

Individual and joint inversion of head and flux data by geostatistical hydraulic tomography

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ABSTRACT

Hydraulic tomography is a state-of-the-art method for inferring hydraulic conductivity fields using head data. We employed geostatistical inversion using synthetically generated head and flux data individually and jointly to better understand the relative merits of each data type. For the typical case of a small number of observation points, we find that flux data provide a better resolved hydraulic conductivity field compared to head data when considering data with similar signal-to-noise ratios. This finding is further confirmed by a resolution analysis. When considering a high number of observation points, the estimated fields are of similar quality regardless of the data type. In terms of borehole boundary conditions, the best setting for flux and head data are constant head and constant rate, respectively, while joint inversion results are insensitive to the borehole boundary type. When considering the same number of observations, the joint inversion of head and flux data does not offer advantages over individual inversions. When considering the same number of observation points and, hence, twice as many observations, the joint inversion performs better than individual inversions. The findings of this paper are useful for future planning and design of hydraulic tomography tests comprising flux and head data.

KEYWORDS: hydraulic tomography, groundwater flux, geostatistical inversion, principal component geostatistical analysis (PCGA), resolution analysis

1. INTRODUCTION

Knowledge of hydraulic conductivity distributions is essential for the management of water resources (Liu et al., 2020), solute transport predictions (Yeh, 1992; Jiménez, 2015) and designing remediation of contaminated sites (Fakhreddine et al., 2016). A variety of geophysical (Kowalsky et al., 2004; Revil et al., 2012; Slater, 2007) and hydraulic methods (Brauchler et al., 2003; Yeh and Liu, 2000; Zhu and Yeh, 2005), including tracer-based measurements (Doro et al., 2015; Jiménez et al., 2016; Somogyvári and Bayer, 2017), have been developed and employed for characterizing hydraulic properties (Lochbühler et al., 2013). In hydraulic flow methods, head data responses to hydraulic perturbations (pumping, tidal fluctuation, etc.) are measured at different locations across the aquifer. The recorded head data are then used to estimate the spatial distribution of hydraulic conductivity (K) and storativity. A distinct advantage of hydraulic methods for imaging purposes is that the hydraulic response of an aquifer is directly related to its hydraulic parameters described by flow equations (Fakhreddine et al., 2016), while in most geophysical methods, the hydraulic properties are inferred from other estimated physical properties, thereby, requiring petrophysical relationships. We define $Y = \log_{10}(K)$ and assume that it can be described by a stationary multivariate Gaussian distribution.

Hydraulic tomography has been the subject of many theoretical and numerical (Fienen et al., 2008; Luo et al., 2020; Yeh and Liu, 2000; Zha et al., 2018; Zhu and Yeh, 2005), laboratory (Illman et al., 2008, 2010; Liu et al., 2002, 2007; Yin and Illman, 2009; Zhao et al., 2016), and field studies (Berg and Illman, 2015, 2013, 2011; Bohling et al., 2007; Brauchler et al., 2013, 2011, 2010, 2003; Cardiff et al., 2009, 2013; Cardiff and Barrash, 2011; Fischer et al., 2017; Gottlieb and Dietrich, 1995; Huang et al., 2011; Klepikova et al., 2013; Kuhlman et al., 2008; Paradis et al., 2016, 2015; Sun et al., 2013; Tosaka et al., 1993). However, hydraulic tomography based on head data alone has limitations. One limitation is inherent to the underlying potential-field physics as measured head data are spatially averaged due to the diffusive nature of pressure disturbances created during the test (Bohling and Butler Jr, 2010). This averaging results in tomographic

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4 47 estimates displaying a high degree of smoothing compared to the actual aquifer property fields. This
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6 48 smearing may lead to degraded predictions for transport problems. Another limitation appears in applying
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8 49 hydraulic tomography in high conductivity aquifers as hydraulic tests lead to small drawdown values,
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10 50 implying high relative uncertainty of the measured head perturbations and correspondingly low signal-to-
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12 51 noise ratio data. Adding other types of non-redundant data in hydraulic tomography can help to better image
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14 52 the subsurface (Mao et al., 2013; Yeh et al., 2015). In this regard, Zha et al. (2014) demonstrated the
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16 53 usefulness of flux data (specific discharge) for hydraulic tomography in a 2D synthetic fractured media
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18 54 mimicking a field site in Mizunami, Japan. Estimated mean, variance, and correlation length of the *Y*-field
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20 55 were applied as prior information to the inversion model. Using the cross-correlation approach (Zha et al.,
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22 56 2014), they showed that head and flux contribute differently to the *Y*-field reconstruction. They claimed
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24 57 that inversion of head data collected with known pumping rate can result in representative *Y*-field estimates
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26 58 even if the initial guess is incorrect. For flux data, they find that the final *Y*-field estimate is dependent on
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28 59 the initial guess. Their synthetic work showed that using flux data with head data improves the estimation
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30 60 of *Y*-field values and the fracture distribution. In another study, Tso et al. (2016) performed numerical test
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32 61 studies on a 3D model mimicking the aquifer at the North Campus Research site in Waterloo, Canada. They
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34 62 simulated pumping in this porous aquifer and measured head data and flux data at different locations. Then,
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36 63 head and flux data were subjected to inversion, considering different types of prior information. They
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38 64 showed that using flux data jointly with head data can enhance hydraulic conductivity estimates.
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40 65 Furthermore, they found out that the estimated hydraulic conductivity field is less affected by an inadequate
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42 66 prior model when non-redundant flux data are used to supplement the head data.
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49 67 Until recently, measurements of groundwater fluxes in the field were limited to local and time-
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51 68 consuming measurements. The most popular technique for quantifying groundwater flux in the field was
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53 69 based on dilution tests (Drost et al., 1968; Jamin et al., 2015; Schneider et al., 2019), where the dilution of
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55 70 an injected tracer inside a screened borehole or within packers is used to estimate the horizontal
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57 71 groundwater flux. Nevertheless, boreholes disturb the flow field and affect the measurements; hence, the
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4 72 measured values may not represent the real flux values. The recent advent of Fiber Optic Distributed
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6 73 Temperature Sensors (FO-DTS) has led to new possibilities for measuring groundwater discharge with
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9 74 unprecedented spatial and temporal resolutions (des Tombe et al., 2019; Simon et al., 2021)

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12 75 FO-DTS is a distributed sensor type that allows measurements of temperature all along the fiber optic
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14 76 cable. FO-DTS can be employed in both passive and active modes. In passive mode, the temperature of the
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16 77 fiber optic is measured without any external forcing, while in active mode, a heat source is added to the
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18 78 fiber optic cable by using a heating element located very close to the fiber optic cable or by using a heating
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20 79 fiber optic cable. Active-DTS have been developed, for instance, for measuring borehole flows (Read et
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22 80 al., 2014), wind speed (Sayde et al., 2015), and for characterizing groundwater fluxes in fractured media
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24 81 (Maldaner et al., 2019). Recently, it has also been used for measuring groundwater discharge in sedimentary
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26 82 aquifers; the FO cable typically being installed by the direct push method (Bakker et al., 2015; des Tombe
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28 83 et al., 2019). In this case, the buried cable is in direct contact with the ground with minimum subsurface
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30 84 perturbations. Simon et al. (2021) showed that active-DTS can be used for measuring both thermal
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32 85 conductivities and groundwater fluxes on a large range of values with excellent accuracy (with errors of
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34 86 less than 10% for groundwater flux in the range of 10^{-5} to 10^{-3} m/s). The principle of such an experiment
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36 87 (Figure 1) is to monitor the temperature evolution with time, which depends on the surrounding area's
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38 88 thermal properties and also groundwater fluxes that limits the temperature rise. Typically, the slope of the
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40 89 temperature rise in the conduction regime (with time in logarithmic scale) is inversely proportional to
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42 90 thermal conductivity while the greater the groundwater fluxes, the lower the temperature at stabilization.
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44 91 The temperature evolution with time may be easily interpreted to estimate groundwater fluxes through an
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46 92 analytical solution or by using a graphical analysis (Simon et al., 2021). The application of Active FO-DTS
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48 93 for flux measurements is currently limited to shallow and unconsolidated aquifers due to limitations in
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50 94 deployment by the direct push method.
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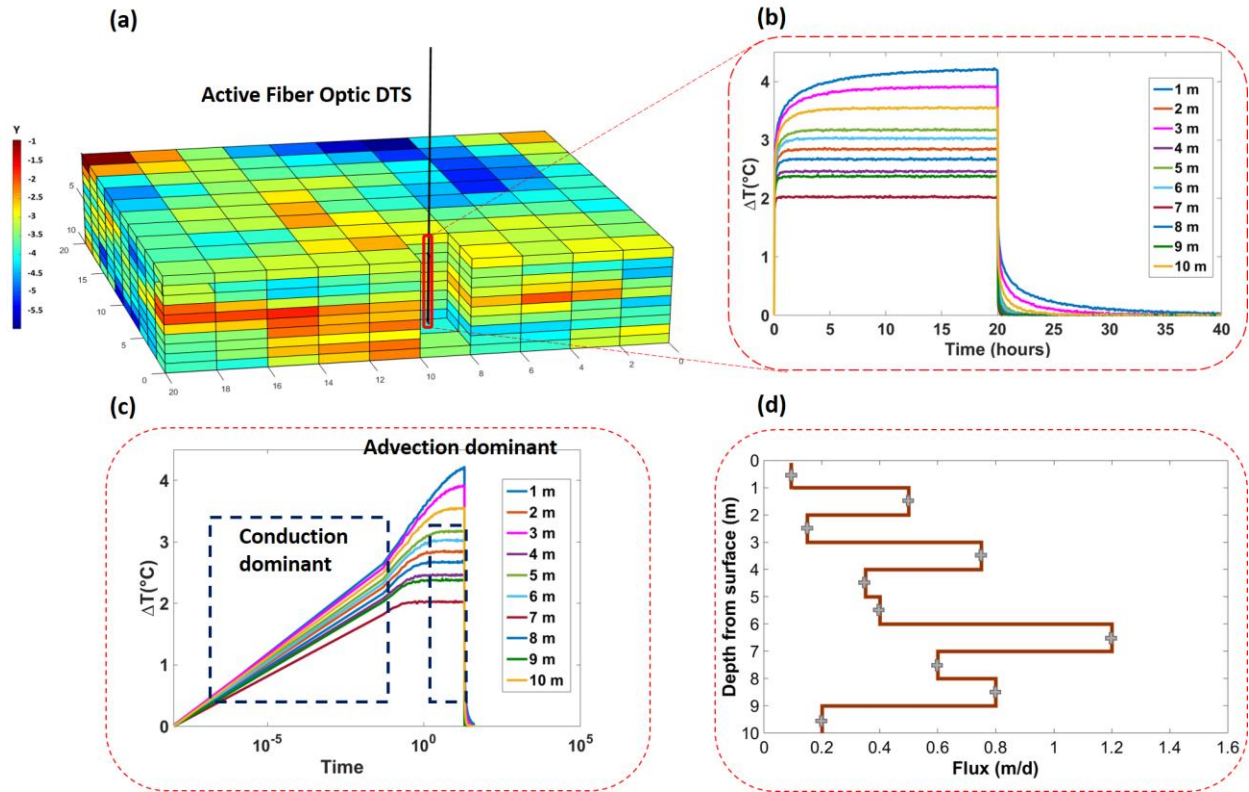


Figure 1: Schematic description of how Active FO-DTS can be used to infer a groundwater flux profile with depth. **(a)** An Active Fiber Optic Cable is deployed vertically into the ground in close contact with the formation. **(b)** The cable is heated (active mode), and the cable temperature during the heating (first 20 hours) and cooling periods (from 20 to 40 hours) is measured. Each curve corresponds to one-point measurement along the FO-cable. **(c)** In semi-logarithmic plot, the slope of the temperature profile is used to estimate the thermal conductivity while the temperature at stabilization is dependent on groundwater fluxes (Simon et al., 2021). **(d)** Measured temperature data along the fiber optic cable are converted to a flux profile with depth, with each "+" sign indicate one datum.

New advances in distributed sensing of groundwater flux make it an appealing data source for independent inversion or joint inversion with hydraulic head. This present study assumes that groundwater fluxes can be inferred from such above-mentioned techniques at a prescribed spatial resolution and accuracy. Here, we limit ourselves to a 2-D study assuming constant groundwater flux in depth. Using a geostatistical hydraulic tomography approach, we then address the benefits and drawbacks of using either head or flux data individually or jointly. More specifically, we address the following questions.

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112 (1) For an equal number and locations of flux and head data, which data type leads to the best reconstruction
113 of hydraulic conductivity?

114 (2) How does the number of observations affect the inversion results?

115 (3) How does inversion performance for the different data types vary with the hydraulic conductivity field
116 variance?

117 The paper is structured into six sections. Section 2 presents the geostatistical inversion method and the
118 forward model employed. In section 3, we describe the hydraulic conductivity test model used for our
119 analysis. In sections 4 and 5, we present and discuss the main results, respectively, and section 6 concludes
120 the paper.

121 2. METHODS

122 The Principal Component Geostatistical Approach (PCGA) is a computationally-efficient geostatistical
123 inversion method (Lee and Kitanidis, 2014). PCGA uses the main principal components of the prior model
124 covariance matrix for model parameterization and corresponding estimates of the Jacobian (sensitivity
125 matrix). The resulting model reduction from a model of many gridded elements to a lower number of
126 retained principal components leads to smaller matrices to invert and fewer sensitivities to estimate,
127 implying less computational costs than full inversions. This method has been employed extensively in
128 recent years (Fakhreddine et al., 2016; Fischer et al., 2017; Kang et al., 2017; Lee et al., 2018; Soueid
129 Ahmed et al., 2016). In this study, we use PCGA combined with the Matlab Reservoir Simulation Toolbox
130 (MRST) that simulates fluid flow in porous media (forward model) to perform inversion of head and flux
131 data.

132 2.1 Inverse model

133 Inferring properties of subsurface media (storage, hydraulic conductivity) from error-contaminated and
134 sparse observed data (head data, flux data, etc.) is an inverse problem and can be formulated as follow:

$$\mathbf{d} = f(\mathbf{m}) + \boldsymbol{\eta}, \quad (1)$$

where \mathbf{d} , $f(-)$, \mathbf{m} and $\boldsymbol{\eta}$ refer to measured data, forward model, model parameters and errors, respectively.

The forward model refers here to a non-linear operator solving a set of differential equations numerically to describe the relationship between model parameters and data. From a mathematical point of view, the inverse problem is often ill-posed and the solution is non-unique, implying that additional information (e.g., a prior model) is required to obtain unique and physically-meaningful results. Here, the subsurface is described as a multi-Gaussian stationary field with known statistical properties and a superimposed deterministic trend. In the presence of a multivariate Gaussian prior model and error distribution, it is common to formulate the inverse problem in terms of an exploration of the maximum a posteriori (MAP) estimate and its variance. In such a setting, the solution of the inverse problem is obtained by maximizing a posterior probability density function (maximizing the term in bracket) expressed by using Bayes' theorem as follow:

$$\pi_{post}(\mathbf{m}|\mathbf{d}) \sim \exp\left[-\frac{1}{2}(\mathbf{f}(\mathbf{m}) - \mathbf{d})\mathbf{C}_d^{-1}(\mathbf{f}(\mathbf{m}) - \mathbf{d}) + \frac{1}{2}(\mathbf{m} - \mathbf{m}_{prior})\mathbf{C}_m^{-1}(\mathbf{m} - \mathbf{m}_{prior})\right], \quad (2)$$

where \mathbf{C}_m and \mathbf{C}_d are the a priori model covariance and data covariance matrix, respectively (Kitanidis, 1995).

Geostatistical methods have been widely used and proven to be efficient for hydraulic tomography purposes (Illman et al., 2015). The iterative optimization process estimates the model parameters. The solution at $(i+1)^{th}$ iteration is calculated as:

$$\mathbf{m}_{i+1} = \mathbf{X}\boldsymbol{\beta}_i + \mathbf{C}_m\mathbf{J}_i^T \boldsymbol{\varepsilon}_i, \quad (3)$$

where \mathbf{X} is a known matrix, and $\boldsymbol{\beta}$ is an unknown vector used to determine linear trends that is inferred along with $\boldsymbol{\varepsilon}$ by solving the system of equations below. Here \mathbf{J} represents the Jacobian matrix describes the sensitivity of the forward model output (at observation points) with respect to the unknown model parameters.

$$\begin{bmatrix} \mathbf{J}_i \mathbf{C}_m \mathbf{J}_i^T + \mathbf{C}_d & \mathbf{J}_i \mathbf{X} \\ (\mathbf{J}_i \mathbf{X})^T & 0 \end{bmatrix} \begin{bmatrix} \boldsymbol{\varepsilon}_i \\ \boldsymbol{\beta}_i \end{bmatrix} = \begin{bmatrix} \mathbf{d} - f(\mathbf{m}_i) + \mathbf{J}_i \mathbf{m}_i \\ 0 \end{bmatrix}. \quad (4)$$

2.1.1 Principal Component Geostatistical Approach

Calculating the Jacobian matrix (\mathbf{J}) used in equations (3) and (4) for high-dimensional problems often requires a very high computational effort. Lee and Kitandis (2014) proposed the Principal Component Geostatistical Approach (PCGA), which uses a low-rank approximation of the prior covariance via principal component analysis and avoids forming the Jacobian explicitly for products of the Jacobian matrix and eigenvalues (equations (6) and (7)) by using a finite difference approximation (equation (8)). This results in a faster inversion process of high accuracy, provided that an adequate number of principal components are retained. The terms that are used for geostatistical inversion in equation (4) are approximated through the P largest principal components as follow:

$$\mathbf{C}_m \approx \mathbf{C}_{mP} = \sum_{ii=1}^P (\boldsymbol{\varsigma}_{ii})(\boldsymbol{\varsigma}_{ii})^T, \quad (5)$$

$$\mathbf{J}_i \mathbf{C}_m \approx \mathbf{J}_i \mathbf{C}_{mP} = \mathbf{J}_i \sum_{ii=1}^P (\boldsymbol{\varsigma}_{ii})(\boldsymbol{\varsigma}_{ii})^T = \sum_{ii=1}^P (\mathbf{J}_i \boldsymbol{\varsigma}_{ii})(\boldsymbol{\varsigma}_{ii})^T, \quad (6)$$

$$\mathbf{J}_i \mathbf{C}_m \mathbf{J}_i^T \approx \mathbf{J}_i \mathbf{C}_{mP} \mathbf{J}_i^T = \sum_{ii=1}^P (\mathbf{J}_i \boldsymbol{\varsigma}_{ii})(\mathbf{J}_i \boldsymbol{\varsigma}_{ii})^T, \quad (7)$$

$$\mathbf{J}_i \boldsymbol{\varsigma}_{ii} \approx \frac{1}{\delta} [f(\mathbf{m}_i + \delta \boldsymbol{\varsigma}_{ii}) - f(\mathbf{m}_i)]. \quad (8)$$

Here, \mathbf{C}_{mP} is a rank- P approximation of the model parameter covariance matrix. The \mathbf{C}_{mP} and Jacobian matrix products required for the inversion (equation 4) are given by equations 6-7. How to choose the finite difference interval δ is addressed by Lee and Kitandis (2014).

The diagonal entries of the posterior covariance matrix (\mathbf{v}_{jj}) are often presented as the estimation of the variance and can be calculated without explicit construction of \mathbf{v} (Lee and Kitandis, 2014)

$$\mathbf{v}_{jj} = \mathbf{C}_{m\ jj} - \begin{bmatrix} (\mathbf{JX})_j \\ \mathbf{x}^T \end{bmatrix}^T \begin{bmatrix} \mathbf{JC}_m\mathbf{J}^T + \mathbf{C}_d & \mathbf{JX} \\ (\mathbf{JX})^T & 0 \end{bmatrix}^{-1} \begin{bmatrix} (\mathbf{JX})_j \\ \mathbf{x}_j^T \end{bmatrix}, \quad (9)$$

where $\mathbf{C}_{m\ jj}$ represents the j^{th} diagonal entry of the model covariance matrix and $(\mathbf{JX})_j$ is the j^{th} column of the product \mathbf{JX} .

Once the model parameters are determined, it is desirable to perform a resolution analysis by obtaining the resolution matrix (\mathbf{R}), which can be seen as a low pass filter that maps the true model parameters to the estimated model parameters (e.g., Alumbaugh and Newman, 2000). Each model parameter during the inversion is estimated from the averaging of other model parameters adjacent to the one of interest. The components of \mathbf{R} can be interpreted as weights (each row in the resolution matrix) of the average of true model parameters for estimating each model parameter (Day- Lewis et al., 2005). The ideal resolution matrix would be an identity matrix that would imply that all model parameters are resolved perfectly. The deviation of the diagonal element from the identity matrix reveals the degree of averaging and smoothness. Thus, plotting diagonal elements of the resolution matrix in their corresponding blocks is indicative of the degree of smoothness. The diagonal elements of the resolution matrix (equation 11) inform the extent to which each estimated parameter is resolved independently.

The resolution matrix (\mathbf{R}) is obtained by equation (11), which requires recovering the Jacobian matrix (\mathbf{J}_r) from the previously calculated product (equation 6) and inverse of low rank-approximation of the covariance matrix (\mathbf{C}_{mP}) as shown in equation (12);

$$\mathbf{m}^{\text{estimate}} = \mathbf{R}\mathbf{m}^{\text{true}}, \quad (10)$$

$$\mathbf{R} = (\mathbf{J}_r^T(\mathbf{C}_d)^{-1}\mathbf{J}_r)^{-1}(\mathbf{J}_r^T(\mathbf{C}_d)^{-1}\mathbf{J}_r). \quad (11)$$

$$\mathbf{J}_r = \left(\sum_{ii=1}^P (\mathbf{J}_i \boldsymbol{\varsigma}_{ii})(\boldsymbol{\varsigma}_{ii})^T \right) \left(\sum_{ii=1}^P (\boldsymbol{\varsigma}_{ii})(\boldsymbol{\varsigma}_{ii})^T \right)^{-1} \quad (12)$$

It should be noted that \mathbf{J}_r is the Jacobian matrix mapped from the PCA space to the grid cells, while \mathbf{J} is the Jacobian matrix calculated directly for every principal component.

2.2 Forward model

The incompressible fluid flow module of MRST (Lie, 2019) was used to simulate steady-state groundwater flow. It is used to calculate head and flux values at different points across a confined aquifer. Starting from the mass conservation law on a control volume, introducing the Darcy law, assuming incompressible fluid flow and steady-state condition, the final form of the equation reads:

$$-\nabla \cdot [K(\mathbf{w}) \cdot \nabla h(\mathbf{w})] = \mathbf{q}(\mathbf{w}), \quad (13)$$

subjected to the following constant head boundary conditions across external boundaries:

$$h = h_D \quad \text{for } \vec{\mathbf{w}} \in \Gamma_a \quad (14)$$

Here, $\mathbf{w} = (x, y, z)$, K (L/T), h (L) and \mathbf{q} [L/T] represent the hydraulic conductivity, head and fluid source or sink (inflow or outflow of fluid per volume at certain locations), respectively. Γ_a represents Dirichlet boundaries. The above equations are solved numerically to calculate the head values at grid points across the aquifer. The MRST uses the two-point flux approximation scheme (Lie, 2019) to calculate the Darcy flux in each grid block.

3. NUMERICAL EXPERIMENTS

3.1 Setup of the synthetic test case

To assess the information content of hydraulic head and groundwater flux data for the reconstruction of heterogeneous aquifers, a stationary multi-Gaussian log-hydraulic conductivity field (with constant storativity) is generated, resulting in the field, shown in Figure 2. The generated aquifer is 550 m in length, 550 m in width and 5 m in depth. The aquifer is discretized into $110 \times 110 \times 1$ in x -, y -, z - directions and corresponding block sizes are $5 \text{ m} \times 5 \text{ m} \times 5 \text{ m}$, respectively. The aquifer is assumed to have one layer, and the log-hydraulic conductivity field has a multi-Gaussian distribution. The area of interest is chosen in the middle of the aquifer, away from the boundaries to reduce the boundaries' effect on the inversion. All boundaries are set to a constant head equal to 350 m.

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214 The correlation length used for generating the Y -field is 75 m and 45 m for x - and y -directions,
215 respectively. The same field (same heterogeneity structure) with different variances of 0.5, 1, 2, and 4 are
216 generated to assess the effect of variance and number of observations on the inversion results. The mean
217 Y_{mean} is -3.57 for all cases, but the Y -fields variance and ranges are different for different experiments. This
218 range of hydraulic conductivity is chosen to have measurable and realistic groundwater flux and head
219 responses.

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221 We use a five-spot setup with a central borehole (P1) and four boreholes (P2, P3, P4 and P5) on the
222 corners of the area of interest (bounded by white dashed lines in Figure 2). Other monitoring points are also
223 considered between the boreholes, as shown by asterisk symbols. The aquifer is subjected to a series of
224 pumping experiments in each borehole. Two different boundary conditions in the borehole, namely,
225 constant rate and constant head, are considered. When simulating pumping in one borehole, the head and
226 flux values are recorded in other boreholes and monitoring points. The acquired flux and head data are
227 noise-contaminated before being used to estimate the Y -field.

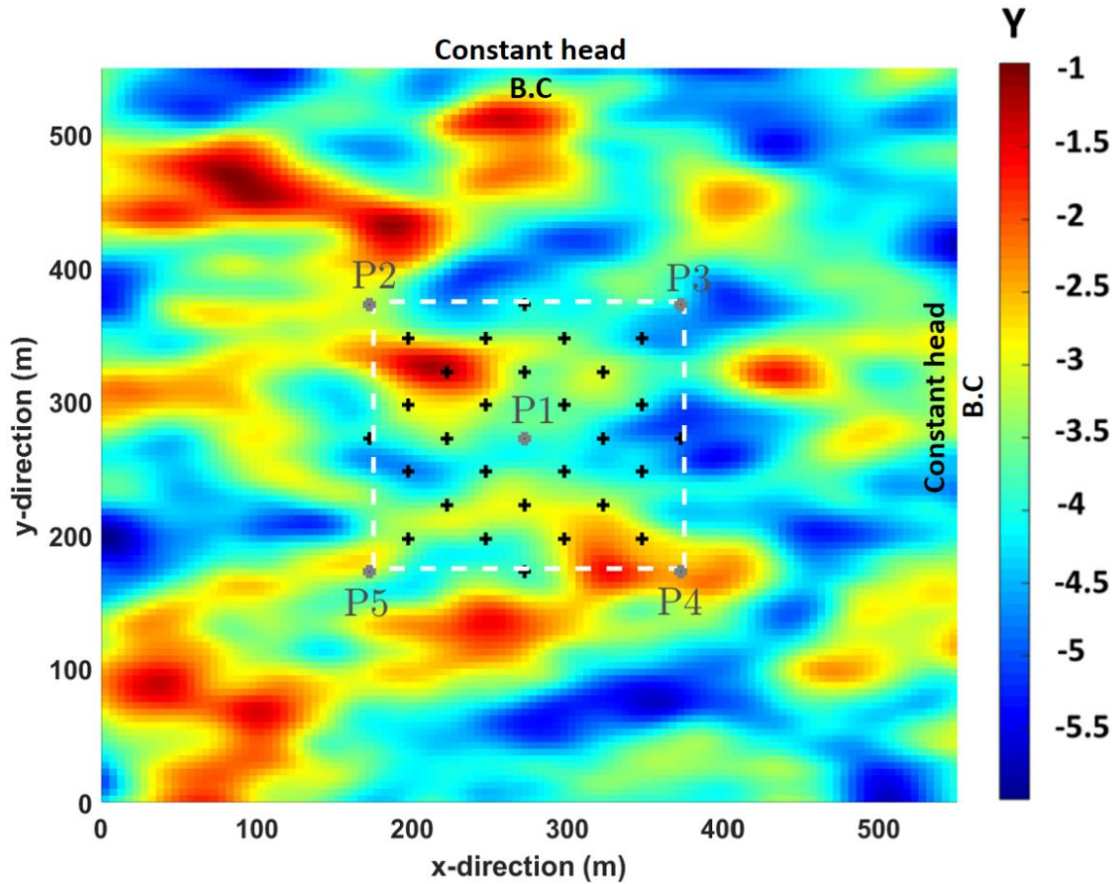


Figure 2: Reference Y-field (variance 4), borehole (P1 to P5), and monitoring locations (asterisks). All boundaries are set to the constant head. The white dash-lines crossing the side boreholes define the area of interest.

3.2 Hydraulic tomography using head and flux data

Our numerical inversion experiments aim to compare the relative merits of each data type and analyze how borehole boundary conditions (constant head or constant rate), the variance of the Y -field, and the number of observations affect the inversion results. The observational data are generated using the reference hydraulic conductivity field, and a normally distributed and independent error is added to the observations. The standard deviations of these errors are different in all cases. The errors' standard deviations were chosen to be in a realistic range while ensuring the same initial signal-to-noise ratio of 38 for all cases defined by

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240 running the code using Y_{mean} . The resulting measurement errors range from 0.05 to 0.013 (m) for the head
241 and 0.055 to 0.01 (m/day) for the flux.

242 PCGA with previously mentioned geostatistical parameters are used for the inversion. The truncation
243 order (p -rank) of the prior covariance matrix is chosen as 400 out of 12100. Based on the recommendation
244 by Lee et al. (2016), the truncation order (P), which results in the relative Eigenvalue error below 0.01
245 would be sufficient to capture most of the covariance matrix structure. The relative Eigenvalue error is
246 defined as the ratio of first to ($P+1$)th Eigenvalue. We have chosen P more conservatively. For the Y -field
247 with variance 4, the first Eigenvalue is 1411.47, while the 401st Eigenvalue is 0.047 giving the ratio of
248 3.25×10^{-5} .

249 The inversion starts with a constant value of Y_{mean} and continues until the root mean square error
250 between observed and simulated measurement, normalized with the error standard deviation (weighted root
251 mean square error), defined in equation 15 reaches a value close to one,

$$\text{WRMSE} = \sqrt{\frac{\frac{1}{N} \sum_1^N (\mathbf{d} - f(\mathbf{m}^{\text{estimate}}))^2}{\sigma^2}}, \tag{15}$$

252 here N is the number of observations and σ is the absolute value of the error's standard deviation. If no
253 convergence is obtained, the inversion ends after 10 iterations.

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255 **3.2.1 Boundary condition at the pumping borehole**

256 Hydraulic tomography is simulated considering two different borehole boundary conditions: constant
257 rate (the borehole is being pumped with constant flow rate) and constant head (the head in the borehole is
258 kept constant). Note that the external boundary conditions do not change and are kept fixed. As an example,
259 the pumping rates for the field case with variance 4 are 2400, 4000, 1750, 5000, and 3800 (m³/day) for P1,
260 P2, P3, P4, and P5, respectively. The equivalent constant head borehole boundary conditions are 324, 340,
261 300, 329 and 336 (m) for P1, P2, P3, P4, and P5, respectively.

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263 **3.2.2 Variance of Y -field and number of observation points**
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265 The effect of the Y -field variance is investigated by considering four different variances (0.5, 1, 2 and
266 4). Furthermore, a different number of observation points are used to assess their impact on the final
267 inversion results. The observation points are distributed symmetrically in the aquifer. The minimum number
268 of observation points considered is the number of boreholes (4 observation points) and the maximum are
269 the boreholes and the observation points shown by asterisks in Figure 2 (32 observation points). We
270 distinguish between the number of observations and the number of observation points. For head and flux
271 data, the number of observation points and number of observations are the same. For joint inversion, the
272 number of observations is twice the number of observation points.

3.3 Performance Metrics

275 To evaluate each data type's performance in estimating Y , we use the Frobenius norm and scatter plots
276 of estimated versus reference Y for each case. The Frobenius norm for the vector of difference between the
277 reference Y and estimated Y is:

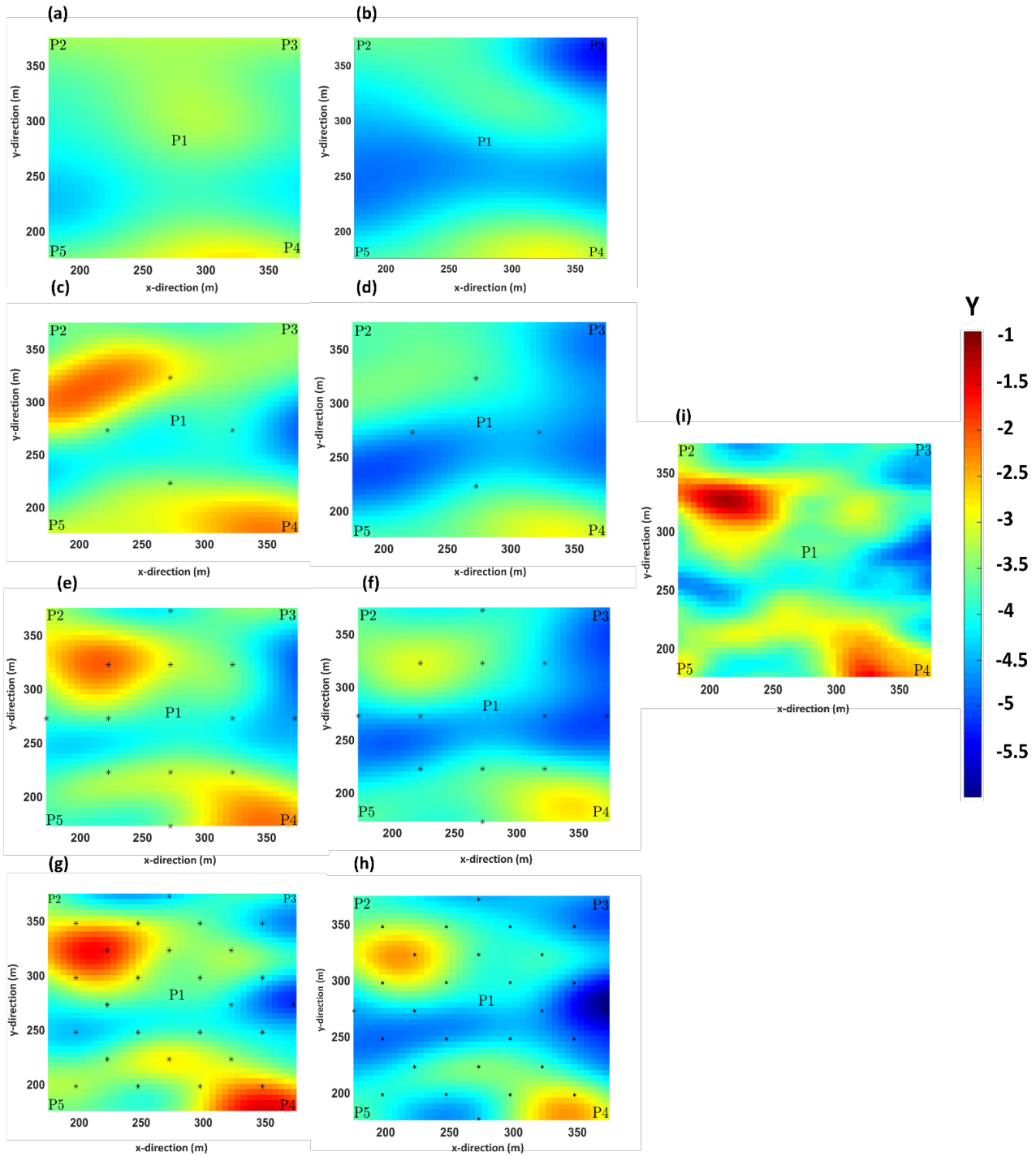
$$\text{Norm}^{\text{Fr}} = \sqrt{\sum_1^N |\mathbf{Y}_{\text{reference}} - \mathbf{Y}_{\text{estimated}}|^2}, \tag{16}$$

278 Furthermore, the correlation coefficient between reference Y and estimated Y -values and their
279 corresponding slope lines are calculated.

4. RESULTS

4.1 Inversion of head data

282 First, the head data are individually inverted. The results are presented for 4 observation points (only
283 the observations in the boreholes), 8, 16 and 32 observation points. For each case, two different borehole
284 boundary conditions are considered: constant rate and constant head. Figure 3 shows the estimated Y -field
285 with a variance of 4, and Table 1 represents the performance metrics.



287 **Figure 3:** Hydraulic conductivity field (variance 4) estimates from hydraulic head data: **(a)** inversion result
 288 for 4 observations point and constant rate B.C., **(b)** inversion result for 4 observations point and constant
 289 head B.C., **(c)** inversion result for 8 observations point and constant rate B.C., **(d)** inversion result for 8
 290 observations point and constant head B.C., **(e)** inversion result for 16 observations point and constant rate
 291 B.C., **(f)** inversion result for 16 observations point and constant head B.C., **(g)** inversion result for 32

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292 observation points and constant rate B.C., (h) inversion result for 32 observation points and constant head
293 B.C. (i) reference Y-field

294 **Table 1:** Performance metrics (in the area of interest) from the inversion of head data for the case of a Y-
295 variance of 4.

Variance	Boundary Condition	Number of observations	Frobenius norm	Correlation coefficient	Slope	Final WRMSE
4	Constant Rate	4	68.4	0.27	0.13	1.19
		8	48.27	0.75	0.62	1.05
		16	30.4	0.9	0.76	0.97
		32	23.47	0.94	0.95	1.1
	Constant Head	4	85.5	0.49	0.32	1.00
		8	75.15	0.68	0.48	0.96
		16	61.9	0.82	0.67	1.26
		32	54.90	0.9	0.93	1.23

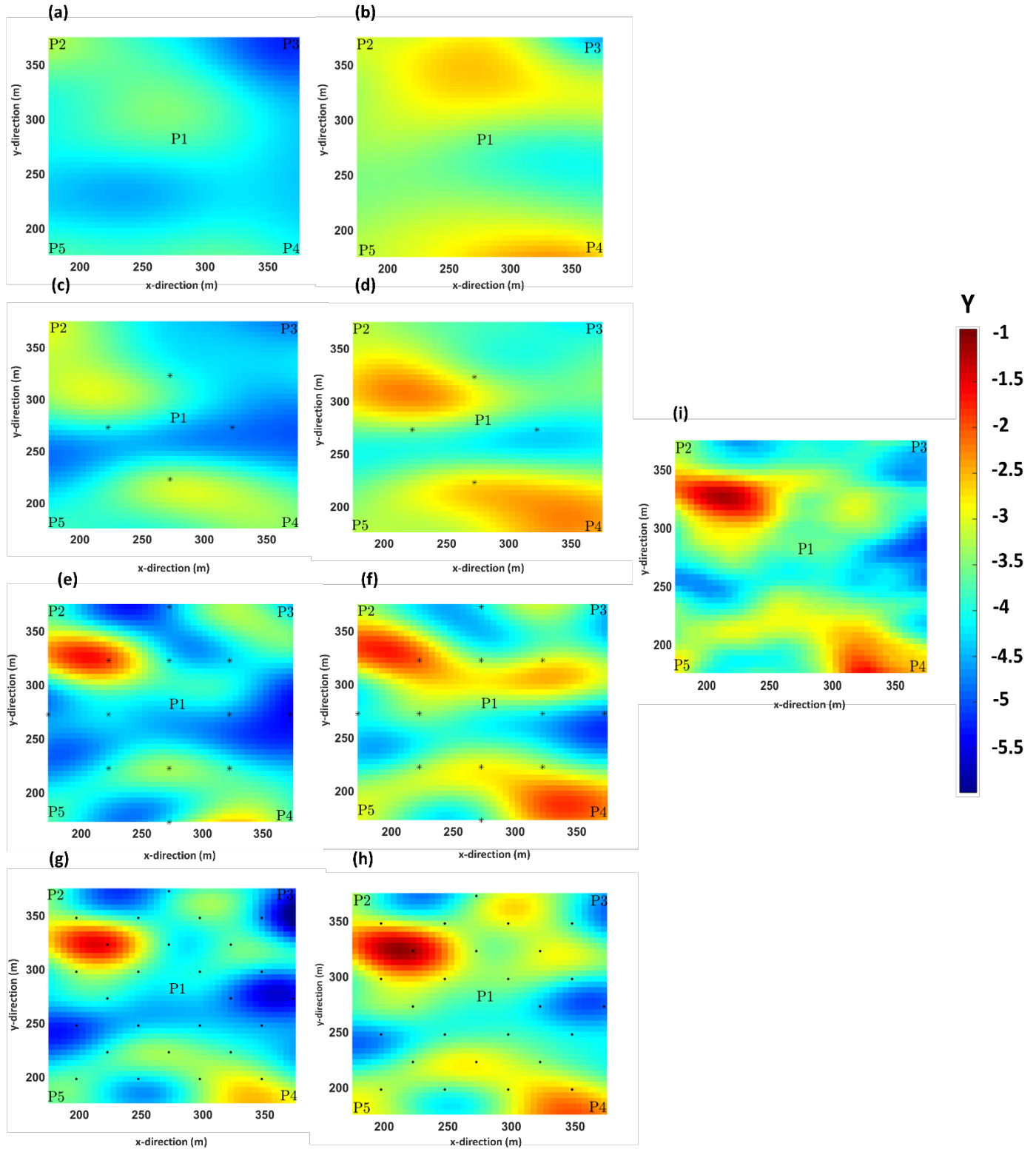
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297 For all cases, we find that changing the borehole boundary condition from constant rate to constant head
298 deteriorates the Y-field estimation. This is quantified by the fact that the Frobenius norm (Table 1) increases
299 from 68.4 to 85.5, 48.27 to 75.15, 30.4 to 61.9 and 23.47 to 54.90 for 4, 8, 16 and 32 observation points,
300 respectively. Comparing Figures 3(a) to 3(h) with the reference Y-field (Figure 3 (i)) also show that cases
301 with constant rate boundary conditions is visually closer to the reference Y-field. The use of constant head
302 borehole boundary condition results in an underestimation of Y-field values and the mean value of Y-field.
303 For instance, in the case of 4 observation points, the mean value of the estimated Y-field is around -4 for
304 constant head boundary condition while it is -3.45 for constant rate boundary condition. The mean value of
305 the reference Y-field is -3.57. Adding more observations leads to better results. This is reflected in the
306 improvement of the correlation coefficient from 0.27 to 0.94 for constant rate borehole boundary condition

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307 and from 0.49 to 0.93 for constant head boundary condition when adding observation points. Associated
308 increases in the slopes from 0.13 to 0.95 and from 0.32 to 0.93 for constant rate and constant head boundary
309 conditions further underline the previous statement.

310 **4.2 Inversion of flux data**

311 We now consider the results obtained by individual inversions of flux data for a *Y*-field variance of 4.
312 Figure 4(a) to (h) show the *Y*-field estimates for 4, 8, 16 and 32 observation points subjected to constant
313 rate and constant head borehole boundary conditions. Table 2 provides the corresponding performance
314 metrics.



315 **Figure 4:** Hydraulic conductivity field (variance 4) estimates from flux data: **(a)** inversion result for 4
 316 observations point and constant rate B.C., **(b)** inversion result for 4 observations point and constant head
 317 B.C., **(c)** inversion result for 8 observations point and constant rate B.C., **(d)** inversion result for 8
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observations point and constant head B.C., **(e)** inversion result for 16 observations point and constant rate B.C., **(f)** inversion result for 16 observations point and constant head B.C., **(g)** inversion result for 32 observation points and constant rate B.C., **(h)** inversion result for 32 observation points and constant head B.C., **(i)** reference Y -field

Table 2: Performance metrics (in the area of interest) from the inversion of flux data for the case of a Y -variance of 4.

Variance	Boundary Condition	Number of observations	Frobenius norm	Correlation coefficient	Slope	Final WRMSE
4	Constant	4	81.2	0.45	0.22	1.31
		8	65.61	0.76	0.56	1.19
		16	62.2	0.79	0.77	1.34
		32	53.6	0.9	0.90	2.12
	Head	4	64.53	0.53	0.29	1
		8	47.7	0.77	0.61	1
		16	44.72	0.8	0.81	0.95
		32	32.03	0.92	0.91	1.45

Contrary to head data, we find that constant head boundary conditions provide a better Y -field estimate when considering flux data. The better performance of the constant head (with respect to constant rate) boundary condition is seen, for instance, by comparing the values of the Frobenius norm given in Table 2. For the case of 4, 8, 16, and 32 observation points, the Frobenius norm decreases from 81.2 to 64.53, 65.61 to 47.7, 62.2 to 44.7, and from 50.51 to 32.03, respectively. Using constant rate boundary condition for the flux data results in an underestimation of the Y -field mean. Considering the case with 4 observation points, the estimated Y -field's mean value with the constant rate boundary condition is around -4 while it is around -3.4 for the constant head boundary condition.

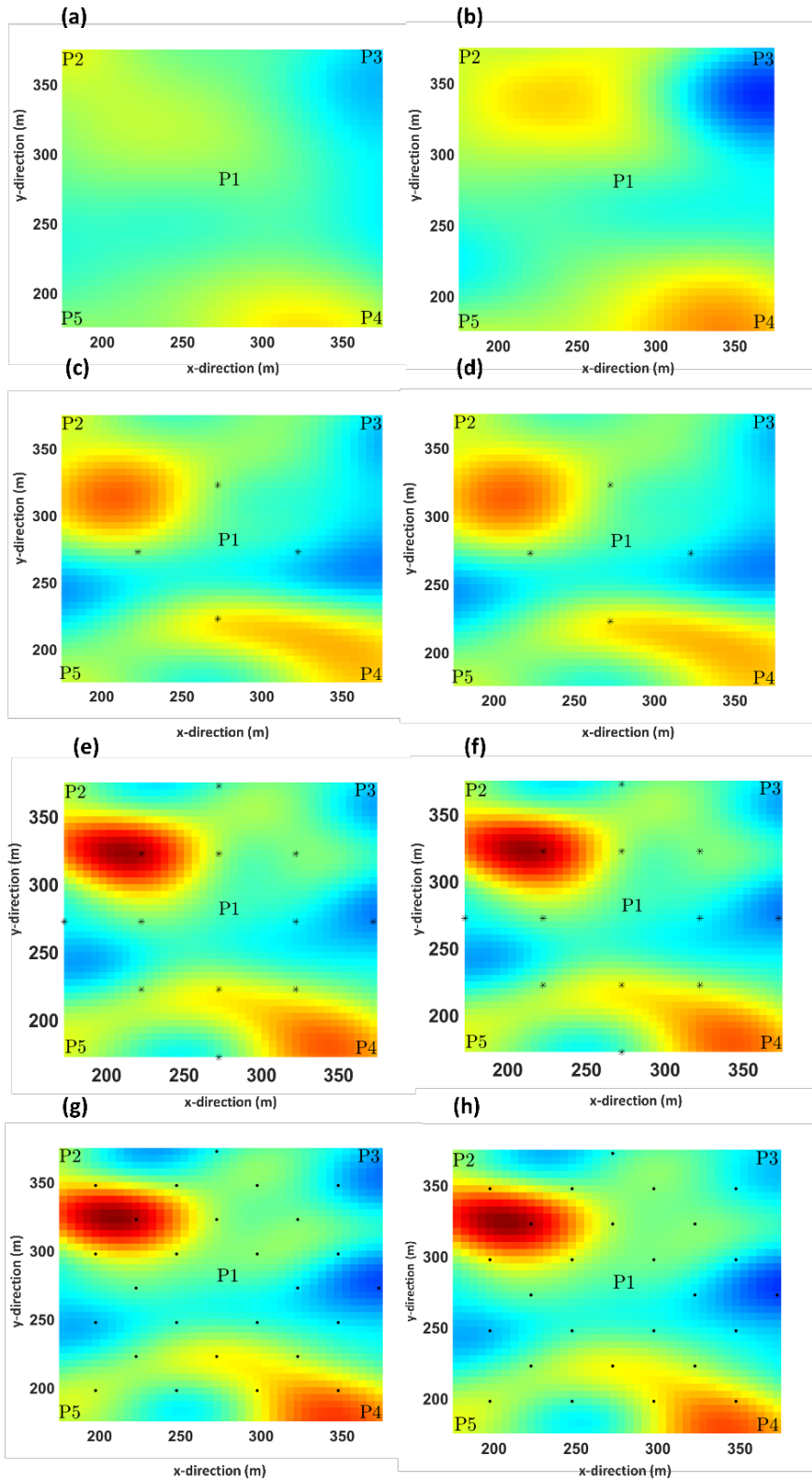
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335 Comparing the values of Frobenius norm for the head and flux data given in Table 1 and Table 2 reveals
336 that for a small number of observations (4 observation points), using flux data with constant head boundary
337 condition gives a better *Y*-field estimate compared to head data with constant rate boundary condition as
338 the Frobenius norm decreases from 68.4 to 64.53. This improvement is further supported by an increase in
339 the correlation coefficient from 0.2744 to 0.446 and slope increase from 0.127 to 0.22. For a larger number
340 of observations, the performance of the two data types is similar when considering their ideal boundary
341 conditions.

4.3 Joint Inversion of flux and head data

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344 The results obtained by joint inversion of flux and head data are provided in Figure 5 (a) to (h) that
345 show the *Y*-field estimate for 8, 16, 32, and 64 observations subjected to the constant head and constant rate
346 borehole boundary conditions. The inversion metrics are outlined in Table 3. It should be noted that we
347 have two measurements (head and flux) for each point shown leading to 64 observations for 32 observation
348 points for instance.

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350 **Figure 5:** Hydraulic conductivity field (variance 4) estimates from joint inversion: **(a)** inversion result for 4
 351 observations point and constant rate B.C., **(b)** inversion result for 4 observations point and constant head
 352 B.C., **(c)** inversion result for 8 observations point and constant rate B.C., **(d)** inversion result for 8
 353 observations point and constant head B.C., **(e)** inversion result for 16 observations point and constant rate
 354 B.C., **(f)** inversion result for 16 observations point and constant head B.C., **(g)** inversion result for 32
 355 observation points and constant rate B.C., **(h)** inversion result for 32 observation points and constant head
 356 B.C., **(i)** reference Y-field

357 **Table 3:** Performance metrics for joint inversion of head and flux data in the area of interest

Variance	Boundary Condition	Number of observations	Frobenius norm	Correlation coefficient	Slope	Final WRMSE
4	Constant Rate	8	51.8	0.7	0.34	0.8
		16	39.7	0.82	0.68	1.24
		32	24.44	0.94	0.92	2.25
		64	22	0.96	0.98	1.13
	Constant Head	8	53.97	0.64	0.51	1.1
		16	38.34	0.84	0.74	1.13
		32	27.38	0.93	0.92	1.5
		64	21.71	0.95	0.97	1.65

358
 359 The Frobenius norms for 8, 16, 32 and 64 observations are 51.8, 39.7, 24.44 and 22, respectively, when
 360 considering constant head borehole boundary conditions, while they are 53.97, 38.34, 27.38 and 21.71 for
 361 constant rate boundary condition. For the same number of observations, the Frobenius norms are very
 362 similar regardless of borehole boundary conditions. In contrast to individual inversions, this suggests that
 363 they do not significantly affect the results obtained by joint inversion.

364 The joint inversion results (Table 3) do not demonstrate any significant improvement compared to the
 365 individual inversions (Tables 1 and 2) when considering the same number of observations. For 8

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366 observations, the minimum Frobenius norm obtained for head, flux and joint inversion are 48.27, 47.7 and
367 51.8, respectively. For 16 observations, the minimum Frobenius norm obtained for head, flux and joint
368 inversion are 30.4, 44.72 and 38.34, respectively while it is 23.47, 32.03 and 24.44 for 32 observations.
369 When considering the same number of observation points, the joint inversion has twice as many
370 observations as the individual inversions. This leads to significantly better estimates of the hydraulic
371 conductivity field.

5. DISCUSSION

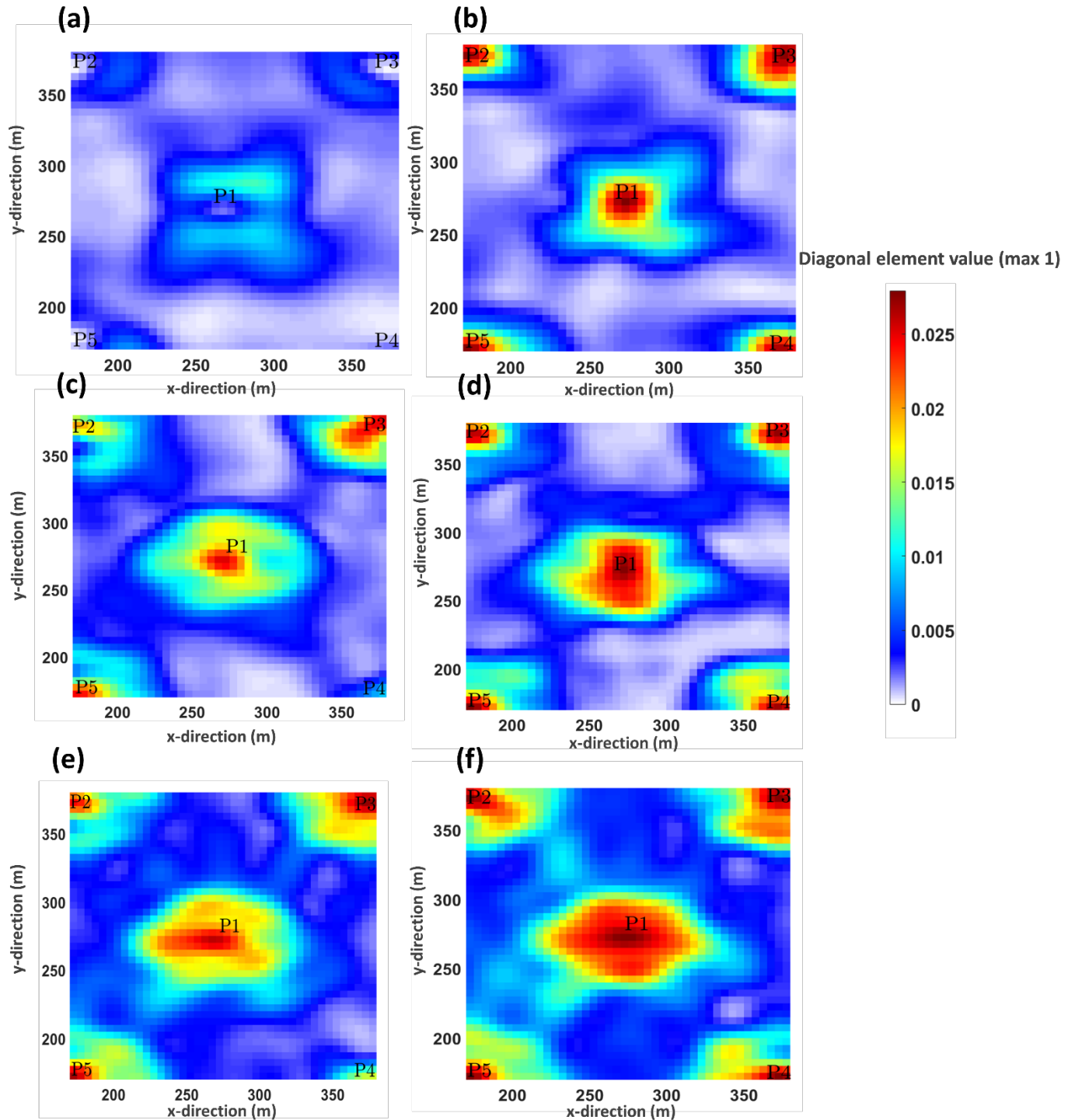
5.1 General findings

375 Considering the results of all 96 inversion scenarios considered, we find that inversion of flux data (with
376 appropriate borehole boundary condition) leads to better resolved Y -field estimates than when considering
377 head data particularly when a small number of observations are available. Furthermore, the quality of the
378 inversion results is strongly dependent on the type of boundary condition used in the borehole. The
379 performance metrics in Tables 1 and 2 suggest that it is more suitable to use constant rate borehole boundary
380 condition for head data and constant head borehole boundary condition for the flux data as reflected in
381 Frobenius norms' values. The reason is that if the observation is head data and the borehole boundary is set
382 to constant head, the model response (head) will have less sensitivity to change of Y -field values. The same
383 argument is also valid for the flux data.

384 The effect of the borehole boundary is essential for proper experimental design. The experimental
385 designs should ensure that once head data are intended to be used for the inversion, wells must be pumped
386 at a constant rate while for the inversion of the flux data, the head in the borehole should be kept fixed.
387 Other borehole boundary conditions lead to an underestimation of hydraulic conductivity values. However,
388 for the joint inversion of both data, the type of borehole boundary conditions does not play a significant
389 role.
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392 Tso et al. (2016) and Zha et al. (2014) found that joint inversion of head and flux data results in better
393 estimation of Y -fields in porous and fractured media compared to the head data. Here, we find that joint
394 inversion does not offer any advantage over the individual inversion of the flux and head data when
395 considering an equal number of observations and ideal borehole boundary conditions. Our results rather
396 suggest that, for a constant signal-to-noise-ratio, the inversion performance depends largely on the number
397 of observations. For a small number of observations, the flux data provides a superior Y -field estimate
398 compared to inversion of head data, while for the higher number of observations, all data types perform
399 similarly. However, if we would be able to measure flux and head data at the same location, then for the
400 same number of observation points, joint inversion of flux and head data provide better estimates of Y -field
401 as the number of observations are doubled. Furthermore, we demonstrated the importance of borehole
402 boundary conditions for hydraulic tomography experimental design when performing individual inversions.
403
404 A resolution analysis for the case of the variance of 4 and 4 measurement points demonstrates that flux data
405 can better resolve the hydraulic conductivity field compared to head data (Figure 6). Figure 6 shows the
406 diagonal elements of the resolution matrix (calculated in the final inversion iteration) for head data, flux
407 data, and joint inversion of both data are plotted on their corresponding blocks, respectively. Considering
408 the best Y -field estimates obtained for the head (constant rate boundary condition) and flux (constant head
409 boundary condition) data for calculating the resolution matrices, as shown in Figure 6 (a) and 6 (d), it can
410 be stated that model parameters (hydraulic conductivity values) are better resolved by flux data. This is
411 manifested by comparing both the values and coverage area of diagonal elements larger than 0.005. When
412 head data are used for the inversion, the degree of smoothing and averaging is higher compared to the case
413 in which the flux data are used. It is worth noting that using the constant head boundary condition for head
414 data can better resolve the Y -field heterogeneity structure than the constant rate boundary condition, even
415 though it underestimates the Y -field values. Comparing Figure 6 (a) and 6 (b) and the correlation coefficient
416 in Table 1 certifies this statement. The correlation coefficient increases from 0.27 to 0.49 when a constant
417 head boundary condition is used instead of a constant rate boundary condition.



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 419 **Figure 6:** Diagonal element of the resolution matrix for (a) Y-field obtained by inversion of head data (4
 420 observation points - borehole boundary is set to constant rate), (b) Y-field obtained by inversion of head
 421 data (4 observation points - borehole boundary is set to constant head), (c) Y-field obtained by inversion
 422 of flux data (4 observation points - borehole boundary is set to constant head), (d) Y-field obtained by
 423 inversion of flux data (4 observation points - borehole boundary is set to constant rate), (e) Y-field
 424 obtained by joint inversion of both data (4 observation points - borehole boundary is set to constant rate),

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425 (f) *Y*-field obtained by joint inversion of both data (4 observation points - borehole boundary is set to
426 constant rate).

427 5.2 The effect of number of observations and variance

428 Figures 7 (a) to (d) show the correlation coefficient (between estimated *Y*-field and reference *Y*-field)
429 versus the number of observations for different type of data and borehole boundary conditions. It is seen
430 that as the number of observations increases, the correlation coefficient also increases for all types of data
431 and boundary conditions. For a small number of observations, flux data are superior to head data. The
432 difference between the correlation coefficient of flux and head data is the strongest for a small number of
433 observations, while the difference gradually decreases as the number of observations increases and at a high
434 number of observations, they converge. This is a consequence of the decreasing distance between data
435 points as the number of observations increases, thereby decreasing the radius of averaging. The gains by
436 joint inversion for a prescribed number of observation points is that performance is independent of the
437 borehole boundary condition and we need half as many boreholes if we are able to measure head and flux
438 data at the same location.

439 The variance of the hydraulic conductivity field affects the final values of the correlation coefficient.
440 The higher the variance, the lower the correlation coefficient (especially for a small number of
441 observations), and also the more challenging it is to reach a WRMSE close to 1.
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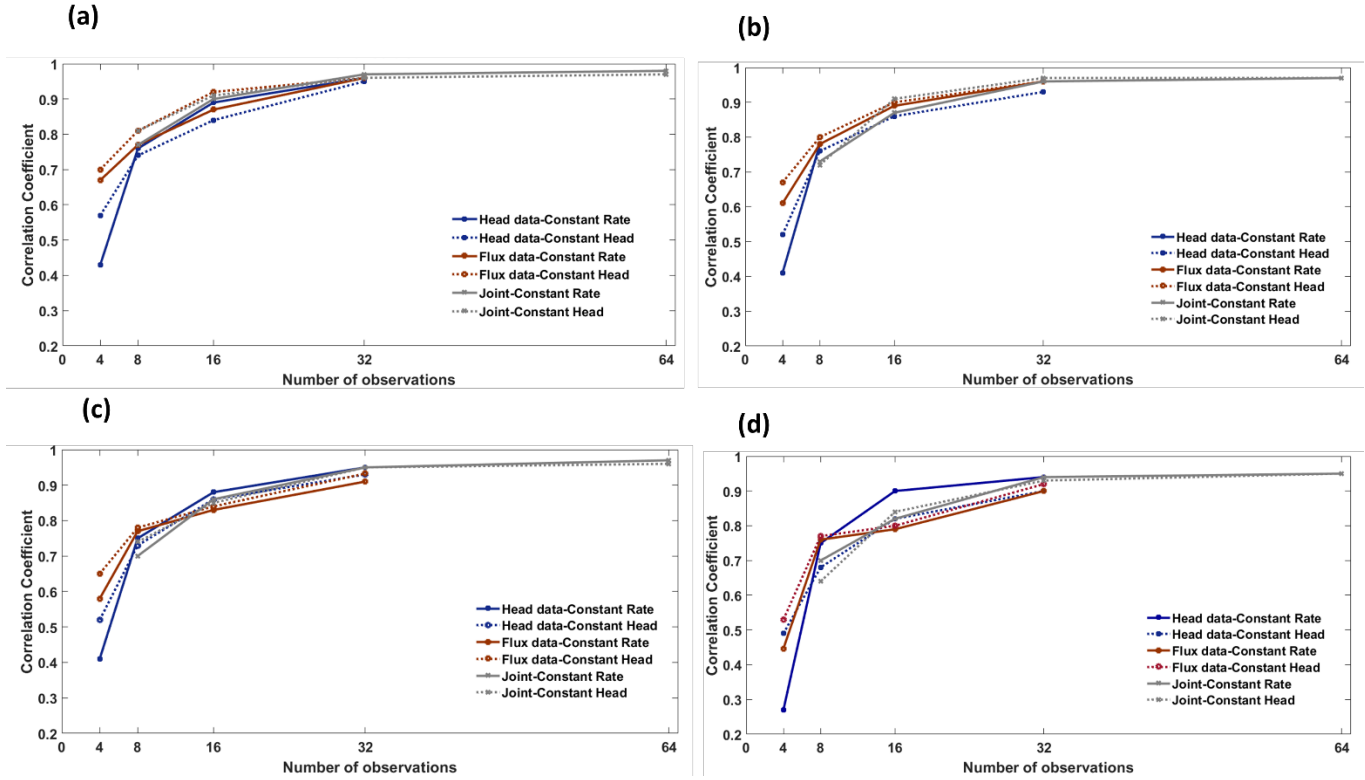


Figure 7: Correlation coefficient versus number of observations for reference hydraulic conductivity field with (a) variance=0.5, (b) variance=1 (c), variance=2 (d), variance=4. The Blue, red and gray color show the results for head data, flux data and joint inversion of both data, respectively. The data with constant rate borehole boundary condition is marked with solid line while the data with constant head borehole boundary condition is shown by the dashed line.

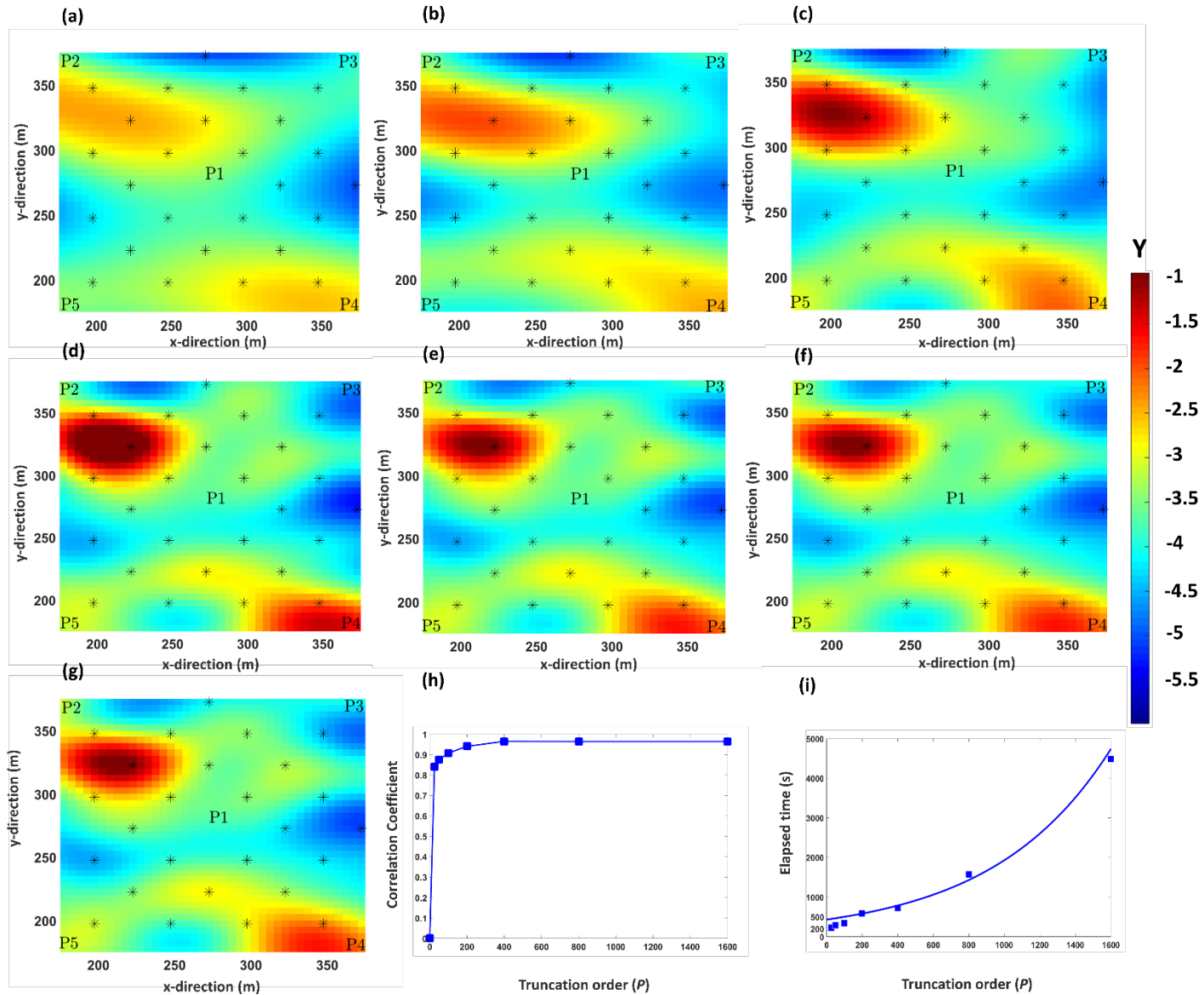
5.3 The effect of truncation order (P) on final inversion results

One of the inversion cases (variance of 4, 32 observation points, joint inversion of head and flux data) was chosen to investigate the effect of the truncation order (P) on the final inversion result. Inversions were performed using truncation orders of 25, 50, 100, 200, 400, 800, and 1600. The inversions were performed on a server with one Terabyte (1 Tb) memory, 4 processors (Intel Xeon CPU E7-4850 v4 @ 2.10 GHz) and 40 cores in parallel mode. Figure 8 shows the Y -field estimated for each P value, the effect on the correlation coefficient, and elapsed time for each geostatistical iteration. For a truncation order of 25, we capture an overly smooth version of the true model with a correlation coefficient of 0.84. By setting the truncation order to 50, 100, and 200, the correlation coefficient increases to 0.88, 0.91, and 0.94, respectively. The truncation order of 400 (used in our study) with a correlation coefficient of 0.96 is the point beyond which

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460 increasing the truncation order does not significantly improve the correlation coefficient. So, the truncation
461 order leads to improvement of Y -field reconstruction up to some points and after this point, it is only the
462 computational time that increases as the inversion performance is data limited. The computational time
463 increased exponentially for large P values. The right choice of P is critical to ensure sufficient
464 reconstruction of the hydraulic conductivity field while keeping the computational time low. The truncation
465 order should be chosen based on the degree of heterogeneity and the computational resource available. It
466 would help perform inversion using different numbers of principal components to ensure the proper choice
467 of the number of principal components.

468



469
 470 **Figure 8:** Estimated Y-field for truncation order of (a) 25, (b) 50, (c) 100, (d) 200, (e) 400, (f) 800, (g) 1600.
 471 (h) Correlation coefficient versus truncation order, (i) elapsed time per one iteration versus truncation
 472 order

473
 474 **5.4 Implications for field implementations**

475 Our results highlight the added value of using the flux data individually or jointly with head data in
 476 hydraulic tomography to achieve an enhanced reconstruction of the hydraulic conductivity field compared
 477 to using head data alone. This improvement is particularly pronounced when considering a small number
 478 of observations, a more likely setting for field applications. However, using only flux data requires setting

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479 the borehole boundary condition to constant head, which is feasible (using pumps whose rates are controlled
480 with water level) but would be more challenging than pumping at a constant rate during the field
481 experiments. However, measuring the flux data during pumping (with constant rate) and joint inversion of
482 both data would be quite feasible and removes the limitation of the borehole boundary condition. Moreover,
483 if one could measure the head and flux data at the same location, by doubling the number of observations,
484 the Y -field estimate would be significantly improved. The potential application of FO cables for pressure
485 measurement is discussed by Bulter et al. (1999) and a recent application for drawdown measurements
486 during pumping tests is demonstrated by Tiedeman and Barrash (2020).

487 The results presented in this paper are only valid for steady-state hydraulic tomography. Transient
488 hydraulic tomography would probably result in better reconstruction of hydraulic conductivity field
489 estimation and boundary conditions would probably not play a role anymore.

6. CONCLUSIONS

490 We used a numerical model representing a one-layer heterogeneous aquifer along with a geostatistical
491 inversion approach (PCGA) to assess the information content of head and flux data. We varied the
492 observation type, the number of observation points, the hydraulic conductivity variance (with the same field
493 structure) and the borehole boundary conditions. For a small number of observation points, we find that
494 flux data produced a better Y -field compared to head data. When increasing the number of observation
495 points and using appropriate borehole boundary conditions, the effect of the data type vanishes, and all
496 converge to the same results as the sampling distance between points becomes smaller. For the same number
497 of observation points, if we are able to measure the head and flux data at the same location, joint inversion
498 of head and flux data provides an improved estimate compared to the individual inversion of head or flux
499 data due to the doubling of the number of observations. This means that the head and flux data measured at
500 the same location provide complementary information. The type of borehole boundary conditions used in
501 the tomography and modeling affects the inversion results. The appropriate boundary condition for head
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503 and flux data is constant rate and constant head, respectively, while joint inversion performance is
504 independent of the boundary type. Inappropriate selection of borehole boundary conditions may result in
505 an underestimation of the Y -field values. Measuring flux data during a hydraulic tomography experiment is
506 now feasible, especially for shallow sandy aquifers where active Distributed Temperature Sensing, can be
507 deployed using direct push method to install the fiber optic cables into the sediments. Since the inversion
508 is particularly sensitive to the number of measurements, groundwater flux measurements by active DTS
509 can be particularly useful since it may provide a large number of measurements thanks to the high spatial
510 resolution of fiber optic temperature measurements. Moreover, it can be also particularly useful in aquifers
511 where the head drop due to the pumping is small, but there may be high groundwater fluxes. This should
512 lead to interesting developments of hydraulic tomography experiments in the near future.

7. ACKNOWLEDGMENTS

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CRediT authorship statement

Behzad Pouladi: Writing - original draft, Writing - review & editing, Methodology, Conceptualization, Software, Formal analysis, Investigation. **Niklas Linde:** Conceptualization, Methodology, Supervision, Writing, Supervision, Writing - original draft, Writing - review & editing. **Laurent Longuevergne:** Supervision. **Olivier Bour:** Writing - review & editing, Conceptualization, Writing - review & editing.

DECLARATION OF COMPETING INTEREST

The authors declare that they have no known competing financial interests or personal relationships that could have influenced the work reported in this paper.

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Declaration of interests

The authors declare that they have no known competing financial interests or personal relationships that could have appeared to influence the work reported in this paper.

The authors declare the following financial interests/personal relationships which may be considered as potential competing interests:

CRedit authorship statement

Behzad Pouladi: Writing - original draft, Writing - review & editing, Methodology, Conceptualization, Software, Formal analysis, Investigation. **Niklas Linde:** Conceptualization, Methodology, Supervision, Writing, Supervision, Writing - original draft, Writing - review & editing. **Laurent Longuevergne:** Supervision. **Olivier Bour:** Writing - review & editing, Conceptualization, Writing - review & editing.