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Curve Number Approach to Estimate Monthly and Annual Direct Runoff

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1 **Curve number approach to estimate monthly and annual direct runoff**

2
3 Andrew J. Guswa¹, Perrine Hamel², Kate Meyer³

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8 **Abstract**

9 This paper establishes a novel approach to estimate monthly and annual direct runoff by
10 combining the curve number method of the Natural Resources Conservation Service with an
11 exponential distribution of rainfall depths. The approach was tested against observed rainfall and
12 runoff for 544 watersheds throughout the contiguous United States. For more than half of the
13 watersheds, the performance of the new approach is indistinguishable from the application of the
14 method to daily rainfall when curve numbers are determined via calibration. For all watersheds,
15 the uncertainty introduced by the approximation of the distribution of rainfall depths is far less
16 than the uncertainty associated with the use of tabulated curve numbers based on soil and land-
17 cover characteristics. The new approach does not appreciably increase the overall uncertainty
18 associated with the application of the curve number method in ungaged watersheds. The
19 approach provides reasonable estimates of monthly and annual direct runoff that can inform
20 land-management decisions when daily rainfall records are unavailable.

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22 **Introduction**

23 Changes to the landscape affect many hydrologic processes and ecosystem services (Daily 1997;
24 National Research Council 2004; Martin-Ortega et al. 2015). Estimates of those effects, even
25 when uncertain, benefit land-management decisions. With respect to water resources, effects of
26 interest include changes to total streamflow, to flooding potential, and to the availability of
27 baseflow at monthly to annual and multi-annual timescales (Brauman et al. 2007; Guswa et al.
28 2014; Bremer et al. 2016; Ouyang et al. 2016). Some decisions may require a precise and
29 detailed analysis. Other contexts may tolerate greater uncertainty in order to reduce the time and
30 resources required; these include land-management decisions in ungaged and data-poor locales,
31 or rapid assessments across many ecologic and hydrologic processes that may be followed up by
32 more detailed studies.

33 The Natural Resources Conservation Service (NRCS) curve number method estimates the
34 direct runoff that results from an individual rainfall event as a function of land cover and soil
35 characteristics (Natural Resources Conservation Service 2004a,b). The concepts have been
36 incorporated into many popular hydrologic models, such as HEC-HMS (U.S. Army Corps of
37 Engineers 2000), SWMM (Rossman 2007), HydroCAD (HydroCAD Software Solutions LLC
38 2011), SWAT (Neitsch et al. 2011), WinTR-20 (Natural Resources Conservation Service 2015),
39 and the InVEST seasonal water yield model (Sharp et al. 2016). The method also has a number
40 of known challenges (Ponce and Hawkins 1996; Hawkins et al. 2009). Specifically, not all
41 watersheds exhibit the asymptotic approach to a constant curve number (Hawkins 1993), curve
42 numbers determined from rainfall-runoff data show significant variability (Hjelmfelt 1991; Shaw
43 and Walter 2009; Hawkins et al. 2009), use of tabulated curve numbers in ungaged watersheds is
44 highly uncertain (Titmarsh et al. 1995; Hawkins et al. 2009; Tedela et al. 2012), and the method

45 is misused and misapplied (Walter and Shaw 2005; Ogden and Stallard 2013). Despite these
 46 challenges, Hawkins et al. (2009) recognize the potential for the curve number method to inform
 47 land-management decisions.

48 This study extends the application of the curve number method for land-management
 49 decisions when the uncertainty of the event-based method is tolerable but rainfall event data are
 50 unavailable. This investigation tests whether direct runoff accumulated over a month or year can
 51 be estimated, without an appreciable increase in the uncertainty, by approximating the
 52 distribution of actual rainfall depths with an exponential distribution. Rather than requiring a full
 53 description of event-by-event precipitation, this new approach requires only total rainfall and an
 54 estimate of the number of events over the defined period of interest. The sections that follow
 55 explain this new approach and present results from tests on 544 U.S. watersheds.

56 **Curve number method applied to event rainfall**

57 The curve number method estimates the depth of direct runoff from a specified rainfall event
 58 (NRCS 2004b). Direct runoff refers to the water that reaches a stream quickly without
 59 specification of the pathway or origin of that water (Hawkins et al. 2009). For a given rainfall
 60 depth, P_i , the depth of direct runoff, Q_i , is calculated as

$$Q_i = g(P_i; CN) = \begin{cases} \frac{(P_i - \lambda S)^2}{(P_i + (1 - \lambda)S)} & P_i > \lambda S \\ 0 & P_i \leq \lambda S \end{cases} \quad (1)$$

61 where the subscript i refers to an individual event, S is maximum potential retention with
 62 dimensions of depth, and λS is the rainfall depth needed to initiate runoff, also called the initial
 63 abstraction. The maximum potential retention, S , is related to the curve number, CN , an
 64 empirical quantity that depends on land use and soil characteristics (NRCS 2004a,b):

$$S = \frac{1000}{CN} - 10 \quad (\text{S in inches}) \quad (2)$$

$$S = \frac{25\,400}{CN} - 254 \quad (\text{S in millimeters}) \quad (3)$$

65 In application, curve numbers are either calibrated to rainfall-runoff data or estimated
 66 from land-use and soil characteristics when streamflow data are unavailable (NRCS 2004a,b;
 67 Hawkins et al. 2009). Both cases require a choice for λ . The National Engineering Handbook
 68 indicates a value of 0.2 for λ , and tabulated values of curve numbers for different hydrologic soil
 69 groups and land covers are based on this value (NRCS 2004a,b). Recent results, however,
 70 indicate a smaller value of λ , closer to 0.05 (Jiang 2001; Hawkins et al. 2009; Shaw and Walter
 71 2009; Dahlke et al. 2012). This study uses $\lambda = 0.05$. Using that value requires a modification of
 72 the curve numbers given in the handbook tables, and Jiang (2001) provides the following
 73 relationship:

$$CN_{0.05} = 0.0054 \cdot (CN_{0.2})^2 + 0.46 \cdot CN_{0.2} \quad (4)$$

74 where $CN_{0.2}$ represents a tabulated curve number developed under the presumption that $\lambda = 0.2$
 75 and $CN_{0.05}$ represents the curve number for use with $\lambda = 0.05$.

76 While the curve number method and tabulated values were developed to estimate runoff
 77 from large events, the method has been applied to a wide range of event magnitudes (Hawkins et
 78 al. 2009). Hawkins (1993), however, showed that estimates of curve numbers derived from
 79 rainfall and runoff data vary with event depth; curve numbers are typically larger for smaller
 80 events and approach constant values for larger events, though there are exceptions (e.g., Tedela
 81 et al. 2012). Thus, an estimate of runoff for a single, small event could have a large relative
 82 error. Runoff accumulations over multiple events, however, are dominated by large events, and
 83 the non-linearity of Eq. (1) represents this phenomenon. For example, the MacLeish Field

84 Station in West Whately, MA experienced seven rain events between 3 June and 27 June 2009
 85 with magnitudes of 3.6, 4.0, 8.4, 11.2, 22.9, 38.6, and 58.7 mm (Guswa and Spence 2011).
 86 Applying Eq. (1) to each event, with a curve number appropriate for pasture ($CN_{0.05} = 59$), gives
 87 runoff estimates of 0.0, 0.0, 0.0, 0.0, 1.0, 4.3, and 11.0 mm, respectively. Over 93% of the total
 88 16.4 mm of runoff is generated by the two largest events, and the contribution of the small events
 89 to the total error in accumulated runoff is small. Consequently, when event data are available,
 90 accumulated runoff over a longer time period (Q_N) can be estimated by direct application of the
 91 curve number method to n events over a period of N days,

$$Q_N = \sum_{i=1}^n Q_i \quad (5)$$

92 **Curve number approach for monthly and annual runoff**

93 This study presents an approach to estimate monthly and annual direct runoff when rainfall data
 94 are not available. This approach requires a tabulated curve number based on landscape
 95 characteristics (NRCS 2004a), total rainfall (P_N) over the period of interest (N days), and an
 96 estimate or measurement of either the mean event depth (α) or the frequency (η) of rainfall
 97 events (events per day). This new approach approximates the actual distribution of rainfall
 98 depths with an exponential distribution,

$$f(p) = \frac{1}{\alpha} \exp\left(-\frac{p}{\alpha}\right) \quad (6)$$

99 where p is rainfall depth and α is the mean event depth, which can be estimated as

$$\alpha = \frac{P_N}{\eta N} \quad (7)$$

100 The exponential distribution is a recognized model of rainfall depths (e.g., Eagleson 1978;
 101 Richardson 1981; Rodriguez-Iturbe et al. 1999; Laio et al. 2001). Additionally, the exponential
 102 distribution is fully characterized by a single parameter, mean rain depth, making it useful in
 103 applications with limited data.

104 Combining event-based runoff (Eq. 1) with an exponential distribution of rainfall depths
 105 gives an expression for the mean runoff per event from the new approach,

$$\langle Q^{new}(\alpha; CN) \rangle = \int_{-\infty}^{\infty} g(p; CN) \cdot f(p; \alpha) dp \quad (8)$$

106 where angle brackets indicate expected value. Substituting Eqs. (1) and (6) into (8) gives

$$\langle Q^{new} \rangle = \int_{\lambda S}^{\infty} \frac{(p - \lambda S)^2}{(p + (1 - \lambda)S)} \cdot \frac{1}{\alpha} \exp\left(-\frac{p}{\alpha}\right) dp \quad (9)$$

107 Solving Eq. (9) results in the following expression for the mean runoff:

$$\langle Q^{new} \rangle = (\alpha - S) \exp\left(-\frac{\lambda S}{\alpha}\right) + \frac{S^2}{\alpha} \exp\left(\frac{(1 - \lambda)S}{\alpha}\right) E_1\left(\frac{S}{\alpha}\right) \quad (10)$$

108 where $E_1(x)$ is the exponential integral (Abramowitz and Stegun 1972),

$$E_1(x) = \int_x^{\infty} \frac{\exp(-u)}{u} du \quad (11)$$

109 Cumulative runoff over the period of interest is

$$Q_N^{new} = \langle Q^{new} \rangle \eta N \quad (12)$$

110 The strength of this new approach lies in its approximation of the distribution of large events.
 111 For the earlier example of seven rainfall events (3.6, 4.0, 8.4, 11.2, 22.9, 38.6, and 58.7 mm),
 112 event-by-event application of Eq. (1) results in an estimate of 16.4 mm of total runoff ($CN_{0.05} =$
 113 59). If Eq. (1) were applied directly to the mean rainfall depth of 21.1 mm, the estimate of

114 cumulative runoff from seven such events would be just 5.6 mm; if Eq. (1) were applied directly
115 to the total 147.4 mm of rainfall, estimated runoff would be 61.0 mm. Application of the new
116 approach with an exponential distribution of depths results in an estimate of cumulative runoff of
117 17.4 mm, very close to the 16.4 mm estimated by application of the curve number method to
118 each event individually.

119 **Evaluation of new approach**

120 **Rainfall and runoff for U.S. watersheds**

121 To test the new approach, this work used a dataset of daily meteorology and streamflow for 671
122 watersheds throughout the contiguous United States (Newman et al. 2014; Newman et al. 2015).
123 Watersheds range in size from 1 to 25 000 km², with a median size of 335 km² and two-thirds of
124 the watersheds between 100 and 1000 km² (Newman et al. 2015). Streamflow data are from the
125 U.S. Geological Survey and the Daymet dataset is the source of meteorological data (Newman et
126 al. 2015). The dataset includes precipitation and streamflow records from 1/1/1980 through
127 12/31/2010. Some of the records were eliminated or modified for this analysis after quality
128 assurance checks; Appendix A includes details.

129 Runoff and baseflow were computed for two time scales of analysis: monthly and annual.
130 Because the curve number method is not appropriate for snowmelt, analyses were limited to
131 snow-free months and years. For the monthly analysis of each watershed, this study eliminated
132 all months for which the snow-water equivalent was non-zero for some time during the month.
133 Similarly, for the annual analysis, all years that were influenced by snow were removed. To
134 ensure an adequate sample size of monthly runoff values for each watershed, monthly analyses
135 were restricted to watersheds with more than ten months (total, not per year) of snow-free

136 observations, and annual analyses were limited to watersheds with more than ten years of snow-
137 free observations. Figure 1 presents a map of the watersheds used to test the approaches. Open
138 circles represent watersheds included in the monthly analysis; filled circles represent watersheds
139 included in both monthly and annual analyses.

140 Daily streamflow was separated into baseflow and direct runoff with a one-parameter
141 recursive digital filter (Nathan and McMahon 1990) with a filter parameter of 0.925. This
142 automated method of baseflow separation is objective, repeatable, and gives results similar to the
143 smoothed minima method (Nathan and McMahon 1990). Summing direct runoff over each
144 month and year produced records of observed monthly (Q_m^{obs}) and annual (Q_a^{obs}) direct runoff
145 for each watershed.

146 **Curve numbers determined from daily records**

147 The objective of this investigation is to test whether the accumulated runoff estimated by using
148 an exponential distribution of rainfall depths is equivalent to that determined by applying the
149 curve number method directly to a record of daily rainfall depths. To separate the uncertainty
150 introduced by the use of tabulated curve numbers from the uncertainty due to the approximation
151 of the rainfall distribution, a curve number for each watershed was determined through
152 calibration. Consistent with the intent of estimating accumulated runoff, the curve number for
153 each watershed was determined by matching the cumulative direct runoff, estimated by applying
154 the curve number to daily rainfall, to the cumulative observed runoff over the entire period of
155 record. This calibration ensures that the average bias in the daily application of the curve
156 number method is zero, i.e., the mean error between observed (monthly or annual) runoff and the
157 runoff estimated by application of the curve number method to daily rainfall is zero.

158 Accumulated runoff is dominated by large events, and the largest events of the period of record
 159 strongly influence the calibration of the curve number.

160 With a calibrated curve number for each watershed, this study applied Eq. (1) to daily
 161 rainfall to compute daily runoff, which was then summed to create records of monthly and
 162 annual direct runoff. Monthly and annual errors were quantified by taking the difference
 163 between the monthly and annual estimates and observations:

$$\varepsilon_m^{daily} = (Q_m^{daily} - Q_m^{obs}) \quad (13)$$

$$\varepsilon_a^{daily} = (Q_a^{daily} - Q_a^{obs}) \quad (14)$$

164 where Q_m^{daily} and Q_a^{daily} represent the monthly and annual direct runoff, respectively, estimated
 165 by applying the curve number method to daily rainfall. By design, the mean values of ε_m^{daily} and
 166 ε_a^{daily} are zero for each watershed, as noted previously.

167 **Application of the new approach**

168 In the new approach, the actual, empirical distribution of daily rainfall depths is replaced with an
 169 exponential distribution, defined by a mean event depth, α , for each month or year. This average
 170 depth was calculated in two ways. One variation computed the mean rainfall depth by dividing
 171 the cumulative rainfall by the actual number of days with rain in each month or year. A second
 172 variation evaluated the utility of the new approach when information on number of events is
 173 approximate. In the monthly application, mean rainfall depth was computed with the average
 174 number of events for that month over all years in the dataset for that watershed (for example, the
 175 average number of events for all Septembers). Similarly, the average number of events per year
 176 was used in the annual application. The resulting two variations of the exponential distributions
 177 were used with calibrated curve numbers in Eqs. (10-12) to estimate monthly and annual runoff

178 for each watershed. Thus, each watershed is associated with four records of monthly (and
179 annual) runoff: observed runoff, runoff estimated by application of the curve number method to
180 daily rainfall, runoff estimated from an exponential distribution of rain depths with mean rainfall
181 depth determined by the actual number of events in each month (and year), runoff estimated
182 from an exponential distribution of rain depths with mean rainfall depth determined by the
183 average number of events.

184 **Tests of the new approach**

185 Both across watersheds and for each individual watershed, this study evaluated the performance
186 of the new monthly and annual approaches by assessing 1) the mean error in monthly and annual
187 runoff relative to observations, 2) the difference in squared errors of monthly and annual runoff
188 between the new approach and the application of the curve number method to daily rainfall, and
189 3) the error in runoff relative to the uncertainty attributed to the use of tabulated curve numbers
190 in ungaged watersheds. The descriptions that follow refer to monthly runoff, and the same tests
191 apply to annual estimates as well. All tests were restricted to months (and years) with non-zero
192 observed direct runoff.

193 The first tests assessed the mean error between observations and estimates from the new
194 approach. A non-parametric bootstrap technique (Efron and Tibshirani 1993) was used to test
195 the null hypothesis that the mean error in monthly runoff is indistinguishable from zero.
196 Sampling (with replacement) the m monthly errors m times for all months and all watersheds
197 generated a bootstrap estimate of the mean error. This process was repeated to generate 10 000
198 estimates of the mean error. A 95%-confidence interval for the mean error in monthly runoff
199 was created from the 2.5% and 97.5% quantiles of the bootstrap estimates. The null hypothesis

200 that the mean error is indistinguishable from zero was accepted if the confidence interval
 201 contained zero. Estimates of the mean monthly runoff were also regressed against the observed
 202 means for all watersheds. To assess the mean error for each individual watershed, 10 000
 203 bootstrap estimates of the mean error were generated by sampling (with replacement) the M
 204 months of errors M times for each watershed. A 95%-confidence interval for the mean error was
 205 created from the 2.5% and 97.5% quantiles of the bootstrap estimates.

206 Even when Eq. (1) is applied to daily data and curve numbers are calibrated to ensure no
 207 bias in the mean monthly runoff, model structural error leads to uncertainty in estimated runoff
 208 for any given month. Approximating the rainfall depths with an exponential distribution further
 209 increases this uncertainty. While it is desirable for monthly errors in the new approach to be
 210 small, more important for this study is to test whether the errors from the new approach are
 211 comparable to those from the application of the curve number method to daily rainfall, i.e., to
 212 test whether the additional error due to the exponential approximation is small relative to the
 213 structural error of the curve number method. For each watershed, the square of the error between
 214 estimated and observed monthly runoff was determined, and the difference in squared-error
 215 between the daily method and the new approach computed:

$$\Delta_m^{se} = (Q_m^{new} - Q_m^{obs})^2 - (Q_m^{daily} - Q_m^{obs})^2 \quad (15)$$

216 This statistic is positive when the squared error in monthly runoff is larger for the new approach
 217 and negative when the error is larger for the daily application. To test whether the mean of
 218 squared errors from the new approach are significantly larger than those from the daily
 219 application of the curve number, 10 000 bootstrap samples of the mean difference in squared-
 220 error were generated. The null hypothesis that the error of the new approach is no larger than the
 221 error in the daily method (one-sided test) was rejected if the 5%-quantile of the mean difference

222 in squared error was greater than zero. A linear regression of the square root of the mean-
223 squared error (RMSE) from the new approach to the RMSE from the daily application of the
224 method quantified the difference in uncertainty between the approaches.

225 A third test compared the mean error in runoff estimates with the uncertainty due to the
226 use of tabulated curve numbers for ungaged basins. Tabulated curve numbers are a function of
227 land-cover and soil characteristics and are reported for average antecedent runoff conditions,
228 ARC II (NRCS 2004a). Titmarsh (1995) and Hawkins and Ward (1998, reproduced and cited in
229 Hawkins et al. 2009) showed that the uncertainty in using tabulated curve numbers is large and
230 comparable to the envelope of uncertainty created by using curve numbers that correspond to
231 antecedent runoff conditions ARC I and ARC III (NRCS 2004b). Hjelmfelt (1991) showed that
232 this envelope created by ARC I and ARC III represents the 10% and 90% exceedance
233 probabilities for runoff. Runoff estimates from the new approach were tested against this
234 envelope of uncertainty that resulted from the application of Eq. (1) to daily rainfall with curve
235 numbers corresponding to ARC I and III for the calibrated curve numbers.

236 **Results**

237 Removing months and years with snow from the analyses left 544 watersheds with more than ten
238 months of monthly runoff observations and 97 watersheds with more than ten years of annual
239 data (Fig. 1). The total number of observations of monthly runoff across all watersheds and all
240 months is 127 927; the number of total observations of annual runoff is 2270. Estimates of mean
241 monthly runoff from the new approach show good agreement with the observed runoff (Fig. 2).
242 Though the mean errors are statistically different from zero (95% confidence), they are small: 1.2
243 mm/month and 2.9 mm/month for use of the actual and average number of events, respectively
244 (Table 1). The regression slopes of 1.11 to 1.20 indicate that the estimated mean monthly runoff

245 is approximately 10-20% greater than observed (Table 1 and Fig. 2). Considering each
246 watershed separately, the error in mean monthly runoff is indistinguishable from zero (95%-
247 confidence interval) for 65% of the 544 watersheds when the actual number of rain events is
248 used in the new approach (Table 2). When the average number of events per month is used, the
249 error in mean monthly runoff is indistinguishable from zero (95%-confidence interval) for 26%
250 of the 544 watersheds. For both monthly approaches, estimates of mean monthly runoff for all
251 (100%) of the 544 watersheds fall within the envelope of uncertainty associated with using
252 tabulated curve numbers (x's in Figure 2).

253 The RMSE of monthly runoff for the application of the calibrated curve number method
254 to daily rainfall quantifies the structural error of the method. Fig. 3 indicates that this structural
255 error is increased only slightly by the introduction of the exponential approximation. Regression
256 slopes of 1.02-1.10 indicate that the RMSE of monthly runoff determined via the new approach
257 is approximately 5-10% larger than the RMSE for monthly runoff determined via application of
258 the curve number method to daily data (Table 1 and Figure 3). Mean monthly errors from the
259 approach using the average number of events per month are larger than those from the approach
260 that uses the actual number of events. The paired test of differences in monthly squared errors
261 (Eq. 15) found that monthly squared errors from the new approach are not significantly larger
262 than the errors from the daily application of the curve number method for 80% and 65% of the
263 watersheds (actual and average number of events, respectively, 95%-confidence, 1-sided test,
264 Table 2).

265 Tables 1 and 2 and Figs. 4 and 5 present results for the annual approaches. Fig. 4
266 indicates a good match in annual runoff between the new approach and observations. The mean
267 errors in annual runoff are statistically different from zero (95% confidence, Table 1), and they

268 are small: 10 mm/year and 8 mm/year for use of the actual and average number of events,
269 respectively. Across the watersheds, mean annual runoff estimated via the new method is
270 approximately 7% less than observed, as evidenced by a regression slope of 0.93 (Table 1).
271 Mean error in annual runoff is indistinguishable from zero for 64% (actual number of events)
272 and 65% (average number of events) of watersheds. Errors in annual estimates of direct runoff
273 with the new approach are comparable to the errors associated with employing the curve number
274 method to daily data (Fig. 5). The RMSE of annual runoff determined via the new approach is
275 approximately 4 mm larger than the RMSE of annual runoff determined via application of the
276 curve number method to daily data, indicated by regression slopes of 1.0 and intercepts of 4 mm
277 (Table 1 and Fig. 5). The paired tests indicate that squared errors from the new approach are not
278 significantly larger than the errors from the daily application of the curve number method for
279 74% and 88% of the watersheds (actual and average number of events, respectively, 95%-
280 confidence, 1-sided test). Estimates of mean annual runoff for all (100%) of the 97 watersheds
281 fall within the uncertainty envelope associated with use of tabulated curve numbers (x 's in Fig.
282 4).

283 **Discussion**

284 Figs. 2-5 indicate that the new approach presented in this work estimates monthly and annual
285 direct runoff with a similar degree of certainty as the application of the curve number method to
286 daily data for ungaged watersheds. The overestimation of runoff in the monthly results (Fig. 2
287 and Table 1) may indicate a deviation from the simplification of an exponential distribution of
288 rainfall events. If actual rain events within a month are more similar to each other, i.e., if the
289 empirical distribution has a smaller variance than the exponential, then the approach based on the
290 exponential distribution would overestimate runoff, consistent with what is seen in Fig. 2.

291 Month-to-month and year-to-year errors in estimates from the new approach are similar to errors
292 from the application of the curve-number method to daily rainfall (Tables 1 and 2 and Figs. 3 and
293 5). Most importantly, mean monthly and annual estimates of direct runoff lie well within the
294 confidence interval attributed to uncertainty in the curve number (Figs. 2 and 4). This is
295 consistent with earlier findings that estimated runoff is more sensitive to the selection of the
296 curve number than to the precipitation depth (Hawkins 1975) and indicates that the
297 approximation of an exponential distribution of rainfall depths does not appreciably increase the
298 uncertainty associated with the application of the curve number method in ungaged watersheds.
299 The large uncertainty in estimates of monthly and annual runoff for ungaged watersheds suggests
300 that runoff estimates should be used with care.

301 While the new approach does not require daily rainfall data, it does require an estimate of
302 the number of rain events within a given period of interest. Tables 1 and 2 and Figs. 2-5 indicate
303 that estimates based on an average number of events are almost as good as those that use the
304 actual number of events. Local estimates of the number of rain events could be obtained from
305 traditional knowledge, global precipitation datasets (e.g., Gehne et al. 2016; The World Bank
306 Group 2016), or historical records.

307 Many monthly (and annual) water-balance models have as a first step the partitioning of
308 precipitation into direct runoff and retention (e.g., Ponce and Shetty 1995; Zhang et al. 2008;
309 Sivapalan et al. 2011; Kirby et al. 2013; Chen and Wang 2015). These incorporate a relationship
310 between monthly rainfall and direct runoff as a function of landscape characteristics (such as
311 slope, soil type, land use) and state variables of the system (such as soil moisture and
312 streamflow). The approach presented here provides a means for estimating or eliminating model
313 parameters in these models. For example, the Dynamic Water Balance Model (DWBM; Zhang

314 et al. 2008), relies on a parameter, α_1 , to partition monthly precipitation into direct runoff and
315 retention. This parameter must generally be determined via calibration, as attempts to relate the
316 parameter to measurable watershed characteristics have proved challenging (Zhang et al. 2017).
317 The approach presented here, with knowledge of the curve number and typical number of
318 precipitation events, is another way to determine the amount of direct runoff from monthly
319 precipitation.

320 Estimates of annual runoff from this new approach enable the partitioning of annual
321 streamflow into direct runoff and baseflow. For example, a Budyko-type approach can estimate
322 average annual streamflow based on average annual precipitation and potential
323 evapotranspiration (e.g., Budyko 1974; Porporato et al. 2004; Szilagyi and Jozsa 2009; Hamel
324 and Guswa 2015). Based on rainfall data from Monteverde, Costa Rica (Guswa et al. 2007), the
325 Budyko curve predicts an increase in annual streamflow of 160 mm/yr following the conversion
326 of forest to pasture (Table 3). The new approach presented in this study complements this result
327 by estimating changes to direct runoff and, by subtraction, baseflow. For two soil groups (B and
328 D), the new approach indicates a decrease in baseflow (40 mm/yr or 210 mm/yr for soil groups B
329 and D, respectively), despite the increase in total streamflow. The large uncertainty associated
330 with using a tabulated curve number (characterized by ARC I and III), however, prevents a
331 definitive statement, as the confidence intervals for the change in baseflow include zero (Table
332 3). Nonetheless, the interpretation that baseflow is more likely than not to decrease when forest
333 is converted to pasture may be sufficient to inform land-management decisions.

334 **Conclusions**

335 This study developed a new approach to estimate monthly and annual direct runoff by combining
336 the NRCS curve number method with an exponential distribution of rainfall depths. Evaluation

337 of the approach with daily rainfall and runoff data from 544 U.S. watersheds indicates that the
338 error introduced by the exponential approximation is small and lies well within the uncertainty
339 associated with application of the curve number method in ungaged watersheds. The simplicity
340 and robust performance of the approach indicate that it can inform planning and land-
341 management decisions in data-poor contexts.

342

343 **Appendix A**

344 Inspection of the dataset provided by Newman et al. (2014) revealed some questionable data.
345 The authors either removed these basins from further analysis or modified the data as indicated
346 in Tables A1-A2 below. In tables A1-A2, Q and P are the average daily streamflow and
347 precipitation as reported in the file basin_annual_hydrometeorology_characteristics_daymet.txt
348 (Newman et al. 2014). The variables, q and p , are the average daily streamflow and precipitation
349 calculated from daily values of discharge (U.S. Geological Survey) and precipitation (Daymet),
350 respectively, for each watershed over the entire period of record. For internal consistency, Q
351 should be equal to q , and P should be equal to p ; significant discrepancies were cause for
352 removal of those watersheds from further analysis.”

353

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Tables

Table 1: Assessment of mean error and root-mean-squared error of monthly and annual runoff across watersheds.

Temporal Resolution	Number of events	Mean error (observed-estimated) and [95%-confidence interval]	Regression of estimated mean runoff from new approach against observed (Figs. 2 and 4)		Regression of RMSE from new approach against RMSE from daily method (Figs. 3 and 5)	
			Slope [95% confidence interval]	Intercept [95% confidence interval]	Slope [95% confidence interval]	Intercept [95% confidence interval]
Monthly	Actual	-1.24 mm [-1.32, -1.16]	1.13 [1.11, 1.14]	-0.3 mm [-0.5, -0.2]	1.03 [1.02, 1.04]	0.04 mm [-0.08, 0.16]
Monthly	Average	-2.87 mm [-2.95, -2.78]	1.19 [1.17, 1.20]	0.4 mm [0.2, 0.6]	1.07 [1.05, 1.10]	0.5 mm [0.13, 0.78]
Annual	Actual	10 mm [8, 13]	0.93 [0.89, 0.97]	-1 mm [-8, 6]	1.06 [0.98, 1.13]	4 mm [0, 8]
Annual	Average	8 mm [6, 11]	0.93 [0.89, 0.97]	1 mm [-5, 8]	1.00 [0.92, 1.08]	4 mm [-1, 8]

Table 2: Mean error, magnitude of squared error, and mean error versus the uncertainty in curve number for each watershed.

Temporal Resolution	Number of events	Percent of watersheds for which		
		Mean error in runoff is indistinguishable from zero (95%-confidence interval)	Squared error from new method is less than or equal to squared error from daily method (95%-confidence interval, 1-sided)	Mean runoff is within confidence interval defined by uncertainty in CN (ARC I and III)
Monthly	Actual	65%	80%	100%
Monthly	Average	26%	65%	100%
Annual	Actual	64%	74%	100%
Annual	Average	65%	88%	100%

Table 3: Example of conversion of forest to degraded pasture. Rainfall data are representative of Monteverde, Costa Rica: 2700 mm/yr and 280 events/year (Guswa et al. 2007); potential evapotranspiration is representative of tropical forest and pasture (Wang and Georgakakos 2007; Ogden et al. 2013). Streamflow is estimated from the Budyko curve (Budyko 1974). Values of $CN_{0.2}$ are taken from Table 9-1 in NRCS (2004a); values of $CN_{0.05}$ are computed via Equation (4).

Land Cover	Hydrol. Soil Group	$CN_{0.2}$ [ARC I, ARC III]	$CN_{0.05}$ [ARC I, ARC III]	Potential evapo-transpiration (mm/yr)	Streamflow (mm/yr)	Direct runoff (mm/yr) [confidence interval from ARC I, III]	Change in baseflow, woods to pasture (mm/year) [confidence interval from ARC I, III]
Woods, good quality	B	55 [35,74]	42 [23,64]	1100	1710	20 [0,150]	-40 [-360,120]
Pasture, poor quality	B	79 [62,91]	70 [49,87]	900	1870	220 [40,670]	
Woods, good quality	D	77 [59,89]	67 [46,84]	1100	1710	180 [30, 550]	-210 [-490,20]
Pasture, poor quality	D	89 [76,96]	84 [66,94]	900	1870	550 [170, 1200]	

Guswa, Hamel, and Meyer

Curve number approach to estimate monthly and annual direct runoff

Figure captions

Figure 1

U.S. watersheds used in testing of the curve number approach. Gages indicated by an open circle represent the 544 watersheds used in the monthly analysis. Gages indicated by a closed circle represent the 97 watersheds used in both monthly and annual analyses.

Figure 2

Mean monthly direct runoff estimated by new approach versus observed mean monthly direct runoff for 544 U.S. watersheds. Circles represent estimates for which the actual number of rain events per month were used; pluses represent estimates that use the average number of events per month. The uncertainty envelope associated with tabulated curve numbers is given by the x's.

Figure 3

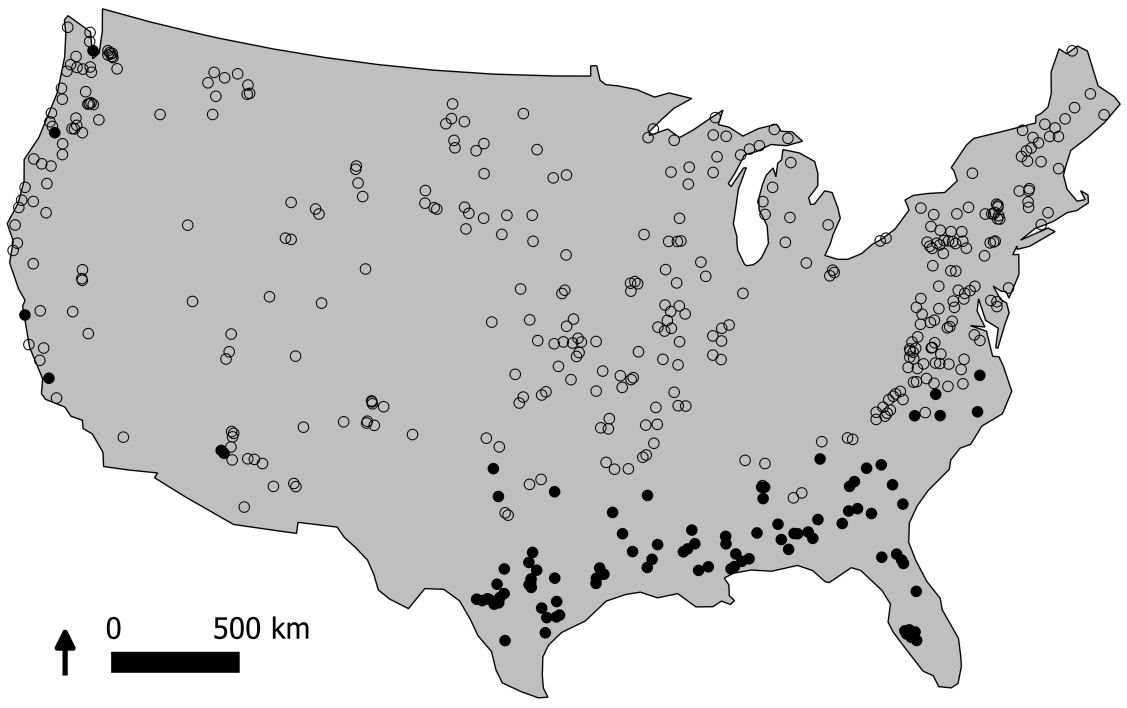
Comparison of root-mean-squared error (RMSE) for estimates of monthly direct runoff from the application of the curve number method to daily rainfall data to RMSE from the new approach for 544 U.S. watersheds. Circles represent estimates using the actual number of rain events per month; pluses represent estimates that use the average number of events per month.

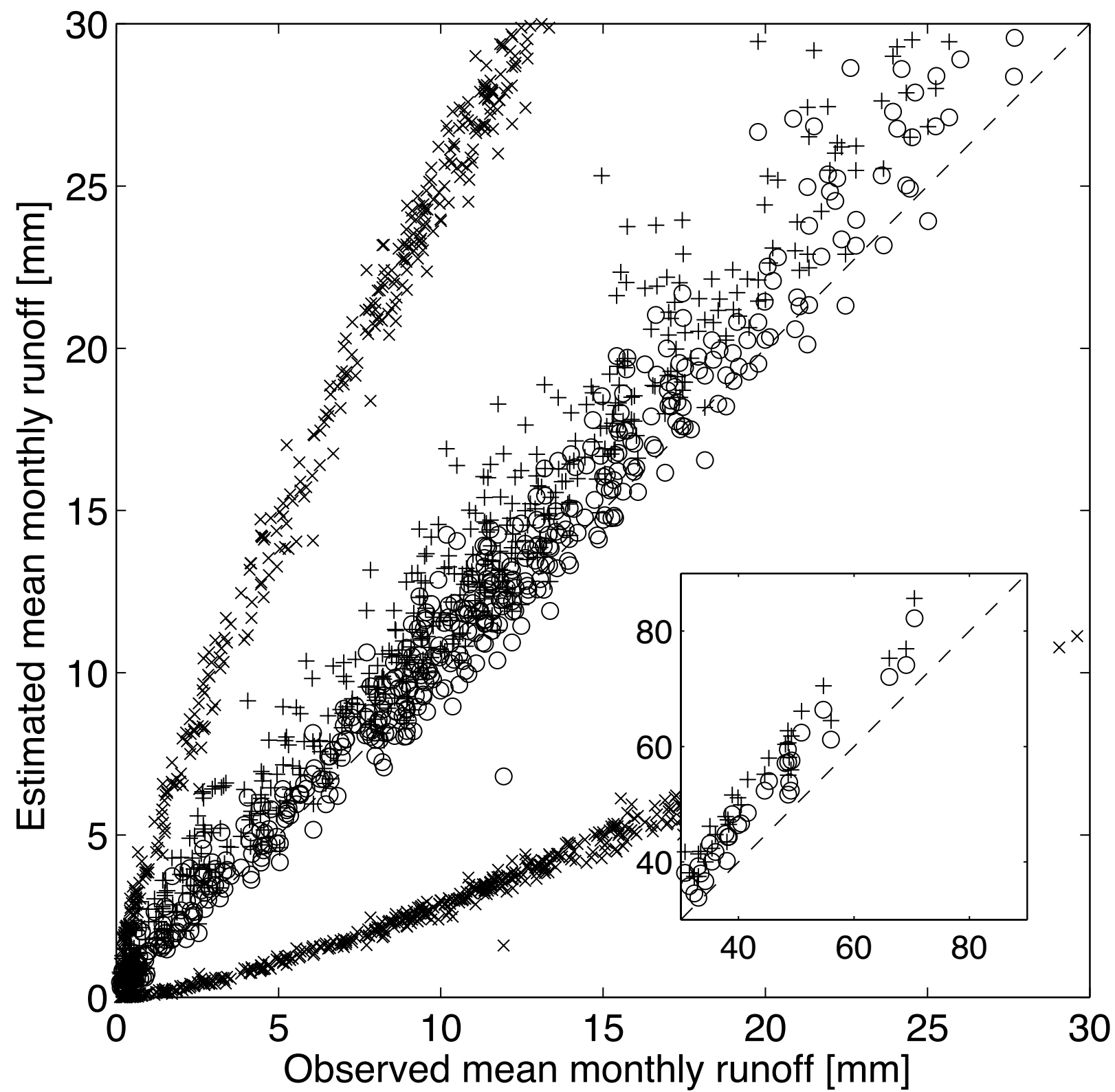
Figure 4

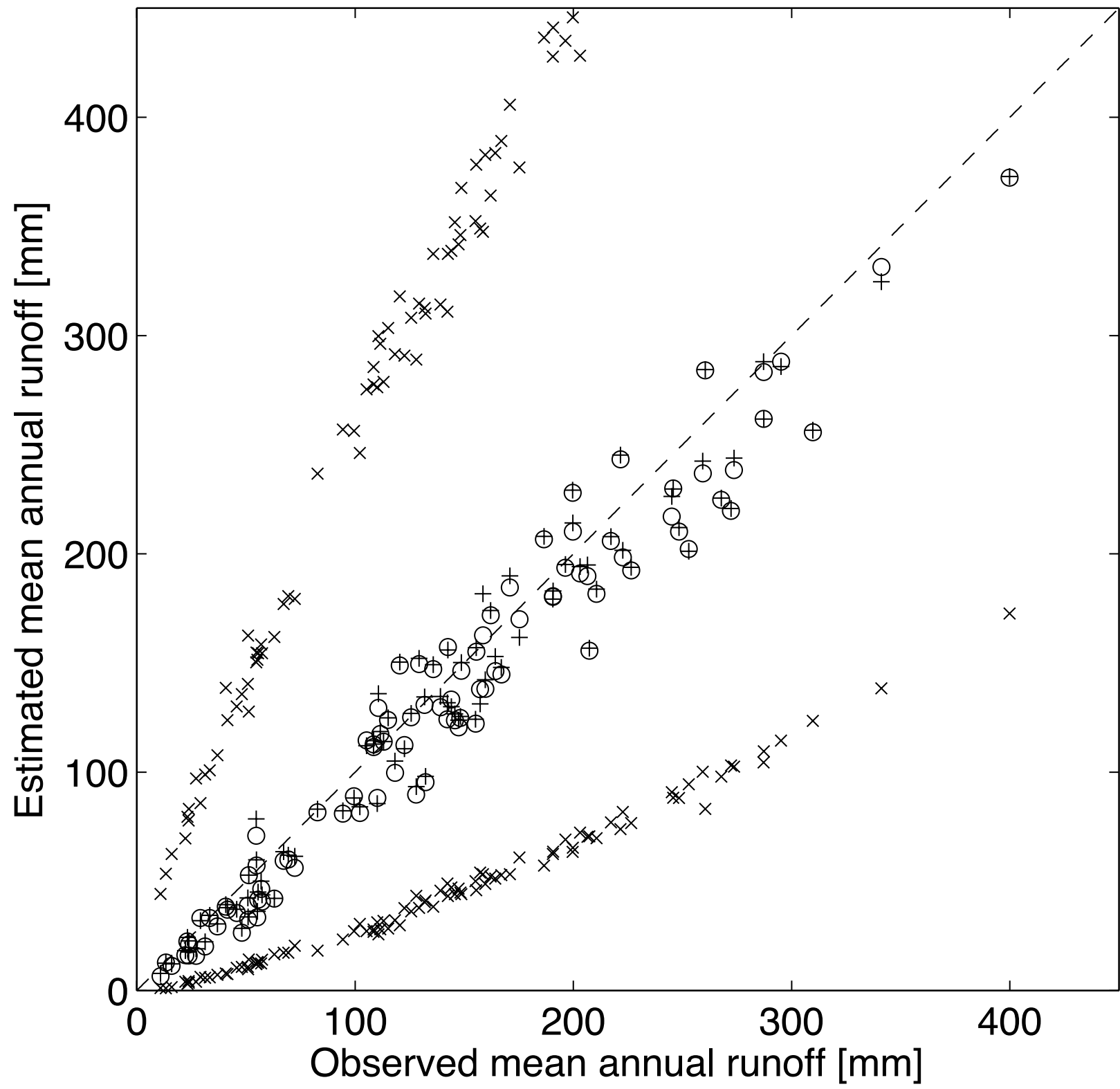
Mean annual direct runoff estimated by new approach versus observed mean annual direct runoff for 97 U.S. watersheds. Circles represent estimates using the actual number of rain events per year; pluses represent estimates that use the average number of events per year. The uncertainty envelope associated with tabulated curve numbers is given by the x's.

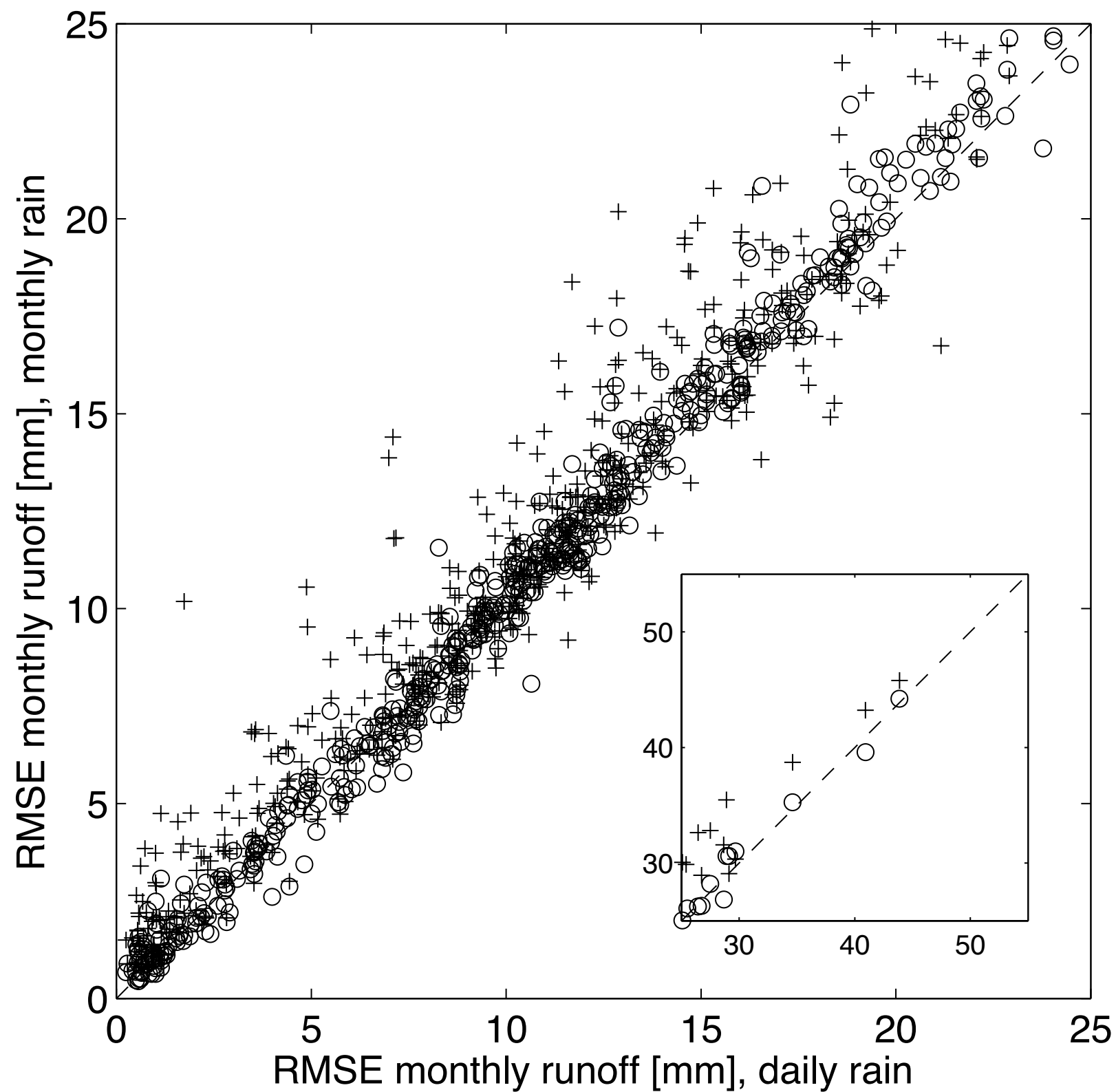
Figure 5

Comparison of root-mean-squared error (RMSE) in estimates of annual direct runoff from the application of the curve number method to daily rainfall data to RMSE from the new approach for 97 U.S. watersheds. Circles represent estimates using the actual number of rain events per year; pluses represent estimates that use the average number of events per year.









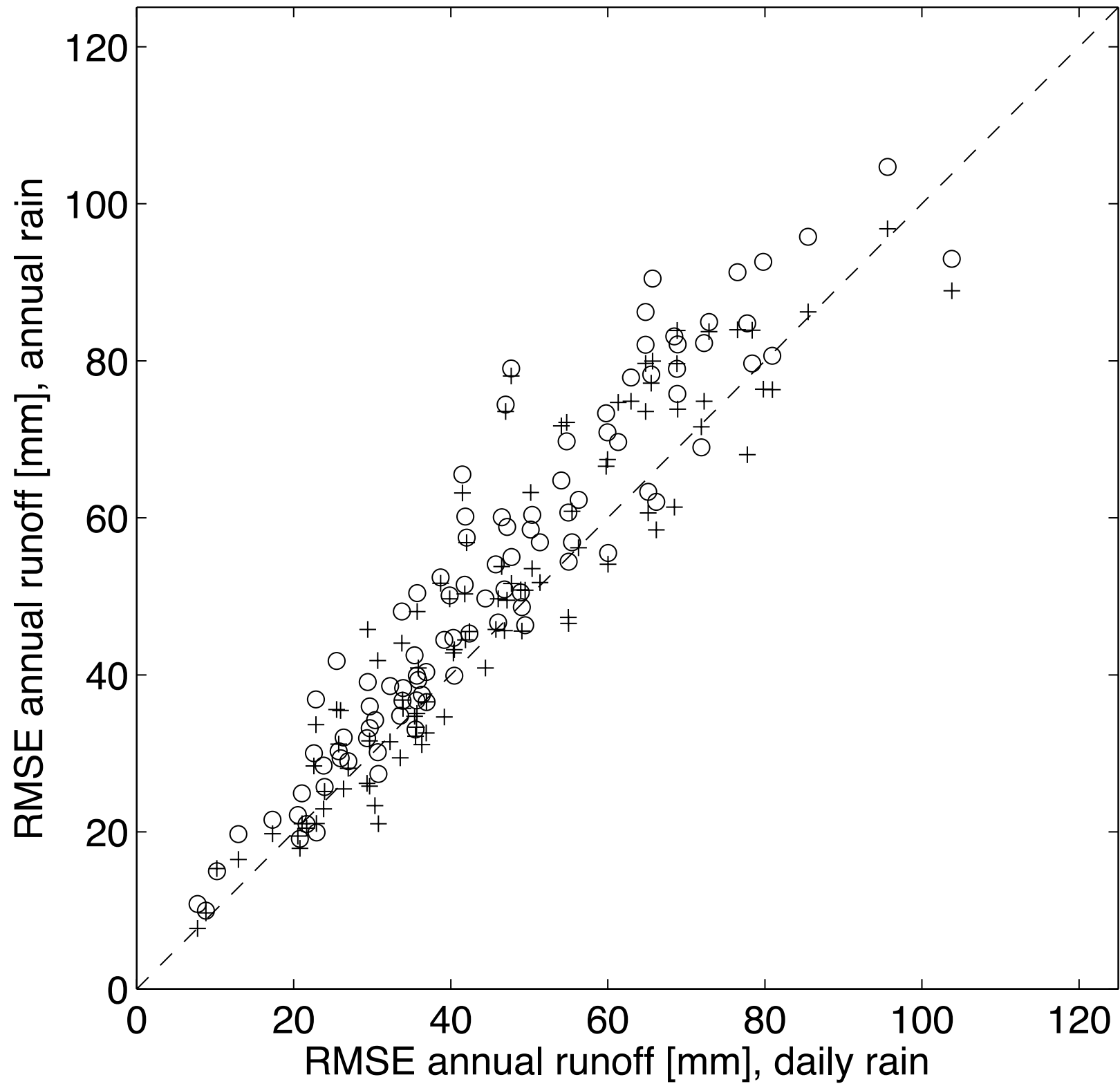


Table A1. Watersheds removed from analyses.

Gaging station	Reason for removal
03 02108000 NE Cape Fear, NC	Area and elevation in basin_characteristics file do not match U.S. Geological Survey website or information in gage information file
03 02310947 Withlacoochee River near Cumpressco, FL	Multiple, long, discontinuous gaps in the streamflow record
03 02381600 Fausett Creek near Talking Rock, GA	Average streamflow from daily values, q is greater than 150% of reported average streamflow, Q
05 03357350 Plum Creek near Bainbridge, IN	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
09 05062500 Wild Rice River at Twin Valley, MN	Average streamflow from daily values, q is greater than 150% of reported average streamflow, Q
09 05087500 Middle River at Argyle, MN	Average streamflow from daily values, q is greater than 150% of reported average streamflow, Q
09 05120500 Wintering River near Karlsruhe, ND	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
10 06468250 James River near Kensal, ND	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
10 06441500 Bad River near Fort Pierre, SD	Multiple long gaps in streamflow record
11 07067000 Current River at Van Buren, MO	Area and elevation in basin_characteristics file do not match U.S. Geological Survey website or information in gage information file
12 08079600 Brazos River at Justiceburg, TX	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
15 09484000 Sabino Creek near Tucson, AZ	Multiple extended gaps in streamflow record throughout
15 09492400 East Fork White River near Apache, AZ	Average streamflow from daily values, q is greater than 150% of reported average streamflow, Q
16 10166430 West Canyon Creek near Cedar Fort, UT	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
16 10172700 Vernon Creek near Vernon, UT	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
16 10172800 South Willow Creek near Grantsville, UT	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
16 10242000 Coal Creek near Cedar City, UT	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
16 10249300 South Twin River nr Round Mountain, NV	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
18 10259200 Deep Creek near Palm Desert, CA	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
18 10263500 Big Rock Creek near Valyermo, CA	Average streamflow from daily values, q , is less than 50% of reported average streamflow, Q
18 11253310	Average streamflow from daily values, q , is less

Cantua Creek near Cantua Creek, CA 17 12040500	than 50% of reported average streamflow, Q Runoff ratio is greater than 1; q is greater than p
Queets River nr Clearwater, WA 17 12041200	Runoff ratio is greater than 1; q is greater than p
Hoh River nr Forks, WA 17 12056500	Runoff ratio is greater than 1; q is greater than p
NF Skokomish River near Hoodspport, WA 17 12147500	Runoff ratio is greater than 1; q is greater than p and Q is greater than P
NF Tolt River near Carnation, WA 17 12147600	Runoff ratio greater than 1; Q is greater than P
SF Tolt River near Index, WA 17 12167000	Runoff ratio greater than 1; q is greater than p and Q is greater than P
NF Stillaguamish River near Arlington, WA 17 12186000	Runoff ratio greater than 1; q is greater than p and Q is greater than P
Sauk River near Darrington, WA 17 14158500	Runoff ratio greater than 1; q is greater than p
McKenzie River near Clear Lake, OR 17 14400000	Runoff ratio greater than 1; q is greater than p and Q is greater than P
Brookings, OR	

Table A2. Modified streamflow records.

Gaging station	Issue	Resolution
03 02051000 North Meherrin River near Lunenburg, VA	Gap in streamflow record from 10/1/1980 through 9/30/1981	Use streamflow from 10/1/1981 through 12/31/2010
03 02235200 Blackwater Creek near Cassia, FL	Large gaps in streamflow record from 12/1/1980 through 6/9/1985	Use streamflow from 7/1/1985 through 12/31/2010
03 02408540 Hatchet Creek below Rockford, AL	Gap in streamflow record from 9/25/1980 through 9/30/1980	Use streamflow from 10/1/1980 through 12/31/2010
03 02464146 Turkey Creek near Tuscaloosa, AL	Gap in streamflow record from 10/1/1984 through 9/30/1986; recorded as zeroes	Use streamflow from 10/1/1986 through 12/31/2010 only
05 03066000 Blackwater River at Davis, WV	Gap in streamflow record from 10/1/1991 through 9/30/1992	Use streamflow from 10/1/1992 through 12/31/2010 only
05 03159540 Shade River near Chester, OH	Some estimated streamflow; no significant gaps found	Use data as are
05 03161000 South Fork New River	Some estimated streamflow; no significant gaps found	Use data as are

near Jefferson, NC		
05 03187500 Cranberry Creek near Richmond, WV	Gap in streamflow record from 10/1/1982 through 2/29/1984	Use streamflow from 3/1/1984 through 12/31/2010 only
05 03281100 Goose Creek at Manchester, KY	Gap in streamflow record from 10/1/2000 through 9/30/2001 and 10/1/2003 through 9/30/2006	Use streamflow from 1/1/1980 through 9/30/2000 only
05 03300400 Beech Fork at Maud, KY	Gap in streamflow record from 5/3/2010 through 6/13/2010	Use streamflow from 1/1/1980 through 4/30/2010 only
06 03450000 Beetree Creek near Swannanoa, NC	Gap in streamflow record from 10/1/1981 through 8/28/1985	Use streamflow from 9/1/1985 through 12/31/2010
09 05062500 Wild Rice River at Twin Valley, MN	Gap in streamflow record from 10/21/1983 through 9/13/1989	Use streamflow from 10/1/1989 through 12/31/2010
10 06037500 Madison River near West Yellowstone, MT	Gap in streamflow record from 10/1/1986 through 9/30/1988	Use streamflow from 10/1/1988 through 12/31/2010 only
10 06043500 Gallatin River near Gallatin Gateway, MT	Gap in streamflow record from 10/1/1981 through 9/30/1984	Use streamflow from 10/1/1984 through 12/31/2010 only
10 06188000 Lamar River near Tower Falls Ranger Station, Yellowstone National Park	Gap in streamflow record from 10/1/1985 through 4/30/1986 and from 10/1/1986 through 8/31/1988	Use streamflow from 9/1/1988 through 12/31/2010 only
08 07290650 Bayou Pierre near Willows, MS	Extended gaps in record between 10/1/2009 and 12/31/2010	Use streamflow from 1/1/1980 through 9/30/2009
08 07295000 Buffalo River near Woodville, MS	Extended gaps in record between 10/1/2009 through 12/31/2010	Use streamflow from 1/1/1980 through 9/30/2009
08 07376000 Tickfaw River at Holden, LA	Gap in streamflow record from 10/1/1988 through 9/30/1989	Use streamflow from 10/1/1989 through 12/31/2010 only
12 08025500 Bayou Toro near Toro, LA	Gap in streamflow record from 10/1/1986 through 9/30/1988	Use streamflow from 10/1/1988 through 12/31/2010 only
12 08155200 Barton Creek near Oak Hill, TX	Gap in streamflow record from 10/15/1982 through 1/29/1989; also multiple periods of zero streamflow	Use streamflow from 2/1/1989 through 12/31/2010
15 09497800 Cibecue Creek near Chysotile, AZ	Gap in streamflow record from 10/1/2009 through 6/13/2010	Use streamflow from 1/1/1980 through 9/30/2009 only
15 09505200	Gap in streamflow record from	Use streamflow from 10/1/1988

Wet Beaver Creek near Rimrock, AZ	10/1/1982 through 9/30/1985 and 10/1/1987 through 9/30/1988	through 12/31/2010 only
17 12025000 Newaukum River near Chehalis, WA	Gap in streamflow record from 10/1/1981 through 9/30/1982	Use streamflow from 10/1/1982 through 12/31/2010 only
17 12043000 Calawah River near Forks, WA	Gap in streamflow record from 10/1/1980 through 2/29/1984	Use streamflow from 3/1/1984 through 12/31/2010
17 12141300 Middle Fork Snoqualmie River near Tanner, WA	Gap in streamflow record from 10/1/1991 through 9/30/1992	Use streamflow from 10/1/1992 through 12/31/2010 only
17 12374250 Mill Creek near Niarada, MT	Gap in streamflow record from 9/1/1982 through 9/30/1982	Use streamflow from 10/1/1982 through 12/31/2010
17 13310700 South Fork Salmon River near Krassel Ranger Station, ID	Gap in streamflow record from 10/1/1982 through 3/31/1985, 10/1/1986 through 1/31/1989,	Use streamflow from 2/1/1989 through 12/31/2010