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#### **Key Points:**

- · An analytical curve was established to depict the spatial variability of mean annual baseflow based on the Budyko "limit" framework
- · The curve directly relates aridity index and storage capacity (Sp) to estimate baseflow and shows dominant control of Sp in humid catchments
- The developed curve performed well with observed data from 950 catchments located in the Australia, CONUS and UK

#### **Supporting Information:**

Supporting Information may be found in the online version of this article.

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## An Analytical Baseflow Coefficient Curve for Depicting the Spatial Variability of Mean Annual Catchment **Baseflow**

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**Abstract** Catchment baseflow is jointly controlled by climate and landscape properties. Previous studies have recognized that spatial variability of mean annual baseflow coefficient (BFC =  $Q_b$  / P, ratio of baseflow to precipitation) is primarily controlled by aridity index and storage capacity. However, an analytical solution of BFC in terms of the dominant controlling factors has not yet been established. The objective of this study was to develop an analytical BFC curve to depict spatial variability of BFC based on the "limit" concept of the Budyko framework. The BFC curve relates the baseflow coefficient to aridity index and storage capacity without resolving complex interactions between evapotranspiration and baseflow generation. The proposed BFC curve showed that, in the arid catchments, baseflow coefficient was primarily limited by available water (precipitation, P) and, in the humid catchments, was jointly controlled by both the available energy (potential evapotranspiration,  $E_p$ ) and catchment retention capability (ratio of catchment storage capacity to P, i.e.,  $S_p/P$ ). Observed hydrological data from 950 catchments in Australia, the conterminous United States and the United Kingdom with diverse hydroclimatic conditions (BFC = 0.001-0.650) were collected to demonstrate the capability of the developed curve. Results showed that the BFC curve captured the spatial variability of observed BFC in the 950 study catchments ( $R^2 = 0.75$ , RMSE = 0.058). Mean annual baseflow estimated by the BFC curve agreed well with observed baseflow ( $R^2 = 0.86$ , RMSE = 0.19 mm). The developed analytical curve provides an analytical solution for understanding how aridity index and storage capacity control mean annual catchment baseflow, and will improve predictability of baseflow at ungauged basins.

### 1. Introduction

Baseflow  $(Q_h)$  is the portion of streamflow that comes from groundwater and other delayed sources, and generally sustains river flows during dry periods (S. Cheng et al., 2020; Hall, 1968; Wu et al., 2019). Understanding how baseflow varies spatially with changing climate and landscape properties is crucial for dealing with various water resource management issues related to water quantity and quality such as sustaining aquatic habitats (Fan et al., 2013; Poff et al., 1997), water supply (Kelly et al., 2019; W. Xu et al., 2021), diluting pollution from wastewater (Male & Ogawa, 1984; Smakhtin, 2001), etc. At the mean annual scale, there is a general consensus that the spatial variability of baseflow is controlled by climate and catchment properties, including precipitation, potential evapotranspiration, soil, geology, topography, and vegetation (Mcdonnell et al., 2007). However, the identified dominant factors controlling baseflow have been different in different studies. These factors include precipitation and potential evapotranspiration (Ahiablame et al., 2013; Beck et al., 2013; Peña-Arancibia et al., 2010; Van Dijk, 2010), geology, topography, and soil properties (Bloomfield et al., 2009; Brandes et al., 2005; Gebert et al., 2007; Jolánkai & Koncsos, 2015; Longobardi & Villani, 2008; Rumsey et al., 2015; Singh et al., 2019), and vegetation (L. Cheng et al., 2017; Huseby Karlsen et al., 2016). A universal method for explaining the underlying mechanisms of climate and physiography that control the spatial variability of baseflow is still lacking (Price, 2011).

Catchment storage capacity plays a major role in how much precipitation will be partitioned into baseflow, especially in humid catchments (Gnann et al., 2019). In humid catchments with saturation-excess

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mechanisms, storage capacity determines how much precipitation becomes surface runoff  $(Q_s)$  or soil wetting retention (Milly, 1994; Sankarasubramanian & Vogel, 2002; Yokoo et al., 2008). For catchment with small retention capability, storage capacity can be easily and frequently filled up and become saturated, with a larger fraction of precipitation quickly becoming runoff as saturated surface flow to the stream and lesser baseflow generated (Hahm, Rempe et al., 2019). However, very few studies have used the storage capacity to directly depict the spatial variability of baseflow. Aridity index (AI, commonly embedded in the Budyko (1958, 1974)) is generally considered to be the dominant control on hydrological partitioning, while catchment storage capacity is usually regarded as being much less important (Abatzoglou & Ficklin, 2017; Trancoso et al., 2016; X. Xu et al., 2013). Wang and Wu (2013) attempted to use aridity index as a first order controlling factor on baseflow, assuming that baseflow coefficient (i.e., BFC =  $Q_b / P$ ) has similar behavior as the total flow coefficient (i.e., TFC = Q/P). Neto et al. (2020) also reported that the spatial variability of baseflow can be captured using an exponential function of aridity index only. Based on a data set that included humid catchments in the United Kingdom, Gnann et al. (2019) recognized that storage capacity was as important as aridity index and was a first-order control on spatial variability of BFC in humid catchments. In Gnann et al. (2019), the numerical solution of BFC derived from the Ponce-Shetty model (Ponce & Shetty, 1995; Sivapalan et al., 2011) was too complex to aid understanding of the upper limit control of storage capacity on baseflow generation. Except Wang (2018) proposed an analytical expression of total runoff as a function of storage capacity and wetness, a simple equation to directly relate storage capacity to mean annual baseflow estimation has not yet been found (Neto et al., 2020).

The spatial variability of mean annual total flow can be well formulated by the Budyko framework (Budyko, 1974; Fu, 1981; Good et al., 2017; Shen et al., 2017; Yang et al., 2007; L. Zhang et al., 2004). The "limit" concept of the Budyko framework is a useful tool for dealing with spatial variability issues as it provides two theoretical upper bounds under equilibrium conditions (Calder, 1998; Good et al., 2017; L. Zhang et al., 2008). The Budyko framework shows that, under very dry conditions, evapotranspiration  $(E_a)$ is limited by available water supply (P), and under very wet conditions,  $E_a$  is limited by available energy demand  $(E_p)$ . However, a similar framework that incorporates the "limit" of storage capacity to show the spatial variability of baseflow has not been reported in the literature (Neto et al., 2020). Most of the previous studies that have attempted to depict the spatial variability of BFC usually partitioned precipitation into baseflow using two-step methods in terms of temporal runoff generation processes following rainfall events at the point scale, such as the Lvovich approach (Lvovich, 1979) and the Ponce-Shetty model (Ponce & Shetty, 1995; Sivapalan et al., 2011). The two-step partitioning methods must detangle the interactions amongst  $E_a$ ,  $Q_{s_2}$  and  $Q_b$  both temporally (step-by-step at the annual or monthly scale) and spatially (between catchments). These methods consider baseflow and evapotranspiration as complementary components partitioned from soil wetting, and results in the controlling factors for baseflow to be complex and unclear (Gnann et al., 2019; Sivapalan et al., 2011; Tang & Wang, 2017). L. Zhang et al. (2008) suggested that the "limit" concept for total flow (Q) (i.e., Budyko framework) could be extended to depict the surface flow  $(Q_s)$ generation between catchments by introducing storage capacity as another theoretical boundary. It is well known that mean annual catchment  $Q_b$  can be estimated by subtracting  $Q_s$  from Q (i.e.,  $Q_b/P = Q/P - Q_s/P$ ). If the "limit" hypothesis for  $Q_s$  proposed by L. Zhang et al. (2008) is valid, then the combination of the Budyko framework for Q/P and the extended Budyko framework for  $Q_s/P$  can relate  $Q_b/P$  to climatic factors and storage capacity. We can thus focus only on spatial variability without having to resolve complex interactions between evapotranspiration and baseflow generation.

To depict the spatial variability of baseflow, an analytical framework (i.e., BFC curve) was developed by combining the Budyko framework (for Q/P) and the extended Budyko framework (for  $Q_s/P$ ) that accounts for the dominant controls of both aridity index and storage capacity on baseflow coefficient (BFC). Observed hydro-meteorological data for 950 catchments across Australia, the conterminous United States, and the United Kingdom with a wide range of climatic and physiographical conditions are collected to test the capability of the proposed BFC curve. Furthermore, catchment storage capacity is inferred from the Ponce-Shetty model due to the lack of directly observed values. The primary objectives of this study were to (1) determine if storage capacity is as important to baseflow as aridity index is; (2) develop an analytical BFC curve to depict the spatial variability of baseflow by directly relating storage capacity and aridity index to baseflow estimation; (3) examine the capability of the developed BFC curve using observed baseflow coefficients for 950 study catchments.





**Figure 1.** Schematic diagram of Budyko framework for partitioning mean annual precipitation (*P*) into actual evapotranspiration ( $E_a$ ) and runoff based on the "limit" concept.  $E_p$  is potential evapotranspiration.

### 2. Derivation of Baseflow Coefficient Curve

#### 2.1. "Limit" Concept in Budyko Framework

The Budyko framework can partition long-term precipitation into runoff (Q) and actual evapotranspiration ( $E_a$ ) by considering only the dominant controls of water supply (typically P) and energy demand (typically  $E_p$ ) on  $E_a$  (Budyko, 1958; L. Cheng et al., 2011; Good et al., 2017). As shown in Figure 1, the "limit" concept (the fundamental theory of the Budyko framework) places two theoretical limit boundaries on  $E_a$  (Good et al., 2017; L. Zhang et al., 2008). Mathematically, the "limit" concept can be expressed as:

$$E_a / P \to 1$$
 as  $E_p / P \to \infty$  (for very dry conditions) (1)

$$E_a \to E_p \quad \text{as } E_p / P \to 0 \quad \text{(for very wet conditions)}$$
(2)

that is, under very dry conditions when evapotranspiration is limited by water supply,  $E_a$  will approach P; and under very wet conditions when evapotranspiration is limited by energy demand,  $E_a$  will asymptotically approach  $E_p$ .

The "limit" concept for evapotranspiration can be appropriately applied to catchment rainfall retention (*CR*). When catchment *P* is partitioned into  $Q_s$  and *CR* (i.e.,  $P = Q_s + CR$ ), L. Zhang et al. (2008) proposed that *CR* satisfies the extended "limits" concept, and is defined as:

$$CR / P \to 1$$
 as  $CR_0 / P \to \infty$  (for very dry conditions) (3)

$$CR \to CR_0$$
 as  $CR_0 / P \to 0$  (for very wet conditions) (4)

where the demand limit for *CR* is *CR*<sub>0</sub> (the sum of soil storage capacity  $S_p$  and potential evapotranspiration  $E_p$ ). The supply limit for *CR* is considered to be *P*. *CR*<sub>0</sub>/*P* is analogous to Budyko's aridity index ( $E_p/P$ ).

#### 2.2. Derivation of BFC Curve Based on the "Limit" Concept

An analytical framework (i.e., BFC curve) was developed in this study to depict the spatial variability of mean annual catchment baseflow. Based on the "limit" concept, both runoff coefficient (Q/P) and surface flow coefficient ( $Q_s/P$ ) can be derived using the Budyko framework. As shown in Figure 2, baseflow coefficient ( $Q_b/P$ ) is calculated as the difference between Q/P and  $Q_s/P$ .

Q/P can be calculated from  $E_a/P$  (i.e.,  $Q/P = 1-E_a/P$ ) under equilibrium conditions, that is, when storage change can be neglected. Based on the "limits" concept,  $E_a/P$  is calculated using the equation proposed by Fu (1981) (see Figure 1), which is one of the analytical models for estimating mean annual evapotranspiration (L. Zhang et al., 2004). Assuming that  $E_a/P$  satisfies a Budyko curve with a parameter  $a_1$ , Fu's equation can be expressed as:

$$\frac{E_a}{P} = 1 + \frac{E_p}{P} - \left[1 + \left(\frac{E_p}{P}\right)^{a_1}\right]^{1/a_1}$$
(5)

When change in catchment water storage can be neglected, one can obtain:

$$\frac{Q}{P} = -\frac{E_p}{P} + \left[1 + \left(\frac{E_p}{P}\right)^{a_1}\right]^{na_1}$$
(6)

1/-





**Figure 2.** Schematic diagram showing partitioning baseflow  $(Q_b)$  from precipitation (P) combining first step and second step partitioning at the mean annual scale based on the "limit" concept.  $E_a$  is actual evapotranspiration,  $E_p$  is potential evapotranspiration, Q is total flow,  $Q_b$  is baseflow,  $Q_s$  is surface flow, W is catchment wetting,  $S_p$  is storage capacity,  $a_1$  and  $a_2$  are parameters.

where  $a_1$  is a parameter representing the joint control of other secondary climatic and landscape properties on evapotranspiration efficiency. Parameter  $a_1$  ranges from 1 to  $\infty$ . A higher  $a_1$  indicates a larger evapotranspiration efficiency (i.e., higher actual evapotranspiration and lower runoff for a given precipitation and potential evapotranspiration condition).

 $Q_s/P$  is calculated as a function of catchment rainfall retention fraction (*CR*/*P*) (i.e.,  $Q_s/P = 1 - CR/P$ ). Similar to the calculation of  $E_a/P$ , the calculation of *CR*/*P* also uses the Budyko formulation proposed by Fu (1981) based on the "limit" concept (see Equations 3 and 4). Assuming that *CR* satisfies the Budyko curve with parameter equal to  $a_2$ , the mathematic equation for estimating *CR*/*P* is:

$$\frac{CR}{P} = 1 + \frac{E_p + S_p}{P} - \left[1 + \left(\frac{E_p + S_p}{P}\right)^{a_2}\right]^{\mu a_2}$$
(7)

Then,  $Q_s/P$  is calculated from 1-CR/P, expressed as:

$$\frac{Q_s}{P} = -\frac{E_p + S_p}{P} + \left[1 + \left(\frac{E_p + S_p}{P}\right)^{a_2}\right]^{1/a_2}$$
(8)

where  $a_2$  is a parameter representing the joint control of all other secondary climatic and landscape properties (except for storage capacity  $S_p$ ) on retention efficiency. A larger  $a_2$  value will result in more rainfall retention and less surface runoff. As stated earlier,  $S_p$  is effective catchment storage capacity, defined as the maximum water volume that a catchment can hold after rainfall events (McNamara et al., 2011; Pan et al., 2020).

Combining Equations 6 and 8,  $Q_b/P$  can be calculated from  $Q/P-Q_s/P$  as:

$$\frac{Q_b}{P} = \frac{S_p}{P} + \left[1 + \left(\frac{E_p}{P}\right)^{a_1}\right]^{1/a_1} - \left[1 + \left(\frac{E_p + S_p}{P}\right)^{a_2}\right]^{1/a_2}$$
(9)

Under very limited storage capacity conditions (for instance, an impervious catchment), the available water for baseflow generation approaches 0, and baseflow also approaches 0, that is,





**Figure 3.** Visualization of the developed baseflow coefficient curve (i.e., Equation 11): (a) 3-dimensional state space and (b) 2-dimensional  $Q_b/P$  versus  $E_p/P$  space in which  $S_p/P$  is left as a parameter. Subregions (a–c) in panel (a) represent different catchment conditions. Note that the color of the state space has no meaning, but is provided for better visualization.  $Q_b$  is baseflow, P is precipitation,  $E_p$  is potential evapotranspiration,  $S_p$  is storage capacity.

$$Q_h / P \to 0 \qquad \text{as } S_n / P \to 0 \tag{10}$$

Therefore, when  $E_p + S_p/P$  approaches  $E_p/P$  (i.e.,  $S_p/P \rightarrow 0$ ),  $Q_s/P$  should approach Q/P to make  $Q_b/P \rightarrow 0$  (see Figure 2). To satisfy this boundary condition, parameter  $a_1$  has to be equal to parameter  $a_2$ . Thus Equation 9 can be written as:

$$\frac{Q_b}{P} = \frac{S_p}{P} + \left[1 + \left(\frac{E_p}{P}\right)^{\alpha}\right]^{1/\alpha} - \left[1 + \left(\frac{E_p + S_p}{P}\right)^{\alpha}\right]^{1/\alpha}$$
(11)

where  $\alpha$  is a new lumped parameter, reflecting the secondary controls of other climatic and landscape properties on long-term baseflow generation. These other properties include vegetation, slope, elevation, and soil infiltration capacity, etc.  $\alpha$  ranges from 1 to  $\infty$ . This simplification has a limitation that  $a_1$  and  $a_2$  reflect joint control of secondary climatic and landscape properties on Q/P and  $Q_s/P$ , respectively. The simplification  $a_1 = a_2$  is adopted in this study to satisfy the boundary condition (i.e., Equation 10) and to obtain a simple formulation to be shown in 3D space as in Figure 3a. Furthermore, the influence of the simplification  $a_1 = a_2$  on the shape of the BFC curve is unnoticeable because both  $a_1$  and  $a_2$  reflect the secondary controls on baseflow. The influence of  $\alpha$  on baseflow coefficient will be discussed in Section 5.3.

The BFC curve specifies that  $Q_b/P$  is a function of aridity index  $(E_p/P)$  and  $S_p/P$ , where  $S_p/P$  is defined as the retention index. The sum of  $E_p/P$  and  $S_p/P$  represents catchment capability to retain mean annual precipitation for baseflow and evapotranspiration. P,  $E_p$ , and  $S_p$  are the dominant factors that determine how much precipitation will be partitioned into baseflow.

#### 2.3. Visualization of the Developed BFC Curve

Figure 3a shows the 3-dimensional (3D) state space of the developed BFC curve (Equation 11). Catchment aridity index  $(E_p/P)$  and the retention index  $(S_p/P)$  have opposite effects on how much precipitation becomes baseflow at mean annual scale. BFC decreases nonlinearly with increasing  $E_p/P$ , but increases nonlinearly with increasing  $S_p/P$ . The joint controls of  $E_p/P$  and  $S_p/P$  are demonstrated using several BFC curves in Figure 3a. Figure 3b shows the projection of 3D BFC curves into  $Q_b/P$  versus  $E_p/P$  2-dimensional (2D) space, and clearly shows the influence of  $S_p/P$  on catchment BFC. The 2D BFC curves in Figure 3b are similar to the shape of the Budyko curves for Q/P and  $Q_b/P$  (both decreasing with increasing  $E_p/P$ ). The difference is that BFC curves have different values when  $E_p/P$  approaches 0. For curves with very large re-





**Figure 4.** Sensitivity of baseflow coefficient (BFC =  $Q_b / P$ ) to the dominant control factors: (a) the sensitivity to aridity index ( $E_p/P$ ) and (b) the sensitivity to retention index ( $S_p/P$ ). Note that the color of the state space has no meaning but is provided for better visualization. *P* is precipitation,  $E_p$  is potential evapotranspiration,  $S_p$  is storage capacity.

tention index (e.g.,  $S_p/P = 6.0$ ), BFC approaches 1.0 when  $E_p/P = 0$ , and then decreases with increasing  $E_p/P$ . BFC for curves with very small retention index (e.g.,  $S_p/P = 0.2$ ) are much smaller than 1.0 when  $E_p/P = 0$ . The different shapes of BFC curves indicate that the controls of aridity index and retention index on BFC are different across different catchment conditions.

Basically, the state space of the BFC curve can be divided into three subregions, that is, (a–c) regions in Figure 3a, according to the relative importance of the three limits  $(P, E_p, \text{ and } S_p)$  on BFC across different conditions. Subregion (a) represents the precipitation-limited condition with small P and large  $E_p$  ( $E_p/P \ge 1.0$  as suggested by Fu, 1981). Subregion (b) represents the energy-limited condition with small  $E_p$ , large P, and large  $S_p$  ( $E_p/P < 1.0$ ,  $S_p/P \ge 5.0$ , note that the sensitivity of BFC to  $S_p/P$  is equal to 0 when  $S_p / P = 5.0$  [see Figure 4b]). Subregion (c) represents the combination of energy- and storage-capacity-limited conditions with small  $E_p$ , small  $S_p$ , and large P ( $E_p/P < 1.0$ ,  $S_p/P < 5.0$ ). In the precipitation-limited and energy-limited conditions in subregions (a and b),  $E_p/P$  has a much more dominant influence than  $S_p/P$  on BFC. In subregion (c), baseflow is jointly controlled by energy and storage capacity, and both  $S_p/P$  and  $E_p/P$  have significant impacts on BFC.

The impacts of  $E_p$  and  $S_p$  in subregion (c) can be further demonstrated by the sensitivity of BFC to  $E_p/P$  and  $S_p/P$  (see Figure 4). BFC is sensitive to changes in  $E_p/P$  at low  $E_p/P$ , and sensitivity increases with increasing  $S_p/P$  (Figure 4a). BFC is sensitive to changes in  $S_p/P$  only at low  $E_p/P$  and low  $S_p/P$  conditions (Figure 4b). At low  $E_p/P$  and low  $S_p/P$  conditions (i.e., subregion (c)), the response of BFC to both  $E_p/P$  and  $S_p/P$  indicates that both  $E_p$  and  $S_p$  are important for depicting the spatial variability of BFC in humid catchments.

From Figures 3 and 4, it can be seen that aridity index is the dominant control on BFC in all conditions, while retention index has significant impact on BFC only in humid catchments with small retention index where typically  $E_p/P < 2.0$  and  $S_p/P < 2.0$ . Mean annual catchment baseflow is determined by three first order controls, water supply *P*, energy demand  $E_p$  and catchment storage capacity  $S_p$ . When  $S_p$  is smaller than *P*,  $S_p$  can be easily and frequently saturated for baseflow generation. Under this condition, a large fraction of *P* runs off quickly to the stream as surface flow rather than baseflow. Compared with the first order controls of *P* and  $E_p$  in the Budyko framework, the introduction of  $S_p$  as a first order factor as important as *P* and  $E_p$  for baseflow generation is the fundamental characteristic of the BFC curve.

#### 3. Catchments and Data

Daily hydrological and meteorological data from a total of 950 catchments were used to test the capability of the developed analytical baseflow coefficient curve. These 950 catchments were located in Australia (n = 443), the conterminous United States (n = 372), and the United Kingdom (n = 135).

#### 3.1. Australian Catchments and Data

Long-term daily precipitation, potential evapotranspiration and streamflow data of 443 un-nested catchments in Australia were obtained. Data for these catchments are part of the Australia unregulated catchment data set (Y. Zhang et al., 2013) with minimum instances of human interference (i.e., without dams, intensive irrigation, and land use change). Daily catchment precipitation and potential evapotranspiration were aggregated from the 5 km gridded data set. Gridded daily meteorological data including precipitation, temperature, solar radiation and vapor pressure were provided by the Australian Bureau of Meteorology (BoM) (http://www.bom.gov.au/climate/data/). Gridded potential evaporation was calculated by the Priestley-Taylor equation (Priestley & Taylor, 1972) using BOM meteorological data and 5 km monthly albedo data created using 1 km resolution MODIS albedo data (https://modis.gsfc.nasa.gov/). The collected precipitation, streamflow and potential evapotranspiration data in Australia span over the period of 1975–2012. All the catchments have a minimum length of 20-years records with at least 10-years continuous records and less than 10% missing data in total. The drainage area ranged from 48 to 72,902 km<sup>2</sup>. These 443 catchments have a broad range of hydrological characteristics. The average precipitation is 948 mm  $\pm$  413 (mean  $\pm$  standard deviation), aridity index is 1.76  $\pm$  1.01, runoff coefficient is 0.19  $\pm$  0.15, and baseflow coefficient is 0.06  $\pm$  0.07.

#### 3.2. Conterminous United States Catchments and Data

A total of 372 catchments from the conterminous United States (CONUS) were used in this study, which are obtained from the Model Parameter Estimation Experiment (MOPEX) data set (Duan et al., 2006). Daily precipitation, potential evapotranspiration and streamflow data of these 372 catchments are collected, spanning the period of 1943–2003. The daily precipitation data sets were developed by the NWS Hydrology Laboratory (HL) based on rain gauge data from the National Climate Data Center (NCDC) (http://www.ncdc.noaa.gov/). The climatic potential evaporation data was derived from the NOAA Freewater Evaporation Atlas (Farnsworth et al., 1982), using the Penman method (Penman, 1948). The fraction of precipitation falling as snow of the selected catchments is no larger than 0.2 to avoid the influence of snow on baseflow separation. The drainage area of the study catchments varied from 67 to 10,375 km<sup>2</sup>. The selected catchments cover all major geological and climate regions in the CONUS. The average precipitation is 1,038 mm  $\pm$  335 (mean  $\pm$  standard deviation), aridity index is 1.07  $\pm$  0.64, runoff coefficient is 0.35  $\pm$  0.17, and baseflow coefficient is 0.15  $\pm$  0.09.

#### 3.3. United Kingdom Catchments and Data

The 135 selected catchments in the United Kingdom are part of the UK Benchmark Network (UKBN2) (Harrigan et al., 2018). Hydro-meteorological data for these catchments was obtained from different sources. Daily precipitation data were obtained from the Center for Ecology & Hydrology–Gridded Estimates of Areal Rainfall (GEH-GEAR) (Tanguy et al., 2016). Daily streamflow data and catchment boundaries were obtained from the website of National River Flow Archive (NRFA, 2019). Daily potential evapotranspiration data were obtained from the Climate Hydrology and Ecology Research Support System–Potential Evapotranspiration (GHESS-PE) (E. L. Robinson et al., 2017). The potential evapotranspiration were calculated using the Penman-Monteith equation for well-watered grass but a correction is added for interception on days where rainfall has occurred (Penman, 1948). Daily *P* and  $E_p$  data were at 1-km resolution and covered the period of 1986–2015 without any missing data. Available streamflow data length for these 135 catchments ranged from 24 to 87 years. The study period for the 135 catchments in the UK were all in humid climatic conditions. The fraction of precipitation falling as snow of the selected UK catchments is no larger than 0.2. The average precipitation of all United Kingdom catchments is 1,254 mm  $\pm$  582 (mean  $\pm$  standard deviation), aridity index is 0.51  $\pm$  0.22, runoff coefficient is 0.59  $\pm$  0.23, and baseflow coefficient is 0.25  $\pm$  0.14.

#### 3.4. Baseflow Separation

Daily baseflow  $(Q_b)$  and surface flow  $(Q_s)$  are separated from daily total streamflow (Q) using a digital filter technique, that is, the Lyne-Hollick (denoted as LH) method (Lyne & Hollick, 1979). Different digital filter techniques have no significant influence on the annual and mean annual estimation of  $Q_b$  and  $Q_s$  (L. Cheng

et al., 2012, 2016; Kelly et al., 2019; Tan et al., 2020; J. Zhang et al., 2017). The LH method has the advantage of being minimally parameterized, and thus is easily applied to a large sample of catchments (Jolánkai & Koncsos, 2015). Here the LH method was applied in a traditional way, that is, baseflow was separated from total flow with three passes (forward, backward, and forward) and the filter parameter  $f_1$  was set to 0.925 as suggested by Nathan and McMahon (1990). Daily  $Q_b$  and  $Q_s$  were aggregated to the annual and mean annual scales as observed  $Q_b$  and  $Q_s$ . Catchment baseflow coefficient (BFC) is calculated as the ratio of mean annual  $Q_b$  to mean annual P, that is, BFC =  $Q_b/P$ .

#### 3.5. Estimation of Effective Storage Capacity S<sub>p</sub>

Equation 11 has four parameters for estimation of mean annual catchment baseflow coefficient (BFC). One is a synthetic parameter (i.e.,  $\alpha$ ), and the other three have explicit physical meanings (i.e., P,  $E_p$ , and  $S_p$ ). Pand  $E_p$  can be derived directly from long-term meteorological data, however,  $S_p$  is currently not available (Han et al., 2020). In this study, catchment effective storage capacity  $S_p$  was inferred from the process-based annual Ponce-Shetty model (Ponce & Shetty, 1995). This model is based on the two-stage partitioning theory of Lvovich (1979) that was later reintroduced by Sivapalan et al. (2011). The Ponce-Shetty model describes how precipitation is stored and released through the two-stage partitioning processes. The parameter wetting potential ( $W_p$ ) in the Ponce-Shetty model was used to represent effective catchment storage capacity.  $W_p$  can well discriminate the difference in  $S_p$  between catchments in the following application and demonstration of Equation 11.

The two-stage partitioning theory partitions annual precipitation (*P*) into three components: surface flow ( $Q_s$ ), baseflow ( $Q_b$ ), and actual evapotranspiration ( $E_a$ ). In the first stage, *P* is partitioned into  $Q_s$  and catchment wetting (*W*). In the second stage, *W* is further partitioned into  $Q_b$  and  $E_a$ . In the first stage partitioning,  $P=Q_s+W$ :

$$P < \lambda_s W_p, Q_s = 0, W = P \tag{12}$$

$$P < \lambda_s W_p, Q_s = \frac{\left(P - \lambda_s W_p\right)^2}{P + \left(1 - 2\lambda_s\right)W_p}, W = P - \frac{\left(P - \lambda_s W_p\right)^2}{P + \left(1 - 2\lambda_s\right)W_p}$$
(13)

$$P \to \infty, Q_s \to P - W_p, W \to W_p$$
 (14)

In the second stage partitioning,  $W = Q_b + E_a$ :

$$W < \lambda_u V_p, Q_b = 0, E_a = W \tag{15}$$

$$W > \lambda_u V_p, Q_b = \frac{\left(W - \lambda_u V_p\right)^2}{W + \left(1 - 2\lambda_u\right)V_p}, E_a = W - \frac{\left(W - \lambda_u V_p\right)^2}{W + \left(1 - 2\lambda_u\right)V_p}$$
(16)

$$W \to \infty, Q_b \to W - E_a, E_a \to V_p$$
 (17)

where  $W_p$ ,  $V_p$ ,  $\lambda_s$ , and  $\lambda_u$  are four parameters.  $W_p$  and  $V_p$  are the upper bounds on W and  $E_a$ , and are referred as the wetting and evapotranspiration potentials of a catchment, respectively. A higher value of  $W_p$  usually means a larger catchment storage capacity. A higher  $V_p$  usually means a larger potential evaporation rate.  $\lambda_s$  represents the proportion of P that must satisfy W before  $Q_s$  can occur.  $\lambda_u$  represents the proportion of Wthat must be used to satisfy  $E_a$  before baseflow  $Q_b$  can occur.  $\lambda_s$  and  $\lambda_u$  are coefficients related to the generation of surface flow and baseflow and have a range of  $0 < \lambda_s$ ,  $\lambda_u < 1$ . The closer that  $\lambda_s$  and  $\lambda_u$  approach 1.0, the more difficult it is for a catchment to generate surface flow and baseflow, respectively.

 $W_p$ ,  $V_p$ ,  $\lambda_s$ , and  $\lambda_u$  in the Ponce-Shetty model were calibrated in every catchment using an automatic optimization technique (Genetic Algorithm (GA)) (Grefenstette, 1986) to maximize the Nash-Sutcliffe efficiency (Nash & Sutcliffe, 1970) of annual surface flow (NSE<sub>1</sub>) and annual baseflow (NSE<sub>2</sub>), stage by stage. Annual  $Q_b$  and  $Q_s$  derived in Section 3.4 were used to calibrate annual parameters for the Ponce-Shetty model.  $W_p$ and  $\lambda_s$  were calibrated for the first stage by maximizing NSE<sub>1</sub> between "observed"  $Q_s$  separated from total streamflow using the LH method and  $Q_s$  simulated by the Ponce-Shetty model.  $V_p$  and  $\lambda_u$  for the second stage were calibrated by maximizing the NSE<sub>2</sub> between "observed"  $Q_b$  derived from the LH method and  $Q_b$ simulated by the Ponce-Shetty model. The influence of  $W_p$  on the partitioning process gives us insight into the control of storage capacity on the spatial variability of baseflow (Gnann et al., 2019). Therefore, the calibrated values of  $W_p$  for every catchment were further used to represent different magnitudes of catchment storage capacity (i.e.,  $S_p$ ) in the proposed method.

#### 4. Validation of the Proposed BFC Curve

#### 4.1. Maps of Flow Metrics and Catchment Climatic and Storage Attributes

Figure 5 shows the spatial distribution of observed total flow coefficient (TFC = Q / P) (Figure 5a), baseflow coefficient (BFC =  $Q_b / P$ ) (Figure 5b), aridity index (AI =  $E_p / P$ ) (Figure 5c) and retention index ( $S_p/P$ ) (Figure 5d) across Australia, the conterminous United States, and the United Kingdom. Generally, BFC and TFC exhibited similar spatial patterns with higher values in the UK, lower values in Australia, and high variability in the CONUS. In Australia, the average TFC and BFC were  $0.19 \pm 0.15$  (mean  $\pm$  standard deviation) and  $0.06 \pm 0.07$ , respectively. Basically, BFC and TFC increased from inland to coastal catchments, especially in the southeast region within mainland Australia. In contrast, this was not the case for Western Australia, where BFC was relatively small even for the catchments close to the coast. In the CONUS, the average TFC and BFC were 0.35  $\pm$  0.17 and 0.15  $\pm$  0.09, respectively. Generally, TFC and BFC were smaller in the central and southeastern coastal regions than in other regions of the CONUS. TFC and BFC of most catchments located in the central CONUS were lower than 0.25 and 0.10, respectively. TFC and BFC became larger in the western CONUS. In the UK, the average TFC and BFC values were  $0.58 \pm 0.23$  and  $0.25 \pm 0.14$ , respectively. Generally, TFC and BFC were smaller on the southeastern coast of the UK than in other regions. Except for the southeastern coast, TFC and BFC of most catchments were higher than 0.49 and 0.25, respectively. These results show that TFC and BFC are spatially distinct across catchments with different climate and landscape properties.

Generally, Aridity index (AI) was relatively smaller across the United Kingdom (humid region) than across the other two countries. Spatial variability of AI for CONUS catchments was greater than for the other two countries. The average AI in Australia, the CONUS, and the UK was  $1.76 \pm 1.01$  (mean  $\pm$  standard deviation),  $1.07 \pm 0.63$ , and  $0.51 \pm 0.22$ , respectively. The retention index ( $S_p/P$ ) for the UK catchments were smaller than observed for the catchments in Australia and the CONUS.  $S_p/P$  showed no obvious spatial pattern for any of the three study countries. Generally, baseflow coefficient (BFC) and aridity index (AI) had oppositional spatial patterns across Australia and the CONUS. That is, higher AI values usually corresponded to lower BFC and vice versa (see Figures 5b and 5c). However, this oppositional spatial pattern was not obvious across the United Kingdom.

## 4.2. Joint Control of Aridity Index and Retention Index on Spatial Variability of Catchment Baseflow

Figure 6 shows scatter plots of total flow coefficient (Q/P) versus aridity index  $(E_p/P)$  (Figure 6a), as well as baseflow coefficient  $(Q_b/P)$  versus aridity index  $(E_p/P)$  (Figure 6b) for all 950 study catchments. Q/P decreases with the increases of  $E_p/P$ , falling relatively close to a single Budyko curve as expected. In contrast,  $Q_b/P$ did not always decrease with increasing  $E_p/P$ , and exhibited especially high variability in humid catchments located in the UK. Budyko curves (see Equation 6) were fitted for Q/P and  $Q_b/P$  by maximizing Nash-Sutcliffe efficiency (NSE; Nash & Sutcliffe, 1970) with parameter *a* equal to 2.6 and 6.9, respectively. Compared with NSE for observed Q/P and Budyko-simulated Q/P (0.81), the NSE of  $Q_b/P$  degraded remarkably (-0.76). This suggests that the Budyko curve was incapable of capturing the spatial variability of baseflow, especially the humid catchment located in the UK (see Figure S1). As interpreted by Gnann et al. (2019), the high variability of BFC in humid catchments shown in Figure 6b can be attributed to differences in catchment retention index  $S_p/P$ , indicating the influence of  $S_p/P$  on baseflow generation.





**Figure 5.** Spatial distribution of flow metrics and catchment attributes across Australia, the conterminous United States, and the United Kingdom: (a) total flow coefficient (TFC), (b) baseflow coefficient (BFC), (c) aridity index (AI), and (d) retention index ( $S_p/P$ ). Note that the color scales of maps (a–d) are different. Note that the map scales are not the same in order to have better visualization.



**Figure 6.** Plots relating flow coefficients to aridity index: (a) mean annual runoff coefficient (Q/P) versus aridity index ( $E_p/P$ ) and (b) mean annual baseflow coefficient ( $Q_b/P$ ) versus aridity index ( $E_p/P$ ) across Australia (green circle), the conterminous United States (red circle), and the United Kingdom (blue circle). The black lines are the fitted Budyko curves with parameter  $\alpha$  equal to 2.6 and 6.9, respectively. Q is total flow,  $Q_b$  is baseflow, P is precipitation,  $E_p$  is potential evapotranspiration.

As shown in Figure 7, scatterplots of observed  $Q_b/P$  versus  $E_p/P$  for all 950 catchments can be separated into three groups according to the magnitude of the surrogate retention index  $(S_p/P)$  (i.e.,  $S_p/P \le 1.0$ ,  $1.0 < S_p/P \le 3.0$ , and  $S_p/P > 3.0$ ). The three separate point clouds demonstrate the great influence of  $S_p/P$  on  $Q_b/P$ . The point cloud with lowest  $S_p/P$  values exhibited lower BFC values (Figure 7a) and vice versa (Figure 7c).  $E_p/P$  and  $S_p$  jointly determined the spatial variability of catchment baseflow. Basically, 2D  $Q_b/P$  versus  $E_p/P$  BFC curves with different  $S_p/P$  values (similar lines shown in Figure 3b) can capture the observed BFC of the catchments (i.e., scatter points) in the three subplots of Figure 7. These results demonstrate that the joint control of aridity index and retention index on spatial variability of baseflow observed from catchment data can be depicted by the BFC curve proposed in this study.

#### 4.3. Estimation of Baseflow Using Proposed BFC Curve

The 3-dimensional BFC curve (Equation 11) was used to estimate mean annual catchment BFC and baseflow. Aridity index ( $E_p/P$ ) and retention index ( $S_p/P$  equal to  $W_p/P$ ) of catchments are known values, and parameter  $\alpha$  in Equation 11 was calibrated for each catchment using Genetic Algorithm (GA) (Grefenstette, 1986). The distribution of calibrated catchment  $\alpha$  values is shown in the inset panel of Figure 8a. Because of the wide range of  $\alpha$  values (1.0–4.0), the BFC curve using  $\alpha$  fixed at 2.5 (i.e., median value of the range 1.0–4.0) cannot accurately model the observed BFC for all 950 catchments (Figure 8a). Thus, the 950 catchments were separated into three groups according to the calibrated  $\alpha$  values, and shown in Figure 8b ( $\alpha = 1.0-1.3$ , 430 catchments), Figure 8c ( $\alpha = 1.31-3.0$ , 170 catchments), and Figure 8d ( $\alpha = 3.01-4.0$ , 350 catchments).  $\alpha$  values for the BFC curves were fixed at mean values of  $\alpha$  for the three groups (i.e., 1.16, 1.77, and 3.83, respectively) to model catchment baseflow in the three separated groups shown in Figures 8b–8d, respectively. The state space for the three BFC curves appeared to cover the scatterplots of observed BFC well.

The simulated baseflow metrics using the BFC curve with  $\alpha$  equal to 1.16, 1.77, and 3.83 were compared with the observed baseflow metrics in Figures 9a and 9b. The BFC curve estimated mean annual BFC and  $Q_b$  reasonably well compared with the observations. The coefficients of determination ( $R^2$ ) and root mean square errors (RMSE) between the observed and simulated BFC were 0.75 and 0.058, respectively. The BFC curve also performed well in modeling  $Q_b$ , with  $R^2$  and RMSE values of 0.86 and 0.19 mm, respectively. Furthermore, the BFC curve significantly improved the accuracy of  $Q_b/P$  and  $Q_b$  estimation compared with the  $Q_b/P$  and  $Q_b$  directly estimated by Budyko framework. Determination of Budyko parameter was consistent





**Figure 7.** Scatterplots of observed baseflow coefficient (BFC =  $Q_b / P$ ) versus aridity index ( $E_p/P$ ) for 982 study catchments in Australia, the conterminous United States, and the United Kingdom. Each point represents one catchment at the mean annual scale. Three distinct point clouds separated by different ranges of  $S_p/P$  are presented, with (a)  $S_p/P \le 1.0$ , (b)  $1.0 < S_p/P \le 3.0$ , and (c)  $S_p/P > 3.0$ . The black lines in the figures are projected bidimensional BFC curves.

with that of BFC curve. The Budyko framework performed worse than the BFC curve with lower  $R^2$  of 0.40 and 0.65 (Figure 9c), as well as larger RMSE of 0.087 and 0.30 mm for  $Q_b/P$  and  $Q_b$  estimation, respectively (Figure 9d). Figure 9 demonstrates that the proposed BFC curve determined in this study can accurately estimate mean annual catchment BFC and  $Q_b$ .

#### 5. Discussion

#### 5.1. Different Control of Storage Capacity on $Q_b$ and $E_a$

Previous studies have reported the significant influence of storage capacity on hydrological partitioning (Donohue et al., 2012; Hahm, Dralle, et al., 2019; Shen et al., 2017). From a process-based perspective in the Ponce-Shetty model, storage capacity has a persistent effect on catchment wetting and catchment wetting simultaneously influences both baseflow and evapotranspiration. However, the influence of storage capacity on mean annual baseflow or spatial variability of baseflow are much more significant than the influence on evapotranspiration (Gnann et al., 2019; Neto et al., 2020). The different impact of storage capacity on  $Q_b$  and  $E_a$  can be well reflected in the BFC curve and the Budyko curve. In the Budyko framework, storage capacity is not a dominant controlling factor. Aridity index is the dominant factor controlling evaporation. For the baseflow coefficient, Equation 11 suggests that both the storage capacity and aridity index can affect baseflow significantly.

Although the structure of Ponce-Shetty model structure shows that storage capacity plays important roles in both baseflow and evaporation generation, the sensitivity analysis of the Ponce-Shetty model proves that storage capacity plays more important roles on  $Q_b$  than  $E_a$ . Figure 10 shows the sensitivity of  $Q_b$  and  $E_a$  to  $W_p$  in the Ponce-Shetty model. The relative changes of  $Q_b$  and  $E_a$  were calculated with the fitted parameter  $W_p$  changing by 40% (form -20% to 20%) in the 950 catchments.  $Q_b$  was much more sensitive to  $W_p$  than  $E_a$ , with the average relative change of  $Q_b$  being 35.4%  $\pm$  31.0% (mean  $\pm$  standard deviation) and the average relative change of  $E_a$  being 7.4%  $\pm$  4.5% for all 950 study catchments. The relative change of  $Q_b$  was 3.9  $\pm$  1.7 times larger than that of  $E_a$ . The much higher sensitivity of  $Q_b$  to  $W_p$  than  $E_a$  to  $W_p$  suggests that the influence of storage capacity on  $Q_b$  was much more important than the influence of storage capacity on  $E_a$ . It is reasonable that storage capacity is considered

as a dominant control factor for  $Q_b$  in the BFC curve and a secondary control factor for  $E_a$  in the Budyko curve.

#### 5.2. Advantages of Proposed Method for Estimating Long-Term Baseflow Coefficient

An important finding of this study is that the concise formulation of the BFC curve (Equation 11) can directly relate storage capacity to baseflow estimation. The simple but robust BFC curve mainly benefitted from the "limit" concept without detangling the complex interactions between evapotranspiration and baseflow generation temporally. Compared with conceptual models (e.g., the Ponce-Shetty model), the simple formulation of the BFC curve has advantages related to understanding how storage capacity affects baseflow.

Although the Ponce-Shetty model can represent detailed hydrologic processes and explicitly describe the controls of catchment properties on hydrological functions (Gentine et al., 2012; Potter et al., 2005), the complex numerical solution of BFC (Equation A1) based on the Ponce-Shetty model limits its practical application to explain the spatial variability of baseflow (Sivapalan et al., 2011; L. Zhang et al., 2001). Figure 11 shows the upscaled Ponce-Shetty model (described in the Appendix) at the mean annual scale to





**Figure 8.** 3D plots of observed baseflow coefficients (BFC =  $Q_b / P$ ) versus aridity index ( $E_p/P$ ) and retention index ( $S_p/P$ ): (a) all catchments and (b–d) catchments separated according to the value of parameter  $\alpha$ . Each point represents one catchment at the mean annual scale. Lines are BFC curves with parameter  $\alpha$  equal to (a) 2.5; (b) 1.16; (c) 1.77; and (d) 3.83. The inset panel (a) shows the distribution of calibrated catchment parameter  $\alpha$ .

explain the spatial variability of observed BFC. The plot of observed BFC versus rescaled (see Appendix for description of rescaling) aridity index  $(\widetilde{V_p} / \tilde{P})$  (Figure 11) is very similar to the BFC versus  $E_p/P$  plot (Figure 6). To some extent, the scatter points in Figures 11a can be roughly separated by rescaled precipitation ( $\tilde{P}$ ). However, the plots cannot be separated by rescaled vapourization potential ( $\widetilde{V_p}$ ) (Figures 11b). Essentially, the Ponce-Shetty model can symmetrically depict spatial variability in mean annual water balance (between-catchments) and temporal variability at the annual time scale (Gnann et al., 2019; Harman et al., 2011; Sivapalan et al., 2011). Regarding the spatial variability of mean annual catchment BFC, the upscaled Ponce-Shetty model at mean annual scale is too complex for explaining the spatial variability of mean annual baseflow because the rescaled aridity index ( $\widetilde{V_p} / \tilde{P}$ ) is a synthesis of several factors including observed hydro-climate fluxes and four fitted parameters.

#### 5.3. Secondary Controls on Proposed BFC Curve

The dominant controls of P,  $E_p$ , and  $S_p$  were explicitly accounted for in the proposed BFC curve.  $\alpha$  in the proposed BFC curve represented the integrated secondary controls of catchment properties on the catchment





**Figure 9.** Scatterplots of observed and simulated baseflow metrics by baseflow coefficient curves (shown in Figure 8) and Budyko framework for 950 study catchments in Australia, the conterminous United States, and the United Kingdom: (a) baseflow coefficient (BFC =  $Q_b / P$ ) estimated by BFC curve, (b) baseflow ( $Q_b$ ) estimated by BFC curve, (c)  $Q_b/P$  estimated by Budyko framework, and (d)  $Q_b$  estimated by Budyko framework.

BFC. The larger the  $\alpha$  value, the steeper the slope of the BFC curve. This means larger BFC in humid catchments and smaller BFC in arid catchments. For catchments with different properties, the value of  $\alpha$  can be different. Figure 12 shows the spatial distribution of  $\alpha$  calibrated in Section 5.3. Obvious spatial patterns of  $\alpha$  can be seen across Australia and the conterminous United States. Basically,  $\alpha$  was smaller on the southeast coast of Australia and became larger in western and northern Australia.  $\alpha$  clearly increased from coastal to inland catchments in southeastern Australia. In the CONUS,  $\alpha$  in western catchments had high variability. In the central CONUS,  $\alpha$  had high values and became smaller in the eastern CONUS. In the UK,  $\alpha$  for most catchments was small with  $\alpha$  of 91.9% UK catchments smaller than 2.0.

The influences of all other secondary controlling factors are synthesized in parameter  $\alpha$ , including intra-annual climate variability, soil, vegetation, and topography. Ahiablame et al. (2013) found that basin drainage area and open water bodies in the watershed were positively correlated with baseflow. Longobardi and Villani (2008) pointed out that permeability index influenced baseflow generation. Singh et al. (2019) evaluated the influence of catchment elevation, rain days, and upstream average slope on baseflow. It is essential to investigate the impact of the second controlling roles on  $\alpha$ . The relationships between  $\alpha$  and climate and landscape properties are also very important for advancing our understanding about the BFC curves, and





**Figure 10.** Boxplots of sensitivity of partitioning components ( $Q_b$  and  $E_a$ ) to  $W_p$  using the Ponce-Shetty model. The *y*-axis values are the relative changes of  $Q_b$  and  $E_a$  with  $W_p$  changing by 40% (-20% to 20%). The lower and upper box boundaries indicate the 25th and 75th percentiles. The line inside the box indicates the median.  $Q_b$  is baseflow,  $E_a$  is evapotranspiration,  $W_p$  is wetting potential.

these relationships will be explored in the future with more data (Daly et al., 2019; Xing et al., 2018; X. Xu et al., 2013).

#### 5.4. Implications of the Proposed BFC Curve

The assessment of the impacts of climate and vegetation changes on catchment water balance has a long tradition in hydrology. The Budyko framework has been widely used for analyzing the sensitivity of mean catchment water yield to the changes in aridity index, its individual components, and/or the lumped parameter (Roderick & Farquhar, 2011; Wang & Hejazi, 2011). Catchment baseflow can also be altered significantly by changing climate and vegetation (Ayers et al., 2019; Ficklin et al., 2016). Several studies have attempted to quantify the impact of climate and vegetation changes on baseflow through paired-catchment data (L. Cheng et al., 2017) and statistical analysis (Ahiablame et al., 2017; Tan et al., 2020; Trancoso et al., 2017). There is no analytical tool that can be used for such assessment, except for an exponential function of aridity index for baseflow modeling proposed by Meira Neto et al. (2020). However, this proposed method did not account for the control of storage capacity on baseflow, and the method was only tested using the conterminous United States catchments without considering the humid catchments in

the United Kingdom. In this study, the proposed BFC curve was used for similar procedures as the Budyko framework, assessing the effects of climate change and storage capacity changes on spatial differences in baseflow and direct flow spatially. This method will likely prove valuable for studies of the effects of climate change on groundwater resources.

### 6. Conclusions

In this study, an analytical framework (i.e., baseflow coefficient curve; Equation 11), was developed to explain the spatial variability of baseflow coefficient (i.e., BFC =  $Q_b / P$ ) using hydroclimatic data for 950 catchments across Australia, the conterminous United States, and the United Kingdom. By expressing BFC as a function of aridity index ( $E_p/P$ ) and retention index ( $S_p/P$ ), the BFC curve demonstrated that BFC decreased nonlinearly as  $E_p/P$  increased, and BFC increased nonlinearly as  $S_p/P$  increased. The BFC curve also



**Figure 11.** Scatterplots of observed baseflow coefficient (BFC =  $Q_b / P$ ) versus rescaled aridity index ( $\widetilde{V_p} / \widetilde{P}$ , see Ponce-Shetty model, Appendix) for 982 study catchments in Australia, the conterminous United States, and the United Kingdom. Each point represents one catchment at the mean annual scale. Lines are fitted Equation A1 derived from the Ponce-Shetty model. The scatterplots and lines are separated by different rescaled variables: (a)  $\widetilde{P}$  (rescaled precipitation) and (b)  $\widetilde{V_n}$  (rescaled vapourization potential).





Figure 12. Spatial distribution of the calibrated parameter  $\alpha$  across Australia, the conterminous United States, and the United Kingdom.

demonstrated that storage capacity is an important controlling factor on BFC as important as aridity index in humid catchments. Observed hydro-climate data for the 950 study catchments proved that the proposed BFC curve has excellent capability to capture the spatial variability of mean annual catchment baseflow. High variability of  $Q_b$  / P versus  $E_p$  / P scatterplots from humid catchments could be separated into three distinct point clouds according to  $S_p/P$ , consistent with the separation performed for BFC curves. Furthermore, the BFC curve performed well in modeling mean annual BFC for 950 study catchments with  $R^2$  of 0.75 and RMSE of 0.058. The performance in modeling mean annual baseflow was good, with  $R^2$  of 0.86 and RMSE of 0.19 mm. The derived analytical BFC curve (Equation 11) in this study was used to predict the baseflow coefficient ( $Q_b/P$ ) similar to how the Budyko equation predicts the runoff coefficient (Q/P). This method showed that both aridity index and storage capacity are the dominant controls on spatial variability of mean annual baseflow, thereby improving our ability to predict mean annual baseflow for ungauged catchments.

### **Appendix: Upscaled Ponce-Shetty Equations**

The annual Ponce-Shetty model can be upscaled to the mean annual scale to model BFC. Based on the work of Sivapalan et al. (2011) and Gnann et al. (2019), BFC can be expressed as a function of rescaled climate variables:

$$BFC = \frac{\tilde{P}}{\left(1 + \tilde{P}\right)\left(\tilde{P} + \widetilde{V_p} + \tilde{P}\widetilde{V_p}\right)}$$
(A1)

where  $\tilde{P}$  is rescaled precipitation and  $\widetilde{V_p}$  is the rescaled vapourization potential at the mean annual scale, calculated as:

$$\tilde{P} = \frac{P - \lambda_s W_p}{\left(1 - \lambda_s\right) W_p} \tag{A2}$$

$$\widetilde{V_p} = \frac{V_p - \lambda_u V_p}{(1 - \lambda_s) W_p}$$
(A3)

 $\widetilde{V_p} / \widetilde{P}$  can be called rescaled aridity index. From Equation A1, it can be seen that BFC is jointly controlled by  $\widetilde{P}$  and  $\widetilde{V_p}$ , thereby synthesizing the controls of precipitation and four parameters. The four parameters are wetting potential ( $W_p$ ), evapotranspiration potential ( $V_p$ ), surface flow abstraction ( $\lambda_s$ ), and baseflow initial abstraction ( $\lambda_u$ ).

### **Data Availability Statement**

Data of Australia catchments are part of the Australia unregulated catchment data set (Y. Zhang et al., 2013). Data of the conterminous United States catchments are obtained from the Model Parameter Estimation Experiment (MOPEX) data set (Duan et al., 2006). For catchments from United Kingdom, catchment boundaries and daily streamflow data are obtained from UK Benchmark Network (UKBN2) (Harrigan et al., 2018), on the website of National River Flow Archive (https://nrfa.ceh.ac.uk/benchmark-network). Daily precipitation data are obtained from the Center for Ecology & Hydrology (https://catalogue.ceh.ac.uk/documents/33604ea0-c238-4488-813d-0ad9ab7c51ca) (Tanguy et al., 2016). Daily potential evapotranspiration data are obtained from the Climate Hydrology and Ecology Research Support System–Potential Evapotranspiration (GHESS-PE) (http://nora.nerc.ac.uk/id/eprint/516155) (E. Robinson et al., 2016).

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