cropping in rainfed lowlands in Cambodia. In: SENG, V.,
- 363 CRASWELL, E., FUKAI, S., FISCHER, K. (Eds.), *Water in Agriculture*. ACIAR Proceedings
- 364 N°. 116, Australian Centre for International Agricultural Research, Canberra, Australia, pp. 72–
- 365 85.
- 366 CONAB. Acompanhamento da safra brasileira de grãos. Available at: < [www.conab.gov.br](http://www.conab.gov.br) >.
- 367 Accessed on: May. 01 2018.
- 368 CONFALONIERI, R.; BREGAGLIO, S.; ACUTIS, M. Quantifying uncertainty in crop model
- 369 predictions due to the uncertainty in the observations used for calibration. *Ecological modelling*,
- 370 v.328, p.72-77, 2016. DOI: 10.1016/j.ecolmodel.2016.02.013
- 371 COUNCE, P.; KEISLING, T.C.; MITCHELL, A.J. A uniform, objective, and adaptative system
- 372 for expressing rice development. *Crop Science*, v.40, p.436-443, 2000. DOI:
- 373 10.2135/cropsci2000.402436x.
- 374 DAUER, J., HULTING, A., CARLSON, D., MANKIN, L., HARDEN, J.; MALLORY-SMITH,
- 375 C. Gene flow from single and stacked herbicide-resistant rice (*Oryza sativa*): modeling
- 376 occurrence of multiple herbicide-resistant weedy rice. *Pest Management Science*, v.74, p.348–
- 377 355, 2018. DOI: 10.1002/ps.4711.
- 378 DENG, N.; GRASSINI, P.; YANG, H.; HUANG, J.; CASSMAN, K. G.; PENG, S. Closing yield
- 379 gaps for rice self-sufficiency in China. *Nature communications*, v.10, 1725, 2019. DOI:
- 380 10.1038/s41467-019-09447-9.

381 ESPE, M.B.; CASSMAN, K.G.; YANG, H.; GUILPART, N.; GRASSINI, P.; VAN WART, J.;  
382 ANDRES M.; BEIGHLEY D.; HARELL D.; LISCOMBE S.; MCKENZE K.; MUTTERS R.;  
383 WILSON L.T.; LINQUIST. B.A. Yield gap analysis of US rice production systems shows  
384 opportunities for improvement. *Field Crops Research*. v.196, p.276-283, 2016. DOI:  
385 10.1016/j.fcr.2016.07.011.

386 FAO. Database of the Food and Agricultural Organization of the United Nations. Available at:  
387 <[www.fao.org/faostat/en/#data/QC](http://www.fao.org/faostat/en/#data/QC)>. Accessed on: May. 01 2018.

388 GABRIEL, L.F.; STRECK, N.A.; ROBERTI, D.R.; CHIELLE, Z.G.; UHLMANN, L.O.;  
389 SILVA, M. R.DA.; SILVA, S.D. da. Simulating cassava growth and yield under potential  
390 conditions in Southern Brazil. *Agronomy Journal*, v.106, p.1119-1137, 2014. DOI:  
391 10.2134/agronj2013.0187.

392 GRASSINI, P.; TORRION, J.A.; YANG, H.S.; REES, J.; ANDERSEN, D.; CASSMAN, K.G.;  
393 SPECHT, J.E. Soybean yield gaps and water productivity in the western U.S. Corn Belt. *Field*  
394 *Crops Research*, v.179, p.150-163, 2015. DOI: 10.1016/j.fcr.2015.04.015.

395 HAUN, J.R. Visual quantification of wheat development. *Agronomy Journal*, v.65, p.116-119,  
396 1973. DOI: 10.2134/agronj1973.00021962006500010035x.

397 HEINEMANN, A. B.; HOOGENBOOM, G.; DE FARIA, R. T. Determination of spatial water  
398 requirements at county and regional levels using crop models and GIS: An example for the State  
399 of Parana, Brazil. *Agricultural Water Management*, v.52, p.177-196, 2002. DOI: 10.1016/S0378-  
400 3774(01)00137-8.

401 IRGA. Levantamento da área semeada com arroz irrigado no Rio Grande do Sul. Available at:  
402 <<http://www.irga.rs.gov.br>>. Accessed on: Feb. 20 2018.

403 JANSSEN, P. H. M.; HEUBERGER, P. S. C. Calibration of process-oriented models. *Ecological*  
404 *Modelling*, v.83, p.55-56, 1995. DOI: 10.1016/0304-3800(95)00084-9.

- 405 LI, T.; ANGELES, O.; MARCAIDA M.; MANALO, E.; MANALILI, M. P.; RADANIELSON,  
406 A.; MOHANTY, S. From ORYZA2000 to ORYZA (v3): An improved simulation model for  
407 rice in drought and nitrogen-deficient environments. *Agricultural and forest meteorology*, v.237,  
408 p.246-256, 2017. DOI: 10.1016/j.agrformet.2017.02.025.
- 409 LIU, Y., LI, C., FANG, B., FANG, Y., CHEN, K., ZHANG, Y.; ZHANG, H. Potential for high  
410 yield with increased seedling density and decreased N fertilizer application under seedling-  
411 throwing rice cultivation. *Scientific reports*, v.9, p.731. 2019. DOI: 10.1038/s41598-018-36978-  
412 w.
- 413 LOBELL, D.B.; CASSMAN, K.G.; FIELD, C.B. Crop yield gaps: their importance, magnitudes,  
414 and causes. *Annual Review Environment Resources*, v.34, p.179–204, 2009. DOI:  
415 10.1146/annurev.enviro.041008.093740.
- 416 MENEZES, V. G.; ANGHINONI, I.; SILVA, P. R. F. DA; MACEDO, V. R. M.; PETRY, C.;  
417 GROHS, D. S.; FREITAS, T. F. S. DE; VALENTE, L. A. L. Project 10 - Management strategies  
418 to increase yield and sustainability of irrigated rice in RS: advances and new challenges.  
419 Cachoeirinha, Brazil: Instituto Rio Grandense do Arroz (IRGA), 2013. 96p.
- 420 MITCHELL, J., CHETH, K., SENG, V., LOR, B., OUK, M., FUKAI, S. Wet cultivation in  
421 lowland rice causing excess water problems for the subsequent non-rice crops in the Mekong  
422 region. *Field Crops Research*, v.152, p.57-64, 2013.
- 423 MONGIANO, G.; TITONE, P.; TAMBORINI, L.; PILU, R.; BREGAGLIO, S. Advancing crop  
424 modelling capabilities through cultivar-specific parameters sets for the Italian rice germplasm.  
425 *Field Crops Research*, v.240, p.44-54. 2019. DOI: 10.1016/j.fcr.2019.05.012
- 426 RAMIREZ-VILLEGAS, J., HEINEMANN, A. B., PEREIRA DE CASTRO, A.,  
427 BRESEGHELLO, F.; NAVARRO-RACINES, C., LI, T., REBOLLEDO, M.C.; CHALLINOR,  
428 A. J. Breeding implications of drought stress under future climate for upland rice in Brazil.  
429 *Global Change Biology*, v.24. p.2035-2050, 2018. DOI: 10.1111/gcb.14071.



- 430 RIBAS, G.G.; STRECK, N.A.; DUARTE JUNIOR, A.J.; NASCIMENTO, M.F.; ZANON, A.J.;
- 431 SILVA, M.R. Number of leaves and phenology of rice hybrids simulated by the SimulArroz
- 432 model. *Revista Brasileira de Engenharia Agrícola e Ambiental*, v.21, p.221-226, 2017. DOI:
- 433 10.1590/1807-1929/agriambi.v21n4p221-226.
- 434 ROSA, H.T.; WALTER, L.C.; STRECK, N.A.; CARLI, C.DE; RIBAS, G.G.; MARCHESAN,
- 435 E. Simulação do crescimento e produtividade de arroz no Rio Grande do Sul pelo modelo
- 436 SimulArroz. *Revista Brasileira de Engenharia Agrícola e Ambiental*, v.19, p.1159-1165, 2015.
- 437 DOI: 10.1590/1807-1929/agriambi.v19n12p1159-1165
- 438 STÖCKLE C.O.; WILLIAMS J.R.; ROSENBERG C.A.; JONES C.A. A method for estimating
- 439 direct and climatic effects of rising atmospheric carbon dioxide on crops growth and yield.
- 440 *Agricultural Systems*, v.38, p.225–238, 1992. DOI: 10.1016/0308-521X(92)90067-X.
- 441 STRECK, N. A.; BOSCO, L. C.; LAGO, I. Simulating leaf appearance in rice. *Agronomy*
- 442 *Journal*, v.100, p.490-501, 2008. DOI: 10.2134/agronj2007.0156.
- 443 TANG, L.; ZHU, Y.; HANNAWAY, D.; MENG, Y.; LIU, L.; CHEN, L.; CAO, W. RiceGrow:
- 444 A rice growth and productivity model. *NJAS-Wageningen Journal of Life Sciences*, v.57, p.83-
- 445 92, 2009. DOI: 10.1016/j.njas.2009.12.003.
- 446 USDA. Production, Supply and Distribution. Available at:
- 447 <[www.usda.gov/wps/portal/usda/usdahome?navid=DATA\\_STATISTICS](http://www.usda.gov/wps/portal/usda/usdahome?navid=DATA_STATISTICS)> Accessed on: Feb.
- 448 20 2018.
- 449 VAN ITTERSUM, M.K.; CASSMAN, K.G.; GRASSINI, P.; WOLF, J.; TITTONELL, P.;
- 450 HOCHMAND, Z. Yield gap analysis with local to global relevance—a review. *Field Crops*
- 451 *Research*, v.143, p.4–17. 2013. DOI:10.1016/j.fcr.2012.09.009
- 452 VAN OORT, P.A.J., ZHANG, T., DE VRIES, M.E., HEINEMANN, A. B., MEINKE, H.
- 453 Correlation between temperature and phenology prediction error in rice (*Oryza sativa* L.).

454 Agricultural and Forest Meteorology, v.151, p.1545-1555, 2011. DOI:  
455 10.1016/j.agrformet.2011.06.012.



## 4 DISCUSSÃO

Neste estudo de tese, calibramos e avaliamos modelos agrícolas para a determinação do potencial produtivo através da condução de experimentos de campo. Os modelos mostraram bom desempenho, apresentando variação do NRMSE entre 0,8% à 34% (Figura 1 - Apêndice, Tabelas 1, 2 e 3 - Artigo I). Além disso, o modelo SimulArroz foi testado para níveis tecnológicos baixo, médio e alto no RS e, mostrou que consegue capturar a variação de ambiente, época de semeadura, anos e nível tecnológico (Figura 3 - Artigo I). Em estudos na China, BOLING et al. (2011) reportaram variação do NRMSE entre 20,4% à 35% com o modelo Oryza v3. Com este trabalho de tese foi possível identificar similaridade nos erros encontrados neste trabalho em relação à literatura, sendo possível afirmar que os dois modelos estão capturando a variação de ambiente.

As informações aqui relatadas podem ser usadas para ajustar o manejo atual das lavouras de arroz irrigado no sul do RS. Com a caracterização adequada da fenologia das cultivares de arroz atualmente utilizadas pelos agricultores, a medição da semeadura e o auxílio de modelos de simulação de culturas (BOUMAN & VAN LAAR, 2006), seria possível desenvolver ferramentas de auxílio à decisão para recomendar a data de semeadura e grupo de maturação da cultivar para combinar os estágios de enchimento de grãos (estágio que apresentou maior significância do coeficiente fototérmico) com o período de máxima disponibilidade de radiação solar (dezembro e janeiro) para maximizar as chances de atingir o potencial de produtividade.

O potencial reportado no RS com o modelo Oryza v3 (14,8 t ha<sup>-1</sup>) (Figura 2 - Apêndice) foi similar ao reportado no Uruguai (14 t ha<sup>-1</sup>), e maior aos reportados nos Estados Unidos (9,4 t ha<sup>-1</sup>), China (12,4 t ha<sup>-1</sup>) e África (9 t ha<sup>-1</sup>). Já quando analisamos a lacuna de produtividade no RS (7,1 t ha<sup>-1</sup> ou 49%) observamos que foi maior em relação aos EUA (27%) e China (33%), similar ao Uruguai (43%) e menor que a África (60%) (LICKER et al., 2010; ZORRILLA et al., 2012; AGUS et al., 2019; DENG et al., 2019; VAN LOON et al., 2019).

Sob ponto de vista das melhores lavouras de arroz no RS foi observado que estão produzindo 68% do potencial, enquanto que as demais lavouras estão produzindo 52% do potencial no RS. Estes resultados, estão de acordo com os reportados na Califórnia e no Texas, Estados Unidos por Espe et al. (2016) onde a variação foi de 61 à 76% do potencial produtivo para a cultura do arroz.

Nesse sentido, este estudo mostrou que as produtividades médias das lavouras nas diferentes regiões orizícolas do estado do RS não alcançaram 100% da produtividade atingível (80% Pp, VAN ISTTURSEM et al., 2013), sendo a Lp menor na Fronteira Oeste (44%) e a

maior Lp nas Planícies Costeiras Internas e Externas (51%) (Figura 3 - Apêndice). Indicando o quanto, ainda, é possível melhorar o manejo de arroz no RS (Figura 2 - Apêndice), sendo época de semeadura, época de entrada de água na lavoura, controle de plantas daninhas, rotação de culturas e fertilizantes os fatores que potencialmente estão relacionados com a lacuna, sendo fundamental a transferência de informação das práticas de manejo através de roteiros técnicos ou palestras por técnicos, pesquisadores e/ou extensionistas para diminuir a Lp.

## **5 CONCLUSÃO**

Os modelos agrícolas estão testados para o uso em simulações do potencial de produtividade no RS. Os resultados obtidos por esse estudo revelam que o potencial produtivo e a lacuna de produtividade variam com o ambiente, sendo o valor médio para o Pp de 14,8 t ha<sup>-1</sup> e Lp 7.1 t ha<sup>-1</sup>. Com relação aos fatores de manejo, época de semeadura, época de entrada de água na lavoura, plantas daninhas, fertilizantes e rotação de culturas são os fatores que estão afetando o desempenho de produtividade de arroz no RS.

## REFERÊNCIAS BIBLIOGRÁFICAS

- AGGARWAL, P. K. et al. **InfoCrop**: A dynamic simulation model for the assessment of crop yields, losses due to pests, and environmental impact of agro-ecosystems in tropical environments. I. Model description. *Agricultural Systems*, Netherlands, v. 89, 2006. p. 1-25.
- AGUS, F., Andrade, J. F., Edreira, J. I. R., Deng, N., Purwantomo, D. K., Agustiani, N., ... and Makka, A. 2019. Yield gaps in intensive rice-maize cropping sequences in the humid tropics of Indonesia. **Field Crops Research**, 237, 12-22. <https://doi.org/10.1016/j.fcr.2019.04.006> .
- BATTISTI, R. et al. Climatic efficiency for soybean and wheat crops in the state of Rio Grande do Sul, Brazil, in different sowing date. (In Portuguese, with English abstract.) **Ciência Rural**, v. 43, p. 390-396, 2013. <https://doi.org/10.1007/s42106-018-0016-0>
- BOLDRINI, I. I.; LONGHI-WAGNER, H. M.; BOECHAT, S. C. **Morfologia e taxonomia de gramíneas sul rio-grandenses**. Porto Alegre: UFRGS, 2005. 96 p.
- BOLING, A.A.; BOUMAN, B.A.M.; TUONG, T.P.; KONBOON, Y.; HARNPICHITVITAYA, D. Yield gap analysis and the effect of nitrogen and water on photoperiod-sensitive Jasmine rice in north-east Thailand. **Wageningen Journal of Life Science**, v.58, p.11-19, 2011. <https://doi.org/10.1016/j.njas.2010.05.001>
- BOUMAN, B. A. M. et al. **ORYZA 2000**: modeling lowland rice. Version 2.12, November, 2001. In: Cereal Knowledge Bank, International Rice Research Institute. 2000. 235p.
- BOUMAN, B.A.M.; VAN LAAR, H.H. Description and evaluation of rice growth model ORYZA2000 under nitrogen-limited conditions. **Agricultural Systems**, v.87, p.249-273, 2006. <https://doi.org/10.1016/j.agry.2004.09.011>
- CASTRO, P. R. C.; FERREIRA, S. O.; YAMADA, T. **Ecofisiologia da produção agrícola. Piracicaba**: Associação Brasileira para Pesquisa da Potassa e do Fosfato, 1987. 249 p.
- COMISSÃO DE AGRICULTURA PECUÁRIA E COOPERATIVISMO. **Série Culturas: Arroz. Estado do Rio Grande do Sul - Assembléia Legislativa**. Disponível em: <[http://www.al.rs.gov.br/Download/CAPC/serie\\_culturas\\_arroz.pdf](http://www.al.rs.gov.br/Download/CAPC/serie_culturas_arroz.pdf)> Acesso em 14 de Maio de 2014. 1999.
- CONAB - Companhia Nacional de Abastecimento. **Séries históricas**. Disponível em: <http://www.conab.gov.br/conteudos.php?a=1252&>. Acesso em 18 de janeiro de 2016.
- CROSBY, A. W. **The Columbian exchange: biological and cultural consequences of 1492** (Vol. 2). Greenwood Publishing Group. 2003.
- DENG, N. et al. Closing yield gaps for rice self-sufficiency in China. **Nature communications**. 10. 1-9. 2019. <https://doi.org/10.1038/s41467-019-09447-9>
- ESPE, M.B. et al. Yield gap analysis of US rice production systems shows opportunities for improvement, *Field Crops Research*, p.1-8, 2016. <https://doi.org/10.1016/j.fcr.2016.07.011>

EVANS, L.T. Crop Evolution, Adaptation, and Yield. **Cambridge University Press**, Cambridge, UK, 1993.

FAO - Food and Agriculture Organization of the United Nations. **World production**. 2018. Available at [http://www.fao.org/economic/est/publications/flooded\\_rice\\_publications/en/](http://www.fao.org/economic/est/publications/flooded_rice_publications/en/). (accessed 10 Sept. 2018).

HEINEMANN, A.B. et al. Variation and impact of drought-stress patterns across upland rice target population of environments in Brazil. **Journal of Experimental Botany**, v. 11, p. 1-14, 2015. <https://doi.org/10.1093/jxb/erv126>

IRGA – INSTITUTO RIOGRANDENSE DO ARROZ. **Série Histórica de Produção e Produtividade - RS x BR**. Disponível em: [http://www.irga.rs.gov.br/upload/20150720134318producao\\_rs\\_e\\_brasil.pdf](http://www.irga.rs.gov.br/upload/20150720134318producao_rs_e_brasil.pdf). Acesso em 25 jan. 2016.

IRGA – INSTITUTO RIOGRANDENSE DO ARROZ. **Série Histórica de Produção e Produtividade - RS x BR**. Disponível em: [http://www.irga.rs.gov.br/upload/20180713143631produtividade\\_municipios\\_safra\\_17\\_18\\_final.pdf](http://www.irga.rs.gov.br/upload/20180713143631produtividade_municipios_safra_17_18_final.pdf). Acesso em 25 Set. 2019.

KROPFF, M. J.; VAN LAAR, H. H.; MATTHEWS, R. B. **ORYZA1: an ecophysiological model for irrigated rice production**. In: SARP Research Proceedings. Los Banos, Philippines: International Rice Research Institute - IRRI, 1994. 110 p.

LICKER, R. et al. Mind the gap: how do climate and agricultural management explain the 'yield gap' of croplands around the world? **Global ecology and biogeography**, 19(6), 769-782. 2010. <https://doi.org/10.1111/j.1466-8238.2010.00563.x>

LOBELL, D.B., Cassman, K.G., and Field, C.B. 2009. Crop yield gaps: their importance, magnitudes, and causes. *Annual review of environment and resources*, 34, 179-204. <https://doi.org/10.1146/annurev.environ.041008.093740>

LOBELL, D.B.; CASSMAN, K.G.; FIELD C.B. Crop yield gaps: their importance, magnitudes and causes. **Review of Environment and Resources**, v. 34, p. 179-204, 2009. <https://doi.org/10.1146/annurev.environ.041008.093740>

LORENÇONI, R.; DOURADO NETO, D.; HEINEMANN, A. B. Calibração e avaliação do modelo ORYZA-APSIM para o arroz de terras altas no Brasil. **Revista Ciência Agronômica** (UFC. Online), v. 41, p. 605-613, 2010. <https://doi.org/10.1590/S1806-66902010000400013>

LU, B. R. Et al. Preliminary studies on taxonomy and biosystematics of the AA genome Oryza species (Poaceae). **Grasses: systematics and evolution**. p.51-58.2000.

MENEZES, V. G. et al. **Projeto 10** - Estratégias de manejo para aumento da produtividade e da sustentabilidade da lavoura de arroz irrigado do RS: avanços e novos desafios. Instituto Rio Grandense do Arroz (IRGA), Cachoeirinha. 2013. 104p.

RIBAS, G.G. et al. An update of new rice cultivars in the SimulArroz model. **Revista Pesquisa Agropecuária Brasileira**. V.55. p.1-10. 2020. <http://doi.org/10.1590/S1678-3921.pab2020.v55.00865>

RIBEIRO, O. A colonização de Angola e o seu fracasso. Lisboa: **Imprensa Nacional–Casa da Moeda**. 1981.

ROSA, H.T. et al. Simulação do crescimento e produtividade de arroz no Rio Grande do Sul pelo modelo SimulArroz. **Revista Brasileira de Engenharia Agrícola e Ambiental**, v.19, p.1159–1165, 2015. <https://doi.org/10.1590/1807-1929/agriambi.v19n12p1159-1165>

SHIN, D. W. et al. Assessing maize and peanut yield simulations with various seasonal climate data in the Southeastern United States. **Journal of Applied Meteorology and Climatology**, v. 49, p. 592-603, 2010. <https://doi.org/10.1175/2009JAMC2293.1>

SHIN, D. W. et al. The role of an advanced land model in seasonal dynamical downscaling for crop model application. **Journal of Applied Meteorology and Climatology**, v.45, p.686-701, 2006. <https://doi.org/10.1175/JAM2366.1>

STRECK, N. A. et al. SimulArroz: um aplicativo para estimar a produtividade de arroz no Rio Grande do Sul. In: CONGRESSO BRASILEIRO DE ARROZ IRRIGADO, 8., 2013, Santa Maria. **Anais...** Santa Maria/RS: SOSBAI, 2013. p.1618-1627.

USDA – United States Department of Agriculture. Production, **Supply and Distribution** Online. Disponível em [http://www.usda.gov/wps/portal/usda/usdahome?navid=DATA\\_STATISTICS](http://www.usda.gov/wps/portal/usda/usdahome?navid=DATA_STATISTICS). (accessed 10 Sept. 2019).

VAILLANT, A. Milieu cultural et classification des variétés de riz des Guyanes française et hollandaise. **Journal d'agriculture traditionnelle et de botanique appliquée**, v.28, p.520-529. 1948.

VAN ITTERSUM, M.K. et al. Yield gap analysis with local to global relevance - A review. **Field Crops Research**, v.143, p.4–17, 2013. <https://doi.org/10.1016/j.fcr.2012.09.009>

VAN ITTERSUM, M.K.; RABBINGE, R. Concepts in production ecology for analysis and quantification of agricultural input-output combinations. **Field Crops Research**, v. 52, p. 197–208, 1997. [https://doi.org/10.1016/S0378-4290\(97\)00037-3](https://doi.org/10.1016/S0378-4290(97)00037-3)

VAN LOON, M. P. et al. Prospect for increasing grain legume crop production in East Africa. **European Journal of Agronomy**, 101, 140-148. 2018. <https://doi.org/10.1016/j.eja.2018.09.004>.

WALTER, L. C. et al. Adaptação e avaliação do modelo infocrop para simulação do produtividade de grãos da cultura do arroz irrigado. **Engenharia Agrícola**, Jaboticabal, v.32, n.3, 2012. <https://doi.org/10.1590/S0100-69162012000300010>

WALTER, L. C. et al. Mudanças climáticas e seus efeitos no produtividade de arroz irrigado no Rio Grande do Sul. **Pesquisa Agropecuária Brasileira**, v. 49, p. 915-924, 2014. <https://doi.org/10.1590/S0100-204X2014001200001>



ZORRILLA, G. et al. **Improving rice production systems in Latin America and the Caribbean**. Centro Internacional de Agricultura Tropical (CIAT). 2012.

## APÊNDICE

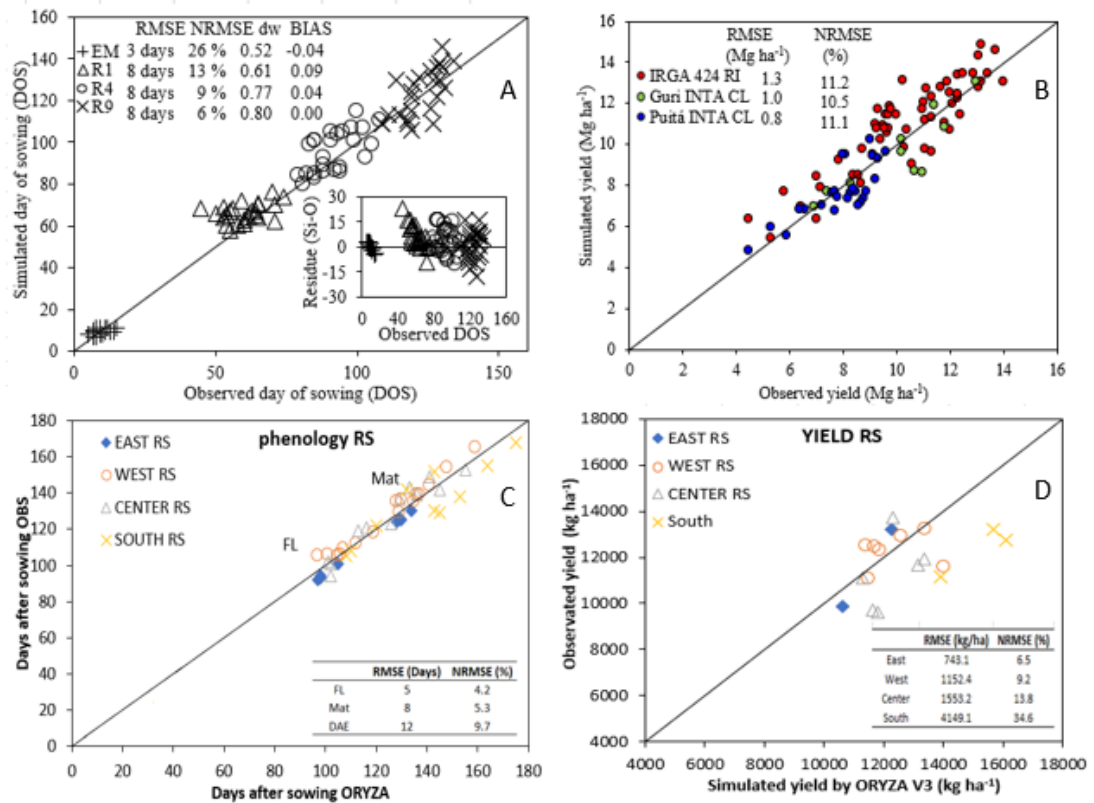


Figura 1. Validação dos modelos SimulArroz (A, B) com as cultivares IRGA 424 RI, Puitá INTA CL, Guri INTA CL, e Oryza v3 (C, D) com a cultivar IRGA 424 RI, para a cultura do arroz irrigado no Rio Grande do Sul.

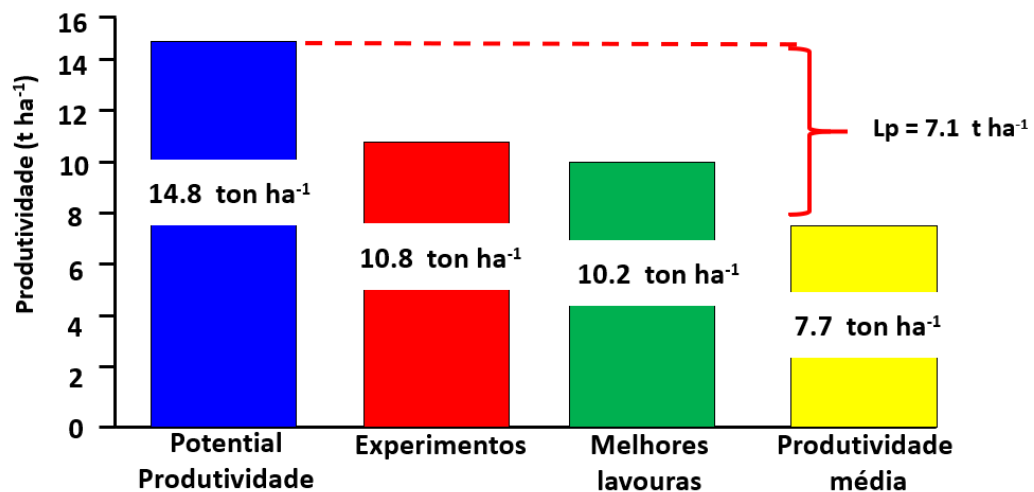


Figura 2. Potenciais de produtividade de grãos estimado pelo modelo oryza (barra em azul), experimentos, melhores lavouras e produtividades médias de grãos. A Lp foi medida entre Pp-Pm.

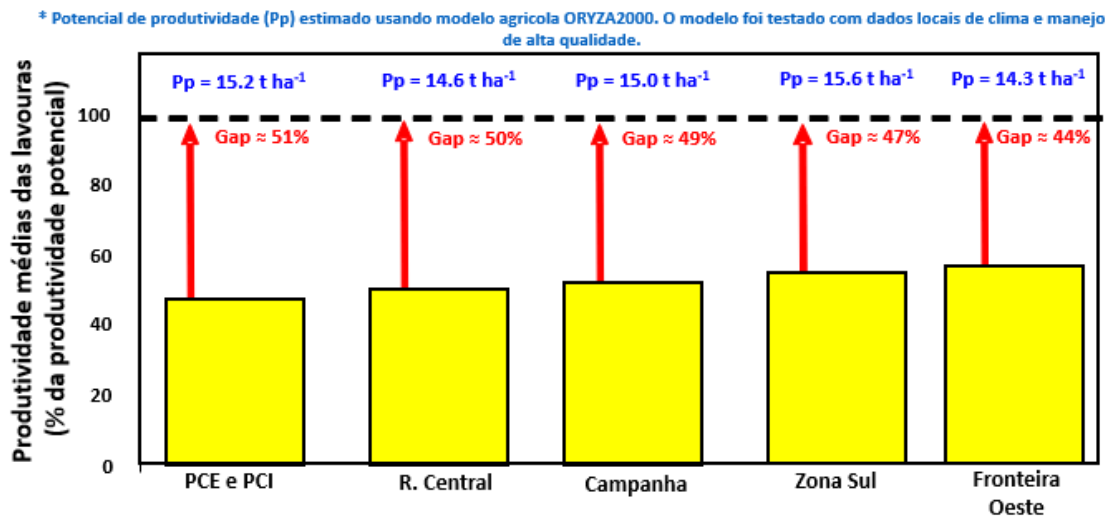


Figura 3. Estimativa dos potenciais de produtividade de grãos e as lacunas de produtividade relativa nas seis regiões do estado. O potencial foi estimado pelo modelo Oryza v3 (média de 10 anos).

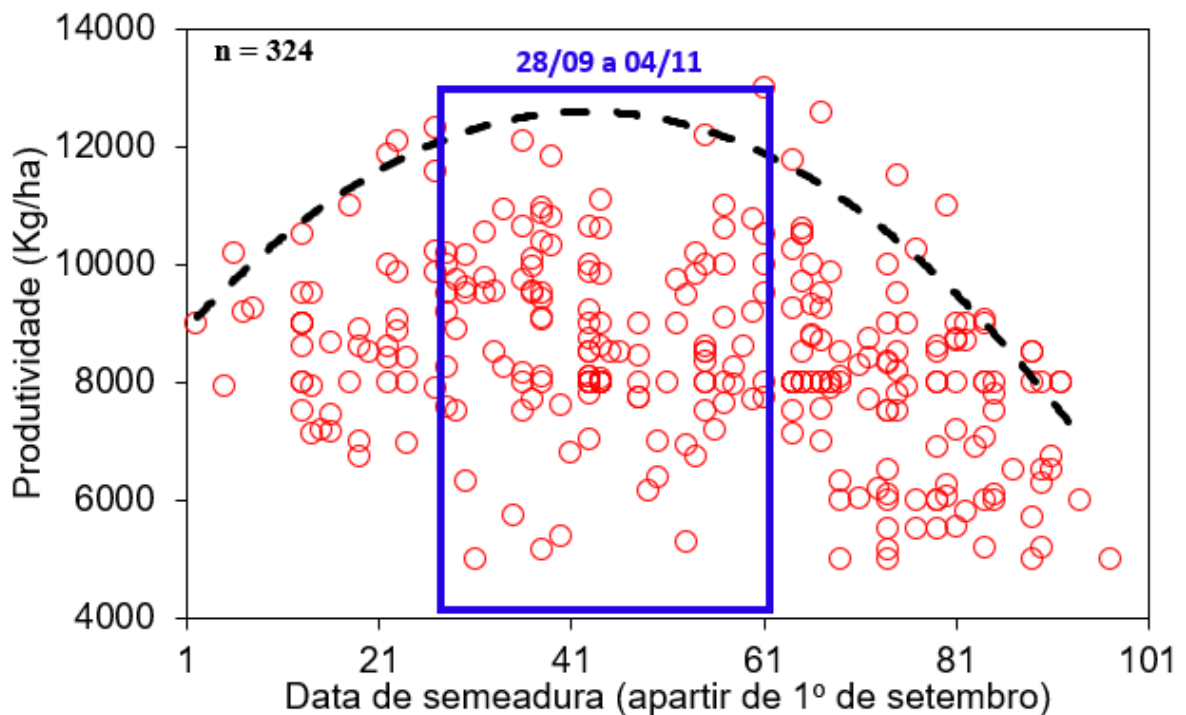


Figura 4. Época de semeadura entre as lavouras de arroz irrigado no Estado do Rio Grande do Sul. Os dados foram coletados nas seis regiões orizícolas pelos extensionistas do IRGA e estudantes de graduação em agronomia da UFSM e UNIPAMPA em 2015 à 2018 em 324 lavouras.

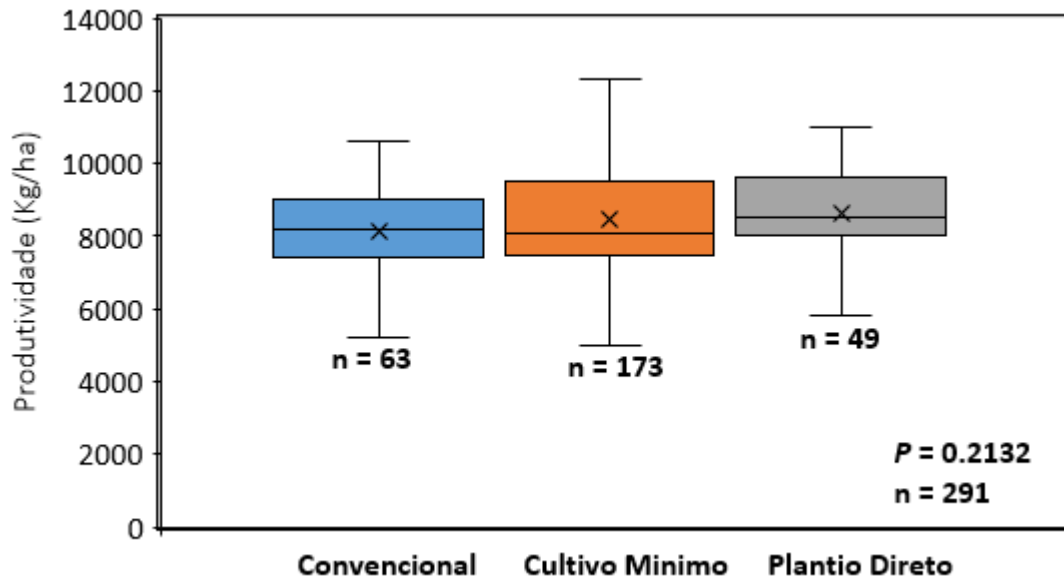


Figura 5. Sistemas de preparo do solo em as lavouras de arroz irrigado no Estado do Rio Grande do Sul. Os dados foram coletados nas seis regiões orizícolas pelos extensionistas do IRGA e estudantes de graduação em agronomia da UFSM e UNIPAMPA em 2015 à 2018 em 324 lavouras.

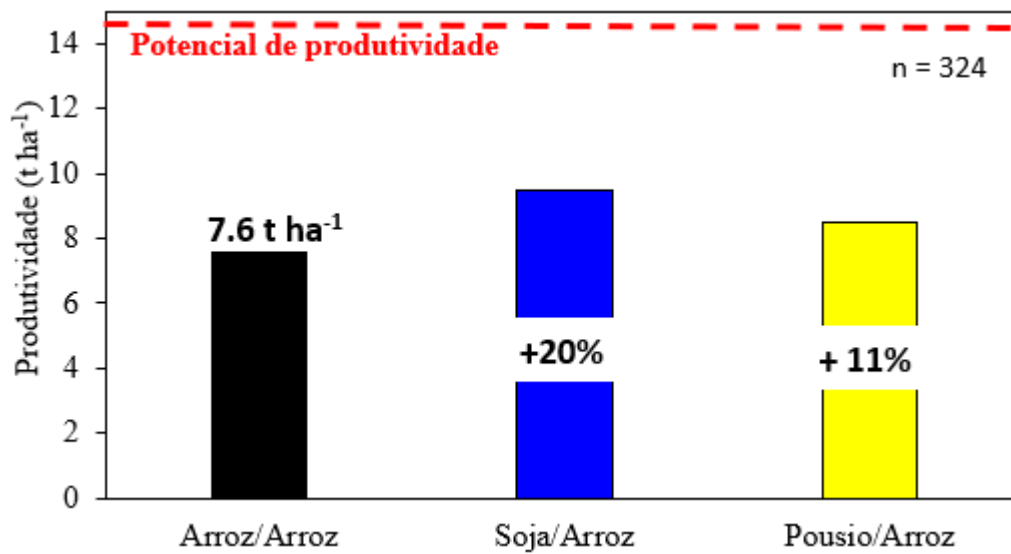


Figura 6. Sistema de produção de verão das lavouras de arroz irrigado no Estado do Rio Grande do Sul. Os dados foram coletados nas seis regiões orizícolas pelos extensionistas do IRGA e estudantes de graduação em agronomia da UFSM e UNIPAMPA em 2015 à 2018 em 324 lavouras.

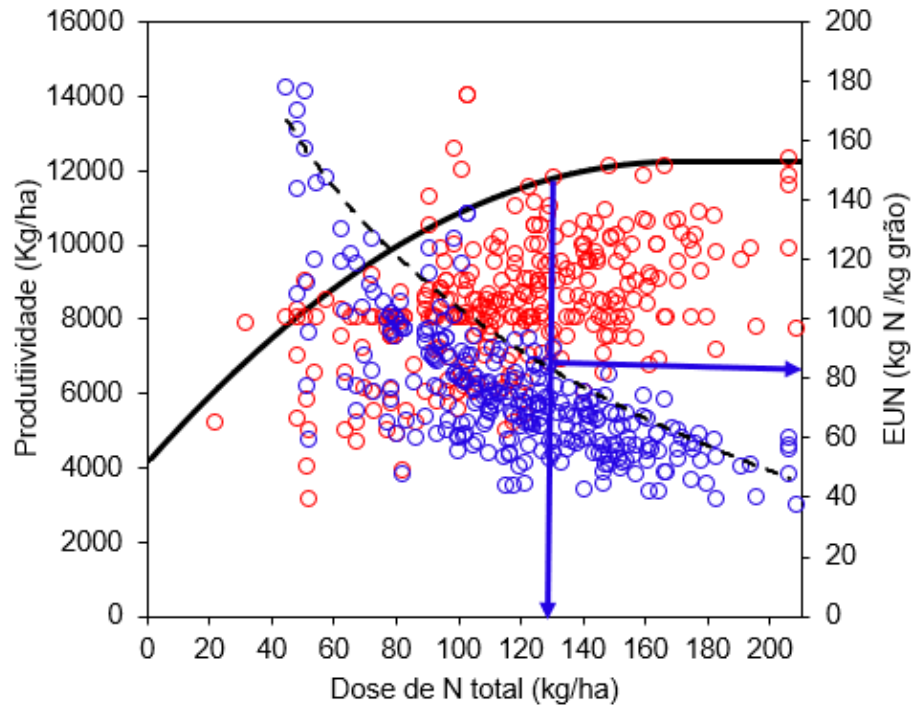


Figura 7. Dose de nitrogênio aplicada em cobertura e eficiência do uso de N das lavouras de arroz irrigado no Estado do Rio Grande do Sul. Os dados foram coletados nas seis regiões orizícolas pelos extensionistas do IRGA e estudantes de graduação em agronomia da UFSM e UNIPAMPA em 2015 à 2018 em 324 lavouras.

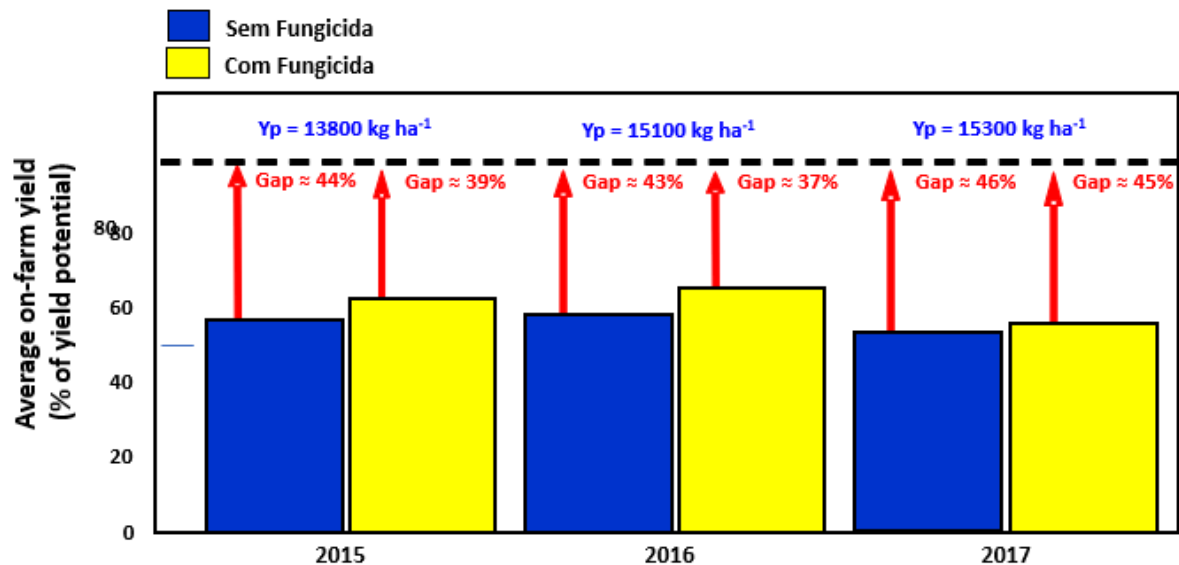


Figura 8. Comparação da produtividade entre as lavouras de arroz irrigado com e sem aplicação de fungicida no Estado do Rio Grande do Sul. Os dados foram coletados nas seis regiões orizícolas pelos extensionistas do IRGA e estudantes de graduação em agronomia da UFSM e UNIPAMPA em 2015 à 2019 em 412 lavouras.