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17 **A framework to evaluate the factors influencing groundwater management in Water**
18 **User Associations: the case study of Tafresh County (Iran)**

19

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39

40 **Abstract**

41

42 In recent decades, due to the water shortage around the world and the importance of
43 groundwater in agriculture, the role of Water User Associations (WUAs) - well-known
44 farmer associations that manage collective irrigation in agricultural districts - in groundwater
45 management has received much attention. To ensure sustainable groundwater management in
46 these organisations, it is imperative to analyze the effects of the driving mechanisms, such as
47 the “legal and institutional”, “socio-cultural”, “social capital”, “economic”, “infrastructure”
48 and “farmers’ participation” factors, on the collective management of agricultural water. This

49 study proposes a theoretical framework to analyze how and to what extent these factors
50 influence agricultural water management in a case study of WUAs of Tafresh County (Iran),
51 where irrigated agriculture strongly relies on groundwater. To validate this framework,
52 questionnaires with 53 questions/indicators related to these factors have been supplied to 264
53 associated farmers and then statistically processed using Partial Least Squares - Structural
54 Equation Modeling (PLS-SEM) methods.

55 The measurement model has confirmed the validity of the questionnaire. The structural
56 model has demonstrated that all the identified factors are significantly effective in driving the
57 WUAs performance. This effectiveness was shown by the high indexes of reliability (over
58 0.821 against an acceptance limit of 0.7) and convergent validity (over 0.511 against a limit
59 of 0.5). Socio-cultural and social capital factors had a higher impact (confirmed by path
60 coefficients of about 0.80), while the economic factors played a lower effect on groundwater
61 management (path coefficient of 0.534). Moreover, the Pearson matrix showed statistically
62 significant ($p < 0.01$) and positive ($R^2 =$ from 0.238 to 0.804) correlations among all the
63 evaluated factors.

64 Based on this framework, some actions for improving the groundwater management at the
65 collective level are suggested, such as: (i) the implementation of new water management
66 technologies to increase the efficiency in extraction, distribution, and consumption of
67 irrigation water; ii) strengthening the importance of social and cultural participation in the
68 management of WUAs, in order to create formal and informal contexts for enhancing
69 individual participation in the short and long-term; iii) designing appropriate financing
70 factors and diversification of the sources of revenue to execute projects on shared water
71 resources.

72

73 **Keywords:** Collective irrigation; legal and institutional factors; socio-cultural factors; social
74 capital factors; economic factors; infrastructural factors; farmers' participation factors; Partial
75 Least Squares - Structural Equation modeling.

76

77 **1. Introduction**

78

79 Water availability plays a vital role in the development of agricultural lands of several
80 developing countries (e.g., in the Middle East, North Africa, Indian sub-continent) and self-
81 sufficiency in food production, poverty reduction, and adaptation to climate change in these
82 countries (Aggarwal and Singh, 2010; Connolly-Boutin and Smit, 2016; Connor, 2015). The

83 effective use of irrigation water has a vital role in reducing the effects of water scarcity due to
84 global warming (Kartal et al., 2019; Kartal et al., 2020), and allows increasing crop
85 production efficiency at a low cost (Arslan et al., 2019). In some countries, low efficiency in
86 agricultural water management is one of the most important reasons for water shortage due to
87 a lack of infrastructure and suitable management systems (Grey and Sadoff, 2007). Since the
88 production units are mainly small-scale and low-income farms and much of the production is
89 destined for self-consumption, these countries must face great food insecurity due to their
90 crop production vulnerability. This is the case of the arid and semi-arid areas of Middle East
91 countries, which suffer from a severe water deficit and are rich in a history of water wars
92 (Biswas, 2004; Gürsoy et al., 2014). For instance, in Iran's agricultural lands, the dramatic
93 water scarcity affecting the irrigated agriculture mainly depends on the inadequacy of the
94 water distribution and irrigation systems due to infrastructural, operation, and organization
95 inefficiency (Faramarzi et al., 2010). It has been estimated that in Iran, nearly 90% of the
96 food needs require 92% of the total freshwater resources, and this country shows the lowest
97 water productivity and economic efficiency among the Middle East countries (Mesgaran et
98 al., 2017; Zargan et al., 2016). The need to increase water productivity and the profitability of
99 agricultural activities requires moving towards collective water management. In many
100 countries' collective organizations, such as irrigation associations, cooperatives, and farmer
101 unions, have been appointed of supplying, conveying and distribution of water resources for
102 irrigation; their importance increases in areas where irrigation water is scarce (Kartal and
103 Forestry, 2021). Collective water management is often a forced solution when groundwater is
104 the main water resource for irrigation in those areas with scarcity of surface water bodies
105 (Gorton et al., 2009; Van Steenberg, 2006). Since the '1980s, water resources management
106 has progressively shifted from government-centric to collective and participatory irrigation
107 policies by non-governmental organizations, such as Water User Associations (WUAs) and
108 other private institutions, in more than 60 countries, including Iran (Garces-Restrepo et al.,
109 2007). Moreover, the creation of associations to exploit groundwater has been encouraged in
110 several national programs and laws (Lopez-Gunn and Cortina, 2006).

111 WUAs are worldwide well-known types of farmers' associations that manage collective
112 irrigation in agricultural districts. The main purpose of these local organizations is the supply,
113 distribution, and delivery of irrigation water to the associated farmers (Zema et al., 2018a;
114 Zema et al., 2018b). Often farmers participate in water management activities, such as
115 irrigation planning, water allocation, construction, and maintenance of water facilities, and
116 this participation is believed to increase the overall infrastructural and economic

117 performances of WUAs (Arslan et al., 2020; Uysal and Atış, 2010; Zema et al., 2015; Zema
118 et al., 2019). According to Burger (1998) and Bosa (2015), if WUAs are well managed, the
119 farmers' coordinated activities add a surplus to individual management. Therefore, WUAs
120 play a crucial role when groundwater management adopts a participatory approach (Connor,
121 2015; Pan and Xu, 2018). Iran has a long and successful history in managing and allocating
122 water in the agriculture sector, but the participatory approaches are relatively young since
123 WUAs were first established in 1996.

124 The efficiency of agricultural water management at the collective level depends on several
125 factors, such as the legislation, farmers' participation, socio-economic situation,
126 infrastructure, and so on. Several pieces of research have highlighted the importance of some
127 of these factors on the collective management in the irrigation sector and the related impacts
128 of the management operations of WUAs for sustainable water resources exploitation
129 (Gunchinmaa and Yakubov, 2010; Nazari et al., 2018; Osooli et al., 2011; Pan and Xu, 2018;
130 Rezadoost and Allahyari, 2014; Samian et al., 2015). To summarize some of these studies, in
131 France, Rouillard and Rinaudo (2020) assessed that formulation of water allocation by
132 WUAs improves the environmental, economic, and social performance of water management
133 since users consider their local economic and social priorities, the temporal and spatial
134 dynamics of local groundwater resources, as well as considering the efficiency and equity in
135 water distribution. In Iran, Nazari et al. (2018) identified the most critical factors of water
136 management, which mainly suffers from the low level of social factors, lack of a
137 comprehensive plan to prioritize social capital, lack of sufficient economic and non-economic
138 incentives in agriculture, and dependence of financial support on the government. According
139 to Abdelgalil and Bushara (2018), in Sudan, WUAs fully participate in water distribution but
140 partially contribute to financing provision. Concerning social capital, Nilsson et al. (2012)
141 stated that low social capital leads to less trust among members of farmers' cooperatives,
142 which implies less participation and cooperation with an inability to solve collective action
143 problems and hence severe impacts on the performance of the agricultural cooperatives. The
144 study conducted by Gunchinmaa and Yakubov (2010) in Uzbekistan, Tajikistan, and the
145 Kyrgyz Republic found that newly-established institutional structures and internal activities
146 in the irrigation field and other important factors, including the farm profitability and a
147 broader economic background, have a decisive effect on overall irrigation performance.
148 However, this large body of literature has so far investigated such impacts individually or
149 limited the attention to no more than one or two factors; in addition, groundwater resources'
150 participatory management has been neglected. Therefore, it is necessary to evaluate the

151 comprehensive impacts of the socio-cultural, legal, institutional, infrastructural, and
152 economic factors driving groundwater management efficiency for irrigation purposes at the
153 collective level. A broader and better understanding of these factors and their sub-elements is
154 useful to prepare effective strategies to improve the collective management of groundwater in
155 the irrigated croplands and, more in general, the overall WUA's performances.
156 To fill this gap, this study proposes a theoretical framework to analyze the factors that
157 influence groundwater management in WUAs. This framework was tested between February
158 and April 2020 in Tafresh County (Iran), where the WUAs rely almost totally on
159 groundwater management for irrigation through a farmer participatory approach but show the
160 possibility of improvements in collective irrigation sustainability. The proposed framework
161 consists of the following steps: (i) a preliminary investigation on the socio-cultural and
162 agricultural characteristics of the individual farms of the analyzed WUAs; (ii) identification
163 of the management factors ("legal and institutional", "socio-cultural", "social capital",
164 "infrastructural", "economic", and "participatory") that impact on groundwater management
165 through questionnaires; and (iii) statistical analysis based on Partial Least Squares - Structural
166 Equation Modeling (PLS-SEM) methods, combining principal component analysis and
167 multiple linear regression of the relationships among these factors and their effects on the
168 WUAs performance. The two working hypotheses are the following: (i) all the identified
169 factors are significantly effective in driving groundwater management; and (ii) all factors
170 have direct and positive effects on each other.

171

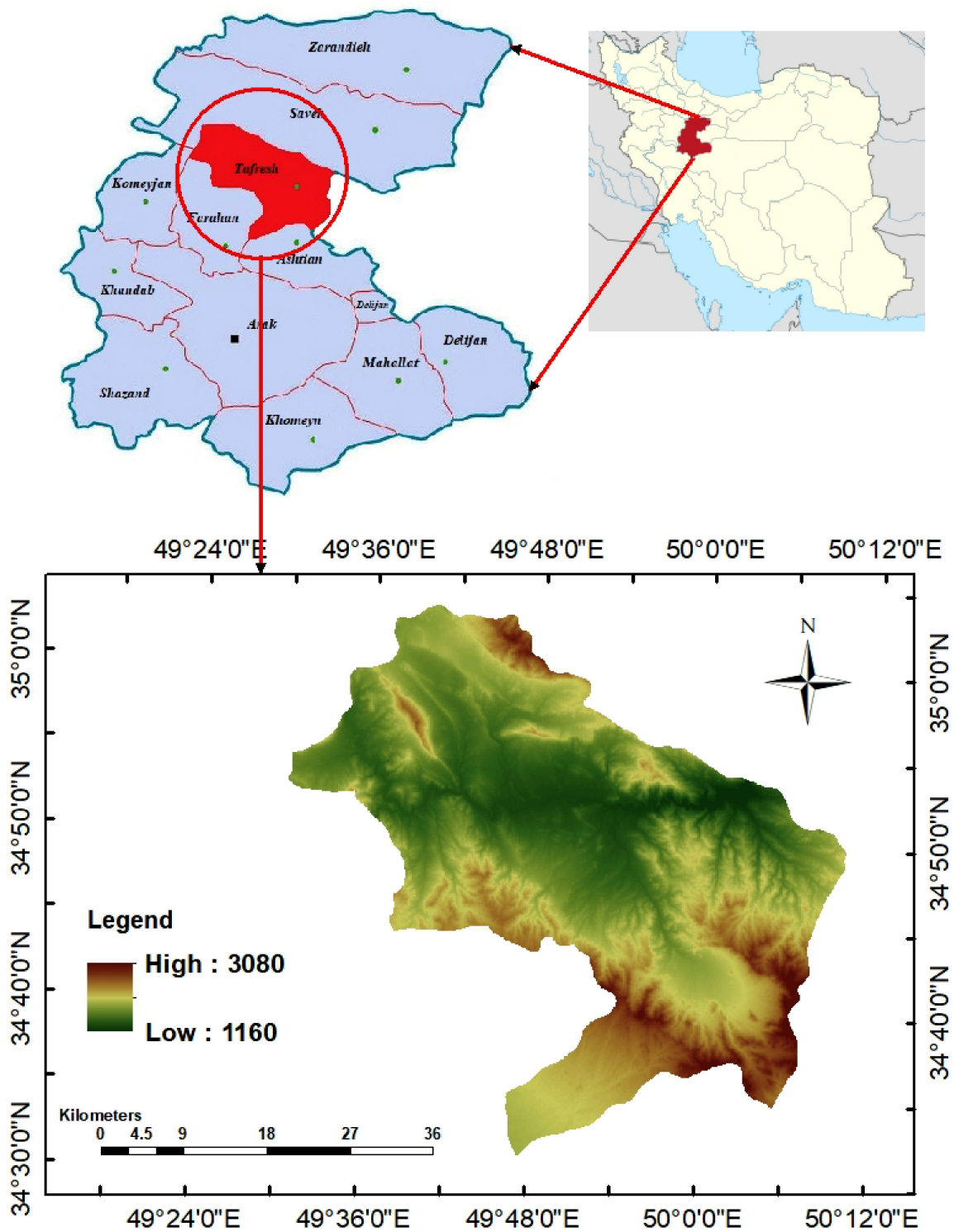
172 **2. Material and methods**

173

174 *2.1. Study area and Water User Associations (WUAs)*

175

176 Tafresh County is located in the Markazi Province of Iran, about 222 kilometers southwest of
177 Tehran. The county consists of 101 villages with 3364 farmers, surrounded by Iran's central
178 mountain crown from the east, south, and west (Figure 1). The average annual precipitation
179 and temperature of the area are 303 mm and 13.4 °C, respectively.



180

181

182 Figure 1 - Location and altimetry of the study area (Tafresh County, Markazi Province, Iran).

183

184 The agriculture in Markazi Province is thriving, thanks to the fertile soil. The main
 185 herbaceous crops are wheat, barley, and alfalfa, and the main fruit products include almonds,

186 walnuts, apples, cherries, and grapes. Drought and frost in recent years have caused severe
187 damage to the productions, which in turn, has brought economic hardship for farmers due to
188 the small-scale productions.

189 The studied WUAs are thirty with a total of 914 associated farmers and cover a total area of
190 5853 km². Each WUA has a board of five trustees, who coordinate and oversee water
191 management (SCI, 2018). The cultivated area is split into 3571 plots, each one of
192 approximately 16 hectares. Of these plots, 661 plots are dryland (4500 hectares), while the
193 remaining 2910 plots are irrigated (11500 hectares), which shows the great importance of
194 water in this area (SCI, 2018). Water is supplied and delivered to croplands by a total of 355
195 wells (with depths from 20 up to more than 50 m), 419 springs (285 permanent, 134
196 seasonal), and 324 Qanats (240 active and 84 inactive). A Qanat is an underground canal that
197 transports water from the aquifer or water well to the surface and lower lands. Farmers use
198 the Qanats based on a document of ownership and water-right in circulation.

199

200 *2.2. The conceptual framework*

201

202 Following the indications of literature (Khalkheili and Zamani, 2009; Nazari et al., 2018; Pan
203 and Xu, 2018; Takayama et al., 2018), the evaluation framework of factors influencing
204 groundwater management in WUAs proposed in this study consists of the following six
205 categories (Figure 2 and Table 1):

206

207 1) Legal and institutional factors

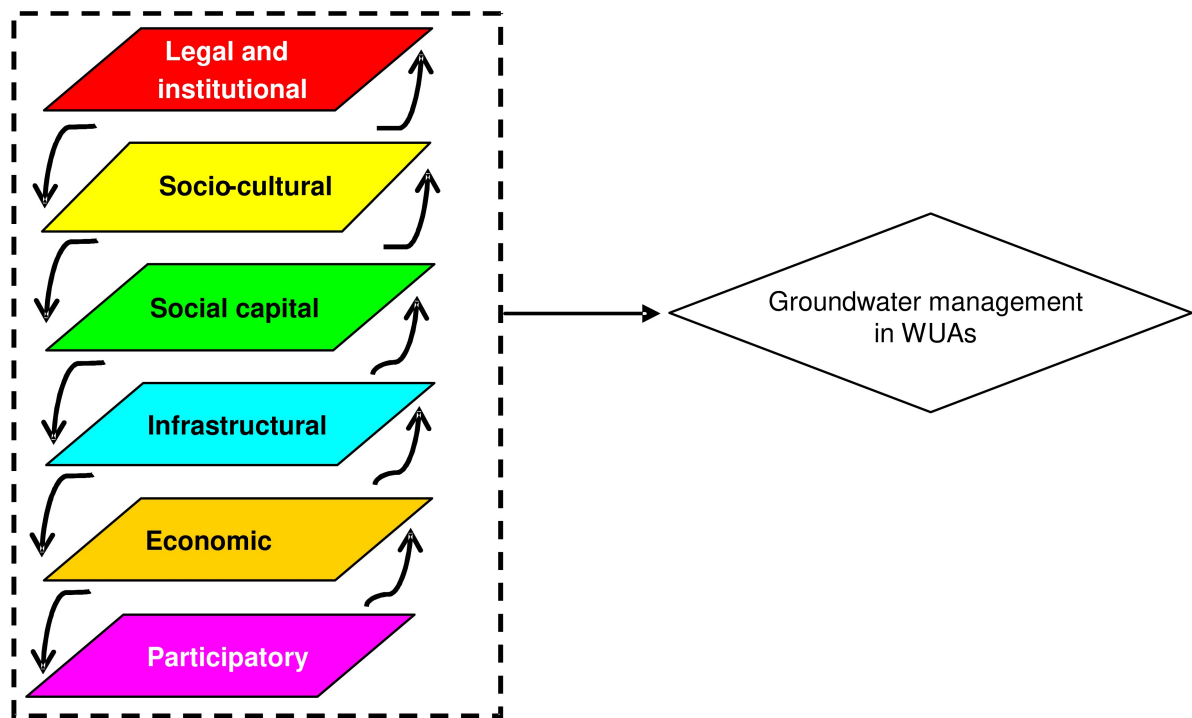
208 2) Socio-cultural factors

209 3) Social capital factors

210 4) Infrastructural factors

211 5) Economic factors

212 6) Participatory factors.



213

214 Figure 2 - The theoretical framework proposed to evaluate the factors influencing
 215 groundwater management in WUAs.

216

217 *2.2.1. Legal and institutional factors*

218

219 The “Legal and institutional factors” consist of institutionalization and approval of rules and
 220 regulations necessary for water users’ participation in the optimal irrigation network
 221 management (Joy, 2007). These factors are based on the “Tragedy of the Commons
 222 Concept”, which was started by (Hardin, 1968). According to this concept, users of a
 223 common resource are unable to prioritize the collective interest over their benefits; therefore,
 224 the resource’s position is constantly threatened by a behavioral response. Hardin also
 225 suggested that the common resource must be shared either between members or left to the
 226 government. However, this theory has not been accepted worldwide. Contrarily to Hardin’s
 227 theory (Ostrom, 2010) showed that people with common sense are able to manage shared
 228 resources if rules have features, which are “defined authorities and responsibilities”,
 229 “designed at the local level by using the knowledge of users”, “transparent and acceptable to
 230 users” and “able to manage local conflicts and violations”. To ensure that all participants
 231 follow social rules, local people will automatically be responsible for managing resources,

232 resulting in active participation in maintaining and making optimal use of shared resources
233 (Ostrom, 2010; Schlager and López-Gunn, 2006).

234 Table 1 - The six classes of factors adopted in the proposed theoretical framework to evaluate the factors influencing groundwater management
 235 in WUAs.

236

<i>Legal and institutional factors</i>		<i>Socio-cultural factors</i>		<i>Social capital factors</i>	
LI1	Clarifying the powers and responsibilities of government bodies in the water affairs	CS1	Increasing the trust among landowners	SC1	Increasing the trust between the WUA members in water supply and distribution
LI2	The stability of laws and regulations for water resources management	CS2	Improving the farmer's awareness of water supply and distribution and collected fees	SC2	The use of farmers' views for water management decisions
LI3	The legal status of WUAs in the current laws	CS3	Visiting the on-farm demonstrations	SC3	Increasing intimate meetings and conversations among members outside of the WUAs
LI4	Meetings in the WUAs to evaluate actions related to water supply and facilities	CS4	Resolving local conflicts and disputes between landlords in using water	SC4	Improving the spirit of collaboration in irrigation operations
LI5	The capability of pricing water and irrigation services by farmers	CS5	Improvement of the landlords' awareness about their rights as members of the WUAs	SC5	Neglecting personal interests towards the benefit of others in irrigation
LI6	Strengthening the water dispute resolutions between owners	CS6	Participating in group activities related to water supply and	SC6	Guaranteeing other farmers to get loans for irrigation

		distribution		
	CS7	Accessing mass media and its cultural-educational programs	SC7	Feeling comfortable in terms of acceptance from other farmers (if not native)
	CS8	Enhancing farmers' knowledge and skills in water management	SC8	Increasing the trust among farmers to entrust the irrigation process in the absence of the persons
	CS9	Attending educational courses on water management improvement	SC9	Helping to solve the deliberated sabotage by some members of the WUAs with the Board of Trustees and make them act independently
	CS10	Enhancing training on familiarising farmers on how to manage creeks, canals or wells	SC10	Contributing to resolving disagreements over daily irrigation issues
	CS11	Resolving local conflicts and disputes between landlords (socially, ethnically, being native of a village, etc.)	SC11	Increasing the trust of the board of trustees and landowners in the government
	CS12	Preventing inappropriate water extraction practices such as water theft	SC12	Strengthening and exchanging water management information with the board of trustees

<i>Infrastructural factors</i>		<i>Economic factors</i>		<i>Participatory factors</i>	
T1	Faster construction of creeks, canals, and Qanats	E1	Attracting state aids for Qanat reconstruction	P1	Collecting the irrigation fees
T2	The replacement of open channels with plastic pipes for conveying water	E2	The amount of credit to cover and dredge the creeks, Qanats, and canals	P2	Repairing and rebuilding valves
T3	The percentage of metallic water distribution valves along the waterway	E3	Increasing farmers' income	P3	Repairing and dredging creeks
T4	Modifying the structure of the creeks	E4	Reducing management costs by enlarging the WUAs	P4	Pursue blocking illegal wells dug in the Qanat area
T5	The number of valves along the waterway	E5	Obtaining credit and banking facilities and receiving incentives such as tax breaks for active water companies	P5	Prevention of digging of illegal wells
T6	Observing time in water distribution			P6	Contacting government authorities to resolve Qanat affairs
T7	Preventing damage to the creeks			P7	Handling landowners' problems in water supply affairs
T8	Suitability of valve installation along the waterway			P8	Holding training courses on agricultural water management
				P9	Participate in meetings with government

			agencies and express landowners' views on water management
		P10	Cooperation of farmers with the Water and Agricultural Organization to implement regulations related to water management

237 *2.2.2. Socio-cultural factors*

238

239 In order to manage and protect water resources, special attention should be paid to personal
240 characteristics and socio-cultural factors that influence farmers' intentions to adopt behaviors
241 and technologies related to water protection (Huang et al., 2016). These "socio-cultural
242 factors" consist of those relationships among the members of a local association, who are
243 engaged in communication, educational, and cultural activities related to the interests of that
244 community; these activities can establish a sense of social belonging and social motivation
245 between members via their participatory actions and activities. This can be considered as a
246 catalyst for a sense of individual responsibility and, ultimately, greater social cooperation and
247 participation (which is an essential dimension of social capital) in participatory irrigation
248 management (Anselin and Griffith, 1988; Chandran and Chackacherry, 2006; Cicognani et
249 al., 2008; Hayami, 2009; Nakano et al., 2015; Putnam; Putnam, 1993). The result of this
250 engagement in socio-cultural activities is the success of any collective action that, in the case
251 of WUAs, improves their management (Abedi, 2006).

252

253 *2.2.3. Social-capital factors*

254

255 The "social-capital factors" consist of a formal and informal network along with common
256 norms, beliefs, thoughts, values, and perceptions that can support the sustainability of natural
257 resource management in communities at the local level, in addition to appropriate
258 technologies (Rasmussen and Meinzen-Dick, 1995). In this network, simplified
259 collaborations within and between groups based on mutual trust, altruism, goodwill, sacrifice,
260 empathy, and social interaction enable participants to be more effective in achieving common
261 goals (Coleman, 1988; Durlauf, 2002; Hassanzadeh et al., 2016; Healy and Côté, 2001;
262 Putnam, 1993; Woolcock, 1998). Therefore, by recognizing, using, and directing these social
263 capitals in the desired direction, it is possible to increase social interactions and help
264 members' active participation in WUAs for groundwater management (Collier, 2002; Nilsson
265 et al., 2012).

266

267 *2.2.4. Infrastructural factors*

268

269 The lack of adequate irrigation infrastructure and systems due to infrastructural and financial
270 constraints worsens irrigation management's performance and leads to poor irrigation water

271 efficiency. The “infrastructural factors” consist of those irrigation factors that refer to the
272 infrastructural, managerial, and financial participation of water users in proper maintenance
273 and operation of irrigation and agricultural infrastructure. These factors are important since
274 the world’s irrigation networks have been destroyed due to various reasons, such as
275 mismanagement. The latter has weakened irrigation networks’ performance and reduced their
276 useful life, resulting in low irrigation water efficiency.

277

278 *2.2.5. Economic factors*

279

280 The “economic factors” consist of those factors that are essential in strengthening the
281 managerial capabilities of WUAs, control, and provide irrigation services that, in addition to
282 sustainability and conservation of water resources, lead to economic productivity (Facon,
283 2000; Peter, 2004).

284

285 *2.2.6. Participatory factors*

286

287 The overall efficiency of water resources management in irrigation areas is mainly influenced
288 by improving the management environment and strengthening farmers’ participatory factors
289 (Pan and Xu, 2018). The “participatory factors” consist of those factors linked to the public
290 participation of stakeholders in water management, which should lead to social development,
291 economic growth, environmental stability, and equal access to water, which are critical goals
292 of water resources management (Jingling et al., 2010; Perret et al., 2006). According to Pretty
293 and Ward (2001), people can properly manage water resources when they are collectively
294 involved in managing that resource. The benefits of farmers’ participation in resource
295 management include reducing government spending on repairing and maintaining the
296 infrastructure needed, increasing the sense of ownership and responsibility, improving
297 farmers’ irrigation knowledge and water efficiency (Qiao et al., 2009).

298

299 *2.3. Validation of the evaluation framework in the case study*

300

301 *2.3.1. Data collection*

302

303 In the present study, the survey was carried out between February and April 2020 in Tafresh
304 County.

305 First, a questionnaire was prepared to measure farmers' aptitudes and opinions about the
306 impact of the framework factors on groundwater management improvement in the WUAs in
307 Tafresh County. This questionnaire consisted of six questions (hereinafter indicated also as
308 "indicators") about legal-institutional factors, twelve for indicators socio-cultural and twelve
309 for social capital factors, ten for participatory factors, eight for infrastructural factors, and
310 five for economic factors (Table 1).

311 This questionnaire was given to the target population (N = 914), consisting of Tafresh County
312 farmers. To achieve the desired samples, fitting the features of the farmers of Tafresh County,
313 a simple two-stage random sampling was used. Since the total statistical population of the
314 study area was not clear, (Cochran, 1963) formula has been utilized to designate the sample
315 size using the following equation:

316

$$317 \quad n = \frac{t^2 pqN}{[(N-1)d^2 + t^2 pq]}$$

318

319 where N is the size of the statistical population or the number of farmers, t is the statistic
320 considered at the 95% confidence level, p and q are equal to 0.5, d is also the desired
321 precision (equal to 0.05), and n is the sample size.

322 Therefore, by employing this equation, the desired sample size was determined as 270. To
323 increase the accuracy of calculations, we gathered 300 questionnaires through face-to-face,
324 in-depth interviews, of which 264 were fully completed. Furthermore, to exclude any
325 ambiguities in the wording of the questions, we did a pilot survey at first. For this purpose,
326 the questionnaire was provided to the members of the Department of Agricultural
327 Management and Development of the University of Tehran to test its reliability and efficacy,
328 and the suggestions given by the staff were included in the revised questionnaire. Another
329 additional test for the questionnaire was carried out as a pilot of 30 farmers to remove
330 possible ambiguities in the wording of questions.

331

332 *2.3.2. Questionnaire characteristics*

333

334 The questionnaire consisted of two parts. The first part contained the professional and socio-
335 economic characteristics of the individual farms/farmers, and the second part contained six
336 classes of factors for a total of 53 indicators (Table 2). Each question was quantitatively

337 evaluated using the Likert-type scale with five points ranging from 1 (“very low”) to 5 (“very
338 high”). Likert-scale questionnaires are the most commonly used type of instruments for
339 measuring variables such as motivation and self-efficacy, since these questionnaires allow
340 researchers to easily gather large amounts of data (Nemoto and Beglar, 2014).

341

342 *2.3.3. Data processing*

343

344 Each indicator was first analyzed by descriptive statistics (mean, standard deviation,
345 maximum, and minimum values). Then, a confirmatory factor analysis (Harrington, 2009)
346 was carried out to identify possible relationships between “latent” variables and confirm all
347 model assumptions.

348 Finally, a Pearson correlation analysis was adopted to evaluate the dependency levels among
349 the variables and their reciprocal impacts. The resulting correlation coefficients were
350 evaluated using Davis’ conventional description as follows (Davis, 1971):

- 351 - Poor = 0.01 – 0.09
- 352 - Weak = 0.10 – 0.29
- 353 - Medium = 0.30 – 0.49
- 354 - Strong = 0.50 – 0.69
- 355 - Very strong > 0.70.

356 This data analysis was carried out using SmartPLS software, which, also thanks to a user-
357 friendly graphical interface, implements variance-based structural equation modeling (SEM)
358 by the partial least squares (PLS) path modeling method.

359

360 *2.3.4. Confirmatory factor analysis*

361

362 Confirmatory factor analysis is a method based on quantitative data that examines the validity
363 of a prior hypothesis (Mueller and Hancock, 2001). In applying this method to this study, the
364 underlying premises were the following:

- 365 - each factor represents a “latent variable”, that is, a variable that cannot be directly measured
366 but could be identified by tracing its effects on one or more “observed variables” (Alasuutari
367 et al., 2008);
- 368 - each latent variable is associated with “observed variables”, i.e., the variables that can be
369 measured directly (in our case, the indicators of each factor).

370 Therefore, the confirmatory factor analysis can be considered as a validation tool of the
371 questionnaire, and therefore it may represent the validity of a “measurement model”. In other
372 words, the latter determines whether and how the latent variables can be measured in the
373 form of a larger number of observed variables. A “structural model” is also assumed, which
374 instead assesses the latent variables’ causal relationships (Schreiber et al., 2006).

375 In our study, first, the accuracy of the relationships in the measurement model was tested
376 using “reliability” and “validity” criteria. The fitting level of the measurement model to the
377 questionnaire was assessed using a “reliability index” as well as “convergent validity” and
378 “divergent validity” criteria. The reliability index includes the (i) Cronbach’s alpha (C_α); (ii)
379 composite reliability (CR); and (iii) ρ coefficient.

380 In more detail, C_α provides an estimate of reliability based on the internal correlation of the
381 indicators. If C_α is greater than 0.7, the questionnaire indicators have a good internal
382 correlation and are thus reliable (Hair Jr et al., 2016). CR is calculated according to the
383 correlation of the individual factors. The appropriate value of CR is above 0.7 (Hair Jr et al.,
384 2016). ρ , which is basically a coefficient of determination between the indicators, must be
385 over 0.7.

386 As criteria to measure the convergent and divergent validity, the Average Variance Extracted
387 (AVE) and the Fornell and Larcker (1981)’s criteria (FaL) were used, respectively. The
388 standard value of AVE is above 0.5 (Henseler et al., 2009). With regard to FaL, these authors
389 suggested that the divergent validity is acceptable when the AVE for each factor is higher
390 than the shared variance between that factor and the other factors in the model. This control is
391 performed by a matrix, in which each cell contains the correlation coefficient between the
392 factor and the square root of the AVE value of each factor.

393 After checking the reliability and validity of the measurement model, the causal relationships
394 between the factors (the latent variables) in the structural model were examined, using three
395 criteria: (i) t-values; (ii) R^2 ; and (iii) Q^2 or Stone-Geyser-Stone criterion (Geisser, 1974;
396 Stone, 1974).

397 In more detail, if the t-value is greater than 1.96, the relationship between the factors is
398 accurate, and thus the research hypotheses can be confirmed at the 95% confidence level. R^2
399 is used to connect both the measurement and structural models, showing how predictive the
400 structural model factors are. Chin (1998) introduces three values, 0.19, 0.33, and 0.67, for the
401 criteria of R^2 , which indicate weak, medium, and strong prediction capacity. For Q^2 or Stone-

402 Geisser criterion, Henseler et al. (2009) suggested three values of 0.02, 0.15, and 0.35 as
403 weak, moderate, and strong predictive power, respectively.

404 For the models' overall fit, the Goodness of Fit (GoF) criterion, as the geometric mean of the
405 average communality and average R^2 for all latent variables, was used. This criterion
406 determines the overall predictive power of the large complex model by accounting for both
407 measurement and structural parameters' performance. According to Chin (2010), this
408 indicator provides the PLS model performance in both measurement and structural modeling
409 with a focus on the overall performance of the model prediction (Tenenhaus et al., 2004) and
410 also indicates how much of the variability of the indicators are explained by the related factor
411 (Akter et al., 2011). GoF is defined as:

412

$$413 \quad GoF = \sqrt{AVE \cdot R^2} \quad (1)$$

414

415 where the overlined symbols indicate the mean of the variables. The GoF is strong, if higher
416 than 0.36, acceptable, if lower than 0.36 but higher than 0.25, and weak if lower than 0.25
417 (Akter et al., 2011; Wetzels et al., 2009).

418 Finally, the path coefficients (or β -values) of the factors were examined to test our study's
419 two main hypotheses. The path-coefficient analysis represents the dependent variable's
420 response to a unit change in an explanatory variable when other variables in the model are
421 kept constant. A positive path coefficient means that a unit increase in the measure of one
422 structure leads to a direct increase in the measure of structures it projects to, which is
423 proportional to the size of the coefficient; conversely, a negative coefficient means that an
424 increase in the measure in one structure leads to a direct and proportional decrease in the
425 measure of structures it projects to (McIntosh and Gonzalez-Lima, 1994).

426 All the coefficients and indicators calculated in this study, except GoF, were directly
427 calculated by SmartPLS software.

428

429 *2.3.5. Pearson correlation analysis*

430

431 Pearson analysis was targeted to evaluate what effect a factor plays on another factor and
432 whether this effect is synergistic or not, which is the purpose of the second hypothesis of this
433 study.

434 To perform Pearson correlation analysis, the questionnaire's indicators were given scores,

435 and the correlation coefficients above the related factors were computed. According to
436 Swinscow and Campbell (2002), the correlation was considered “very strong”, “strong”,
437 “moderate”, “modest” or “weak”, if the correlation coefficient is between 0.80 and 1.00, 0.60
438 and 0.79, 0.40, and 0.59, 0.20 and 0.39 or 0 and 0.19, respectively.

439

440 **5. Results**

441

442 *5.1. Analysis of descriptive statistics*

443

444 The mean age of farmers was 54 years, while their mean length of stay in their village was
445 49.4 years. The farmers had a work experience of 21.1 years with the title of ordinary
446 members of WUAs for 21 years on average. Some farmers were on their board of trustees for,
447 on average, 16 years. Each farmer worked on an average number of 7.7 plots of arable land
448 with a mean area per plot of 0.48 hectares. The farms were of low income since their average
449 income was about 19 million Rials per year, corresponding to about 456 dollars (Table 2).

450 Most of the farmers (76.9%) had an undergraduate education (less than a diploma). In
451 comparison, only 7.5% had a bachelor’s degree or higher education level. Agriculture was the
452 main occupation (62.5%) of the farmers, while, for the remaining part (37.5%), it was a part-
453 time job.

454

455 Table 2 - Main characteristics of farmers associated with the thirty WUAs of Tafresh County,
 456 Iran (n = 264).

457

Characteristics	Mean	Min	Max	Standard deviation
Age (years)	54	25	90	1.32
Work experience in agriculture (years)	21.1	3	72	1.49
Duration of stay in village (years)	49.5	8	90	14.76
Number of children	2.9	0	11	2.06
Land area (hectares)	0.48	0.12	3.8×10^5	2.34
Number of land plots	7.7	1	91	8.53
Number of members of WUAs	29.6	8	124	1.64
Duration of regular membership in the WUA (years)	21	3	72	1.49
Duration of membership in the WUA's board of trustees (years)	16	3	24	1.30
Total monthly income (Rial ¹)	1.9×10^7	4×10^6	1×10^8	1.14×10^6

458

459 The descriptive statistics about the structure of the WUAs in Tafresh County (Iran) showed a
 460 long farmers' experience managing WUAs. However, farmers are getting old at the same
 461 time, which indicates a decrease in generational substitution and a lack of inclination of the
 462 younger generation towards agriculture (Molina et al., 2006). Due to their low capacity for
 463 using updated knowledge, the farmers have little motivation to transform the WUAs'
 464 structures according to modern science. Therefore, the association of young human resources
 465 with higher education levels could be an occasion to renovate the structure of the existing
 466 WUAs and the methods of water management.

467 Since the farmers are, in general, smallholders, the consequent great number and dispersion
 468 of plots are another factor of the poor agriculture productivity, which the descriptive results
 469 have indicated. Therefore, for reasons such as low production, product fluctuations, and input
 470 price in the marketplace, a low-income level has complained. As a consequence of the

¹ In May 2020, USD 1 \approx Rial 17200; Rial 1000 \approx USD 0.024

471 WUAs' life, farmers are less inclined to economic participate in improving water
472 management due to income risks and financial weakness.

473 These results reflect a traditional, small, and illiterate community among farmers in Tafresh
474 County. Therefore, local authorities should optimize their informal training methods for
475 groundwater management following farmers' characteristics and conditions (Kumar et al.,
476 2008). Hence, the first step may be the assessment of the educational needs of farmers, such
477 as "familiarity with modern pressurized irrigation methods", "groundwater feeding methods",
478 "familiarity with the principles of application of irrigation economics", "familiarity with how
479 to use advanced irrigation equipment (compatible with dispersion and small-scale farming)"
480 and "familiarity with the water demands of agricultural products, irrigation program, and
481 maintenance skills and the use of irrigation systems" (Burton et al., 2007; Kaplan et al., 2003;
482 Ojo et al., 2011; Rai and Singh, 2016). To carry out the training and transfer of professional
483 knowledge of agricultural water management, the principles of adult education, from
484 educational methods to high interaction, such as "face-to-face visits", "on-farm
485 demonstration", and "training workshops", should be used. Otherwise, training on issues
486 related to agricultural water management could lose its efficiency and effectiveness.

487

488 *5.2. Analysis of the questionnaires about the factors and indicators*

489

490 *5.2.1. Legal and institutional factors*

491

492 "Clarifying the powers and responsibilities of government bodies in the water affairs", "the
493 stability of water resources management laws and regulations", and "the legal status of
494 WUAs in the current laws" were the first to third priority for the interviewed farmers, while
495 "enhancing the water dispute resolution institutions between owners" was the last choice
496 (Table 3).

497 Table 3 - Ranking of the indicators about the different groundwater management factors in Tafresh County, Iran.

498

Indicators		Mean (*)	Standard deviation (*)	Coefficient of variation	Ranking
<i>Legal and institutional factors</i>					
LI1	Clarifying the powers and responsibilities of government bodies in the water affairs	4.01	1.16	0.2	1
LI2	The stability of water resources management laws and regulations	3.45	1.06	0.31	2
LI3	The legal status of WUAs in the current laws	3.55	1.14	0.32	3
LI4	Meetings in the WUAs to evaluate actions related to water supply and related facilities	3.59	1.16	0.32	4
LI5	The capability of pricing water and irrigation services by farmers	3.27	1.12	0.34	5
LI6	Strengthening the water dispute resolution institutions between owners	3.16	1.12	0.36	6
<i>Socio-cultural factors</i>					
CS1	Increasing the trust between landowners	3.90	0.21	0.31	1
CS2	Improving the farmer's awareness of procurement, water distribution, and collection fees	3.33	0.07	0.32	2
CS3	Visit of the on-farm demonstration	3.56	1.31	0.36	3
CS4	Help to resolve local conflicts and disputes between landlords in terms of using water	3.31	1.23	0.37	4
CS5	Improvement of the landlords' awareness about their rights as a member of the	3.09	1.21	0.39	5

	WUAs				
CS6	Participation in group activities related to irrigation and water supply	3.85	1.14	0.40	6
CS7	Access to mass media and its cultural-educational program (to inform and encourage farmers to participate more in water management)	3.05	1.23	0.40	7
CS8	Enhancement of farmers' knowledge and skills in water management	2.81	1.17	0.42	8
CS9	Participate in extensional and educational courses on water management improvement	2.87	1.21	0.42	9
CS10	Enhancement training on familiarising farmers with how to manage creeks, canals, or wells	2.71	1.18	0.43	10
CS11	Help to resolve local conflicts and disputes between landlords (socially, ethnically, being native of a village, etc.)	2.76	1.26	0.45	11
CS12	Preventing inappropriate water extraction practices such as water theft	2.37	1.22	0.52	12
<i>Social-capital factors</i>					
SC1	Increasing the trust between the members' of WUAs in water sharing and distribution	4.34	0.82	0.19	1
SC2	The use of farmers' views for water management decisions	4.21	0.89	0.21	2
SC3	Increasing intimate meetings and conversations of members outside of the association were the most important factors	3.90	0.96	0.25	3
SC4	Improvement of the spirit of helping each other in irrigation operations	3.92	1.03	0.26	4
SC5	Irrespective of personal interests for the benefit of others in irrigation operation	3.62	0.98	0.27	5
SC6	Guarantee other farmers to get loans to improve irrigation operations	3.35	1.12	0.34	6

SC7	Feeling comfortable in terms of acceptance from other farmers (if not native)	2.90	1.10	0.38	7
SC8	Increasing the trust between farmers to entrust the irrigation process in the absence of the person	2.92	1.12	0.38	8
SC9	Helping to solve the deliberate sabotage of some members of the WUAs with the Board of Trustees and make them act independently	2.87	1.21	0.41	9
SC10	Contributing to resolving disagreements over daily irrigation issues	2.92	1.20	0.41	10
SC11	Increasing the trust of the board of trustees and landowners in the government	2.75	1.17	0.42	11
SC12	Strengthening and exchanging water management information with the board of trustees	2.83	1.24	0.44	12
<i>Infrastructural factors</i>					
T1	Faster construction of creeks, canals, and Qanats	3.69	1.18	0.32	1
T2	The use of thin polyethylene films pipes for conveying water to the farm instead of the creek	3.62	1.24	0.34	2
T3	The percentage of metallic water distribution valves along the waterway	3.41	1.20	0.35	3
T4	Modifying the structure of the creeks in order to irrigate the covered lands better	3.08	1.16	0.38	4
T5	The proper number of valves along the waterway	2.94	1.17	0.40	5
T6	Observing time in water distribution	2.99	1.22	0.41	6
T7	Preventing to damage the creeks	3.07	1.26	0.41	7
T8	Suitability of installation of valves along the waterway	3.02	1.30	0.43	8
<i>Economic factors</i>					

E1	Attracting state aid for the reconstruction of the Qanat	3.96	0.95	0.24	1
E2	The amount of credit to cover and dredge the creeks, Qanats, and canals	4.24	1.08	0.25	2
E3	Increasing farmers' income	3.71	1.07	0.29	3
E4	Reducing management costs by increasing the number of members of WUAs	3.68	1.12	0.30	4
E5	Obtaining credit and banking facilities and receiving incentives such as tax breaks for active water companies	3.49	1.12	0.32	5
<i>Participatory factors</i>					
P1	Collecting the association's shared costs	4.03	0.93	0.23	1
P2	Repairing and rebuilding valves	3.96	0.99	0.25	2
P3	Repairing and dredging creeks	3.92	1.04	0.27	3
P4	Pursue blocking illegal wells dug in the Qanat area	3.84	1.09	0.29	4
P5	Prevention of digging of illegal wells	3.83	1.15	0.30	5
P6	Contacting government authorities to resolve Qanat affairs	3.70	1.15	0.31	6
P7	Handling landowners' problems in water supply affairs	3.56	1.19	0.33	7
P8	Holding training courses on agricultural water management	3.28	1.18	0.36	8
P9	Participate in meetings with government agencies and express landowners' views on water management	3.44	1.26	0.36	9
P10	Cooperation of farmers with the Water and Agricultural Organization to implement regulations related to water management	3.07	1.24	0.40	10

499 Note: * value of the Likert-type scale with five points.

500

501 *5.2.2. Socio-cultural factors*

502

503 The questions of “increase of trust between landowners”, “improvement of farmer’s
504 awareness of procurement”, “water distribution and collected fees”, and “visiting the on-farm
505 demonstration” ranked first to third, respectively. Moreover, “helping to resolve local
506 conflicts and disputes between landlords (socially, ethnically, being native of a village, etc.)”
507 and “preventing inappropriate water extraction practices such as water theft” were identified
508 as the latest (eleventh and twelfth) priorities (Table 3).

509

510 *5.2.3. Social-capital factors*

511

512 From the farmers’ point of view, the indicators “increasing the trust between the members’ of
513 WUAs in water sharing and distribution”, “the use of farmers’ views for water management
514 decisions”, and “increasing intimate meetings and conversations of members in the outside of
515 the association” were the most important (ranks one to three). By contrast, the indicators
516 “contributing to resolving disagreements over daily irrigation issues”, “increasing the trust of
517 the board of trustees and landowners to the government” and, finally, “strengthening and
518 exchanging water management information with the board of trustees” were less important
519 with the eleventh and twelfth priorities (Table 3).

520

521 *5.2.4. Infrastructural factors*

522

523 According to Table 3, “faster construction of creeks, canals, and Qanats”, “the use of thin
524 polyethylene films pipes for conveying water to the farm instead of the creek” and “the
525 percentage of metallic water distribution valves along the waterway” were considered the
526 most important infrastructural factors, while the indicator “suitability of installation of valves
527 along the waterway” was in the last (eighth) rank.

528

529 *5.2.5. Economic factors*

530

531 Among the economic factors, “attracting state aid for the reconstruction of the Qanat”, “the
532 amount of credit to cover and dredge the creeks, Qanats, and canals” and “increasing farmers’
533 income” ranked first to third, respectively. The indicator “obtaining credit and banking

534 facilities and receiving incentives such as tax breaks for active water companies” was instead
 535 the fifth and last priority (Table 3).

536

537 *5.2.6. Participation factors*

538

539 The interviewed farmers were mainly involved in “collecting the association’s shared costs”,
 540 “repairing and rebuilding valves”, and “repairing and dredging creeks”, respectively (first to
 541 the third rank). Conversely, the level of “cooperation of farmers with the Water and
 542 Agricultural Organization to implement regulations and water management” was the lowest
 543 (tenth) priority (Table 3).

544

545 *5.3. Confirmatory factor analysis*

546

547 According to Table 4, The values of the reliability and convergent validity indicators
 548 evaluated for each factor (latent variable) is over the acceptable limits; as a matter of fact, the
 549 minimum values of C_{α} , ρ and CR are is over 0.821, 0.826, and 0.874, respectively, thus all
 550 over 0.7. Therefore, we conclude that the measurement model is reliable for the research.

551

552 Table 4 - Indexes of reliability and convergent validity of the questionnaire (measurement
 553 model) provided to the farmers of WUAs of Tafresh County, Iran.

554

Factors	Reliability indexes			Convergent validity index (AVE)
	C_{α}	ρ	CR	
Legal and institutional	0.890	0.895	0.916	0.647
Socio-cultural	0.912	0.916	0.926	0.511
Social capital	0.920	0.923	0.932	0.536
Infrastructural	0.884	0.885	0.908	0.552
Economic	0.821	0.832	0.874	0.583
Participation	0.924	0.826	0.936	0.569
Groundwater management	0.940	0.943	0.945	0.597

555 Notes: acceptance limits for the indicators: 0.7 for C_{α} , ρ and CR and 0.5 for AVE.

556

557 Table 4 shows that AVE, whose minimum value was 0.511, is over the acceptance limit of
558 0.5. From Table 5, it is evident that the square root of the AVE value of each factor was
559 higher than the squared variance between the factor and the other factors in the model;
560 therefore, the convergent and divergent validities of the measurement model are proven.

561

562

563 Table 5 - Divergent validity matrix by Fornell and Larker criterion applied to the
564 questionnaire (measurement model) provided to farmers of WUAs of Tafresh County, Iran.

565

Factors	Social-cultural	Economic	Legal	Participation	Social capital	Infrastructural
Social-cultural	0.715					
Economic	0.297**	0.764				
Legal	0.389**	0.554**	0.804			
Participation	0.547**	0.526**	0.616**	0.772		
Social capital	0.518**	0.238**	0.366**	0.562**	0.732	
Infrastructural	0.423**	0.208**	0.336*	0.432**	0.376**	0.743

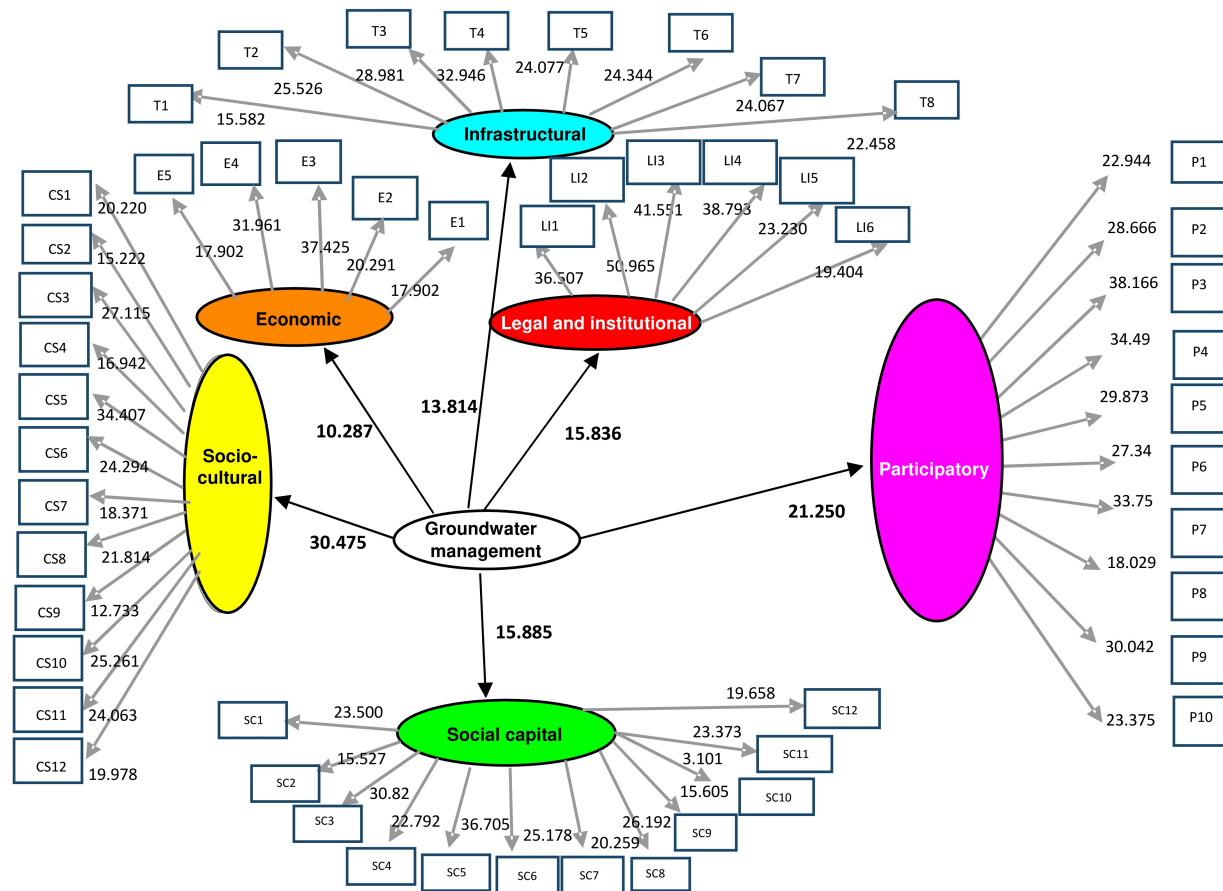
566

Note: the Cronbach's alpha index is displayed in bold on the diagonal; * p< 0.01; ** p < 0.001.

567

568

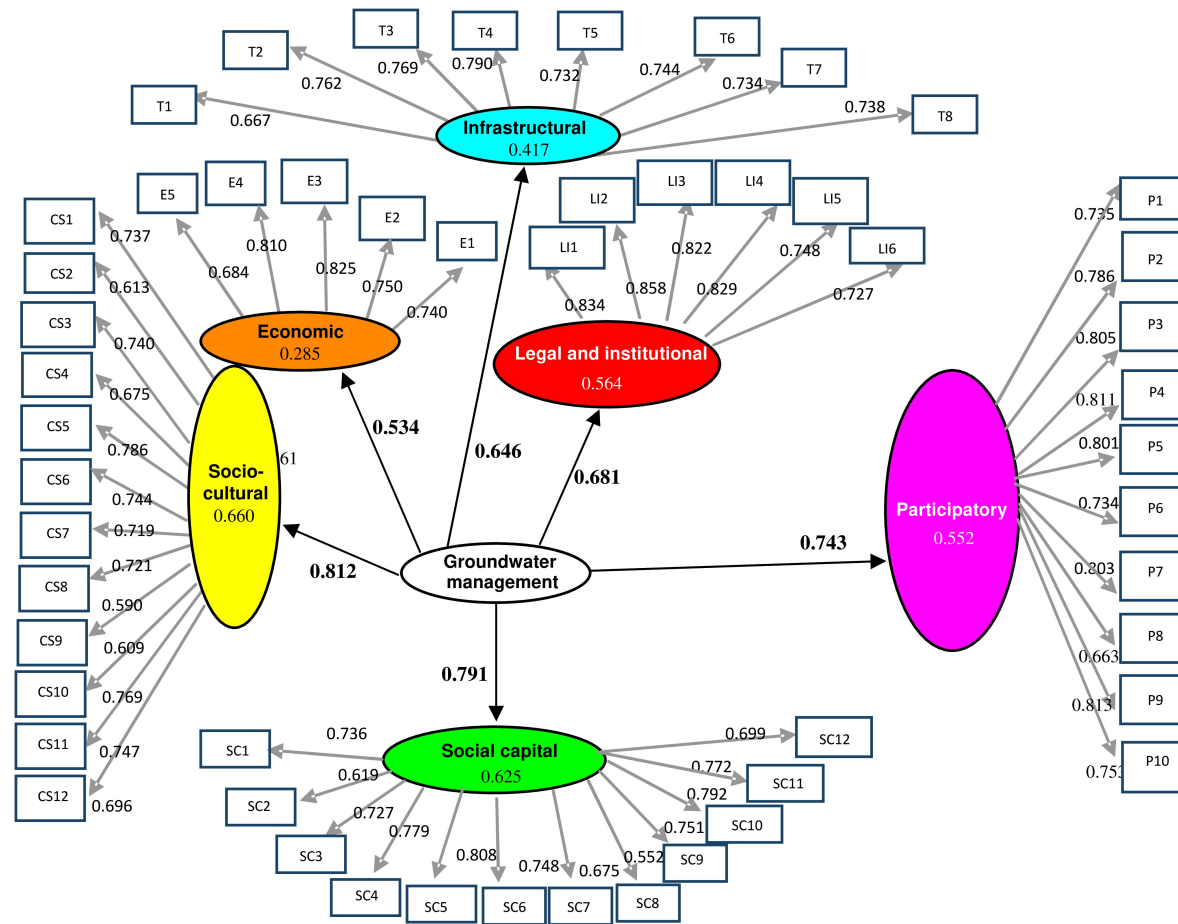
569 All the t-values of the relationships between the factors and indicators were higher than 1.96
570 (Figure 3); thus, the corresponding relations are significant at the 95% confidence level.
571 Moreover, R² is higher than 0.33 (Figure 4), and Q² is higher than 0.35 (Figure 5). Therefore,
572 all these indicators measure with reliability the factors predicted in the questionnaire; thus,
573 the relationship among the factors is accurate, and the factors in the structural model show an
574 acceptable predictive capacity, confirming that the structural model has strong predictive
575 power.



576

577 Figure 3 - The t-values of the relationships between the factors and indicators in the structural model to evaluate the factors influencing
 578 groundwater management in the WUAs of Tafresh County, Iran.

579 Notes: rectangles = indicators (questions, observed variables); circles = factors (latent variables); grey arrow (from latent variables towards the indicators) = measurement
 580 error; black arrow = effect of a factor on groundwater management.

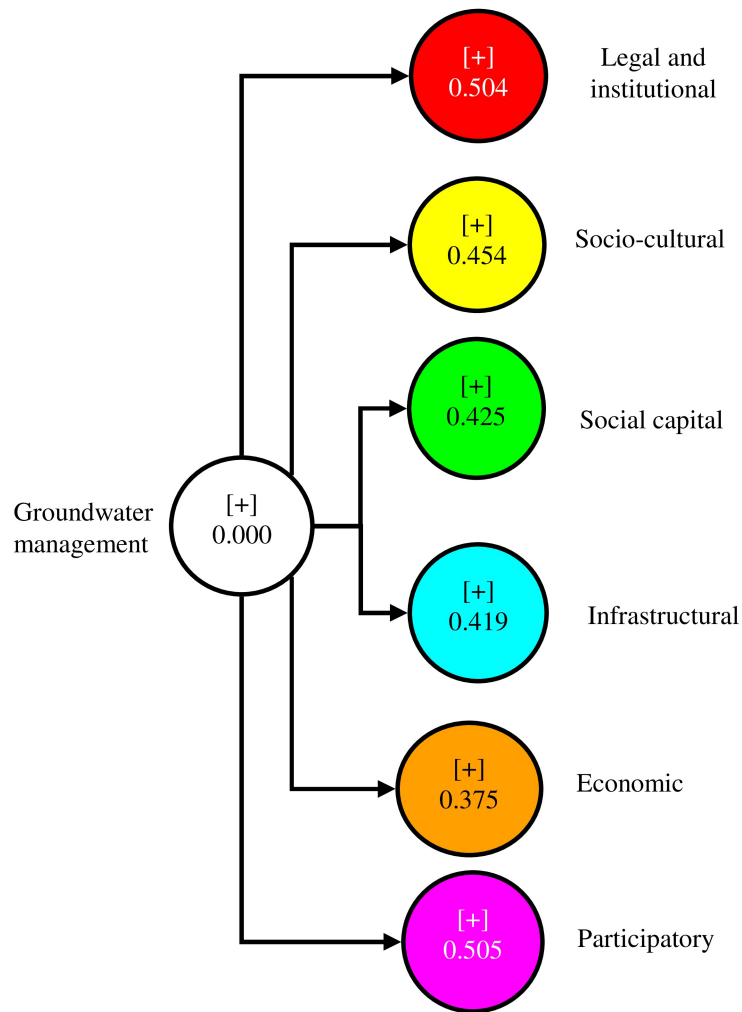


581

582 Figure 4 - The R^2 values of the relationships between the factors and indicators in the structural model to evaluate the factors influencing
 583 groundwater management in the WUAs of Tafresh County, Iran.

584 Notes: rectangles = indicators (questions, observed variables); circles = factors (latent variables); grey arrow (from latent variables towards the indicators) = measurement

585 error; black arrow = effect of a factor on groundwater management.



586

587 Figure 5 - The Q² values of the relationships among the structural model factors to evaluate
 588 the factors influencing groundwater management in the WUAs of Tafresh County, Iran.

589

590

591 Finally, the overall fit of the model (GoF) is equal to 0.51, and therefore it is higher than the
 592 critical point of 0.36, defined by Wetzels et al. (2009).

593 The socio-cultural and social capital factors had the highest path coefficients ($\beta = 0.812$ and
 594 0.791 , respectively) within the factors related to groundwater management. In contrast, the
 595 economic factor ($\beta = 0.534$) had a minimum direct effect on groundwater management.
 596 Therefore, the relationships among the groundwater management on one side and legal and
 597 institutional, socio-cultural, social capital, infrastructural, economic, and participation factors
 598 on the other side were significant, indicating that groundwater management is influenced
 599 directly and positively by all these factors.

600 Table 5 - Path coefficients and t-statistics in the structural model to evaluate groundwater
 601 management factors in the WUAs of Tafresh County, Iran.

602

Factors	Mean	Standard deviation	t-value	P-value	Standardized β
Groundwater management → Legal and institutional	0.683	0.043	15.836	< 0.0001	0.681
Groundwater management → Socio – cultural	0.812	0.027	30.475	< 0.0001	0.812
Groundwater management → Social capital	0.791	0.035	22.756	< 0.0001	0.791
Groundwater management → Infrastructural	0.646	0.047	13.814	< 0.0001	0.646
Groundwater management → Economic	0.533	0.052	10.287	< 0.0001	0.534
Groundwater management → Participation	0.744	0.035	21.250	< 0.0001	0.743

603

604

605 *5.4. Pearson’s matrix analysis*

606

607 The correlations between the groundwater management factors of WUAs showing their
 608 reciprocal impact on each other were statistically confirmed at a 95% confidence level (at $p <$
 609 0.01). The highest correlation coefficients were detected between the farmers’ participation
 610 factor and the legal and institutional factor ($r = 0.603$), which can only be considered
 611 “strong”. The other coefficients were lower and “moderate” only for the correlations among
 612 the farmers’ participation on one side and the social capital ($r = 0.559$), socio-cultural ($r =$
 613 0.535), and economic ($r = 0.521$) factors on the other side as well as for the couples of legal
 614 and institutional and economic factors ($r = 0.553$), social capital and socio-cultural factors (r
 615 = 0.489) and socio-cultural and infrastructural factors ($r = 0.421$) (Table 13). All the
 616 remaining correlations were modest or weak.

617

618 Table 5 - Matrix of correlation coefficients among the factors influencing groundwater
 619 management in Tafresh County, Iran.

620

	Factors	<i>Legal and institutional</i>	<i>Socio – cultural</i>	<i>Social capital</i>	<i>Economic</i>	<i>Infrastructural</i>	<i>Participation</i>
	<i>Legal and institutional</i>	1					
	<i>Socio – cultural</i>	0.385	1				
	<i>Social capital</i>	0.365	0.489	1			
	<i>Economic</i>	0.553	0.292	0.238	1		
	<i>Infrastructural</i>	0.332	0.421	0.370	0.203	1	
	<i>Participation</i>	0.603	0.535	0.559	0.521	0.431	1

621 Note: All correlations were significant at p-level < 0.01 (2-tails).

622

623

624 **5. Discussions**

625

626 Among the institutional and legal factors, the “clarifying the powers and responsibilities of
 627 government bodies in the water affairs” indicator was the first priority in our study, since this
 628 factor regulates the effects of all duties and actions related to water, whose clarity would be
 629 of interest for both the governance and water users.

630 “The stability of water resources management laws and regulations” (second priority among
 631 the analyzed institutional and legal factors) ensures a long-lasting implementation of these
 632 laws among WUAs and government organizations, but also the sustainability of
 633 environmental resources in organized management of the irrigation networks (Boyer et al.,
 634 2011). For instance, irrigated agriculture in Iran suffers from the aggressive use of water
 635 resources and wells’ continuous deepening. This is mainly due to the knowledge of laws and
 636 regulations related to irrigation water management by those poor farmers whose only
 637 occupation is agriculture is not enough. This insufficient knowledge can lead to the instability
 638 of water resources and agricultural production. In this case, the rules must be set in such a
 639 way as to prevent an exceeding extraction of water from wells compared to the permitted
 640 amounts, which causes water shortage and instability of water resources (Nazari et al., 2018).

641 “The legal status of WUAs in the current laws” is the third prioritized indicator within the
642 institutional and legal factor because the associated farmers are aware of sufficient rights and
643 powers to exercise management. This awareness undoubtedly gives farmers a strong
644 incentive to conserve water resources (Pan and Xu, 2018). As a result, this leads to the
645 provision of appropriate irrigation services, sustainable use of water resources and irrigation
646 facilities, and the promotion of agricultural water productivity (Gunchinmaa and Yakubov,
647 2010).

648 Finally, the “strengthening the water dispute resolution institutions between owners”
649 indicator, which has been considered of great importance in the studies of Speelman et al.
650 (2010) and Boyer et al. (2011), gained the last priority in our research, presumably because to
651 the high social capital among Tafresh farmers. They usually resolve disputes between
652 themselves without asking for external help.

653 Paying attention to socio-cultural factors, the farmers prioritized “increasing the trust between
654 landowners” because a high trust in efficient groundwater management in farmers paves the
655 way for cooperation and group actions among associated individuals, who are satisfied with
656 the various water management operations (Boyer et al., 2011). This is confirmed by the high
657 rank of the “improving the farmer’s awareness of procurement, water distribution, and
658 collected fees” indicator that was the second priority among the socio-cultural factors. The
659 “visit of the on-farm demonstration” indicator, which was the third priority in this study,
660 leads the members of the associations to larger access to knowledge resources, such as the
661 modern irrigation methods (Samian et al., 2015), towards optimal use of water and an
662 increased farm production (Osooli et al., 2011). “Preventing inappropriate water extraction
663 practices such as water theft” was the last priority among the socio-cultural factors,
664 presumably due to the high security of farmers in this area and their close and friendly
665 relations with each other.

666 Concerning the social capital factors, “increasing the trust between the members of WUAs in
667 water sharing and distribution” ranked the first priority because this commonality in
668 agricultural water management leads to the creation of a dialogue among the farmers and
669 expansion of social relations with other people in the community (Biresaw, 2019; Nilsson et
670 al., 2012; Rasmussen and Meinzen-Dick, 1995). This indicator’s importance is further
671 stressed by another indicator within the social capital factors - “increasing intimate meetings
672 and conversations of members outside of the association” - that ranked as the third priority.
673 As a matter of fact, the exchange of information between farmers can make their participation
674 in water management more conscious also in the social life out of the work approaches

675 (Takayama et al., 2018). “The use of farmers’ views for water management decisions” is
676 another crucial social capital indicator, and it got the second priority because it makes the
677 associated users aware of the benefits of decisions and requirements for the implementation
678 of agricultural water management and encourages farmers to participate more actively in the
679 implementation of these decisions. On the other hand, “strengthening and exchanging water
680 management information with the board of trustees” was the last rank and thus is considered
681 a less important factor. This is a critical issue in the WUAs and deserves more attention
682 because the exchange of information among farmers and trustees would make farmers aware
683 of the board’s decisions and monitor and cooperate in implementing management actions.
684 Moreover, thanks to this information exchange, board members could know the legal,
685 infrastructural, economic, and even social problems of farmers and make their own
686 management decisions with more insight and effectiveness.

687 Among the infrastructural factors, the “faster construction of creeks, canals, and Qanats”,
688 “the use of thin polyethylene films pipes for conveying water to the farm instead of the
689 creek”, and “the percentage of metallic water distribution valves along the waterway” are the
690 first to third priority, because all these actions ensure promptness in providing irrigation
691 water to croplands, reduces water losses for evaporation from free surface networks
692 (preventing water wastage and thus increasing water consumption efficiency in Qanats and
693 canals) and avoiding lowering Qanats. These factors, if implemented with effectiveness and
694 promptness, allow a significant increase in the volume of available water resources for the
695 production cycle with a presumable improvement of quality and quantity of the agricultural
696 production (Gunchinmaa and Yakubov, 2010; Rezaadoost and Allahyari, 2014; Samian et al.,
697 2015). The last priority attributed by farmers to “the suitability of the installation of valves
698 along the waterway” is that most of the canals in this area are made of earth, and irrigation
699 uses surface methods that do not require valves. There are farmers in the area who do not use
700 modern irrigation equipment (e.g., pressured networks with valves instead of free surface
701 canals) for economic reasons or lack of familiarity.

702 Among the economic factors of water management, “attracting state aid for the
703 reconstruction of the Qanat”, “the amount of credit to cover and dredge the creeks, Qanats,
704 and canals”, and “increasing farmers’ income” were first, second, and third priorities,
705 respectively, and these results were somewhere expected. Improving the condition of
706 aqueducts and irrigation canals enhances water access and distribution among farmers and
707 ultimately increases the net worth of water resources (Wichelns, 2002). However, due to the
708 high costs required by the improvement actions and the diffuse condition of low-income

709 smallholder for most of the farmers interviewed, attracting financial assistance from the
710 government, increasing fund availability from the credit, and saving part of product revenues
711 for the renovation of Qanats and irrigation canals are considered of the utmost importance.
712 “Obtaining credit and banking facilities and receiving incentives such as tax breaks for active
713 water companies” was the last priority, although this would increase the level of welfare of
714 farmers (Rezadoost and Allahyari, 2014; Samian et al., 2015) and lead to more investments in
715 irrigation systems (Pan and Xu, 2018). However, due to the “very high costs of
716 modernization of irrigation facilities and the lack of legal support in the financial support of
717 water user organizations by the government”, the renovation of these canals and irrigation
718 equipment and its financing by the government was the first priority. According to the Iranian
719 laws about the WUAs’ support policies, it is stipulated that to invest in infrastructures, 0.85%
720 of the expenses should be provided by the government and the remaining 0.15% by the
721 WUAs’ members. However, based on the Agricultural Organization experts’ comments in
722 Tafresh County and the landlords, the government will cover about 40 percent (or more) of
723 the repair costs as much as possible, and the rest will be the responsibility of the WUAs’
724 members. Although in the case of a government budget deficit, all estimated costs will be
725 covered by the owners.

726 Therefore, it takes precedence over tax incentives and incentives for farmers. Especially due
727 to the “high administrative bureaucracy in Iran” and “lack of knowledge about the benefits of
728 tax breaks”, access to banking facilities and tax exemptions is difficult for the old and
729 illiterate farmers of the county. The outcomes of interviews about the prioritization of
730 farmers’ participation factors show that “collecting the association’s shared costs” (first
731 priority), “repairing and rebuilding valves” (second priority), and “repairing and dredging
732 creeks” (third priority) is of the highest importance in agricultural water management for
733 farmers. Since low government budgets and facilities do not cover the high costs of water
734 management, strengthening farmers’ participation in reconstruction and improvement of the
735 irrigation systems - also by a personal involvement through the provision of infrastructural
736 services, including the family working - would lead to the enhancement of the irrigation
737 performance, increase in the operational efficiency of WUAs and finally improvement of
738 water management in WUAs. Moreover, an efficient collection of due water fees as payment
739 of the irrigation service provided by WUAs is considered essential to fund the WUAs, and
740 this is in close accordance with the results of the studies carried out elsewhere (Zema et al.,
741 2018a; Zema et al., 2015; Zema et al., 2018b), which demonstrated how the financial self-
742 sufficiency of WUAs is able to ensure an efficient collective irrigation service. “Cooperation

743 of farmers with the Water and Agricultural Organization to implement regulations related to
744 water management” was the last priority of these factors, presumably due to the lack of
745 farmers’ knowledge of the related benefits.

746 The confirmatory factor analysis to test the main hypothesis revealed that all factors
747 positively and significantly affect groundwater management. Among these factors, based on
748 the SEM results, socio-cultural, social capital, participation, legal and institutional,
749 infrastructural, and economic factors have the greatest impact, respectively. As a result, the
750 main hypothesis that these factors improve groundwater management can be confirmed.
751 However, the relationships among these factors show that the county infrastructural current
752 agricultural situation is not a favorable environment for implementing efficient and desirable
753 water management, and this situation requires more attention and a particular focus on these
754 factors (Boyer et al., 2011). More specifically, precise planning to strengthen socio-cultural
755 and improve social capital relations among farmers, creation of economic incentives and
756 financial and credit support from relevant agencies, solving problems and inadequacies of
757 irrigation systems, the infrastructural and principled maintenance of irrigation networks
758 through increased participation of users, and a more efficient water fee collection from the
759 associated farmers could be suggested by this analysis to improve groundwater management
760 and the sustainability of WUAs (Nazari et al., 2018; Osooli et al., 2011; Pan and Xu, 2018).
761 On the other hand, social capital and legal and institutional factors among farmers must be
762 renovated to avoid gradual obsolescence and inefficiency with the implementation of formal
763 education in the local communities, as stated by some relevant studies about the impacts of
764 social capital factors on the improvement of water resources systems (Akolgo et al., 2020).
765 Moreover, according to Khalkheili and Zamani (2009), social factors are not related to
766 farmers’ participation.

767 Regarding the impact of economic factors, undoubtedly all factors may indirectly affect water
768 management (Zema et al., 2020), but the analysis of the indirect relations among these factors
769 went beyond the scope of our study. For instance, it should be important to analyze whether
770 all factors affect groundwater management through the economic factor, which would require
771 separate and more complete research.

772 Pearson correlation analysis, which tested the second hypothesis that all factors would
773 directly and positively affect each other and showed significant relationships among all six
774 factors, showed significant relationships between all six factors. It should be noted that the
775 correlation coefficient between two variables can show the type and extent of the relationship
776 between the two variables linearly but cannot be used to show the effect of one variable on

777 another variable. However, we find that the results of this test give WUAs the ability to make
778 more informed decisions to improve water management in WUAs by knowing the degree of
779 correlation between the factors shown in the research framework. It also gives managers the
780 ability to predict changes in other variables by examining changes in each model factor. The
781 critical point is the degree of correlation and strong relationship between “participation” and
782 the “legal and institutional” factors. This relationship points out that, in order to better
783 promote water management in WUAs and improve their performance in water management
784 planning, politicians must invest more than anything else in the legal and institutional, and
785 participation factors.
786 Overall, the confirmation of both working hypotheses suggests comprehensive attention to all
787 the evaluated factors as a management strategy to enhance the optimal management of
788 agricultural water in WUAs.

789

790 **6. Conclusions**

791

792 The study has shown that in the WUAs of Tafresh County (Iran) the “legal and institutional”,
793 “socio-cultural”, “social capital”, “infrastructural” factors as well as the “farmers’
794 participation” not only are strongly interrelated but are also able to improve groundwater
795 management. The analysis of the indicators nested into these factors has indicated the need
796 for actions to strengthen an efficient use and share of irrigation resources, which should be
797 implemented according to the priorities socio-cultural > social capital > participation > legal
798 and institutional > infrastructural > economic factors, as given by the confirmatory factor
799 analysis.

800 Therefore, from this study, it is evident that, in the case study, the prerequisites for improving
801 the management of the WUAs are basically four: i) providing members with new water
802 management technologies (that can be provided directly or through the government), in order
803 to increase the efficiency in extraction, distribution, and consumption of irrigation water; ii)
804 strengthening the role and importance of social and cultural participation in the management
805 of WUAs through a better understanding of the barriers to the social involvement and the
806 impact of cultural capital, in order to create formal and informal contexts for enhancing
807 individual participation in the short and long-term; iii) designing appropriate financing
808 factors and diversification of the sources of revenue to execute projects on shared water
809 resources; (vi) involving young human resources with higher education levels into the
810 existing WUAs and agricultural water management.

811

812 **References**

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