1 Groundwater-dependent ecosystems:

| 2 | recent insights from satellite and field-based studies |
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| 21 | ABSTRACT |
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| 23 | Groundwater-dependent ecosystems (GDEs) are at risk globally due to unsustainable levels |
| 24 | of groundwater extraction, especially in arid and semi-arid regions. In this review, we |
| 25 | examine recent developments in the ecohydrology of GDEs with a focus on three knowledge |

gaps: (1) how do we locate GDEs, (2) how much water is transpired from shallow aquifers
by GDEs and (3) what are the responses of GDEs to excessive groundwater extraction? The

answers to these questions will determine water allocations that are required to sustain

- 29 functioning of GDEs and to guide regulations on groundwater extraction to avoid negative
- 30 impacts on GDEs.
- 31 We discuss three methods for identifying GDEs: (1) techniques relying on remotely sensed

32 information; (2) fluctuations in depth-to-groundwater that are associated with diurnal

variations in transpiration; and (3) stable isotope analysis of water sources in the transpirationstream.

- 35 We then discuss several methods for estimating rates of GW use, including direct
- 36 measurement using sapflux or eddy covariance technologies, estimation of a climate wetness
- index within a Budyko framework, spatial distribution of ET using remote sensing,
- 38 groundwater modelling and stable isotopes. Remote sensing methods often rely on direct
- measurements to calibrate the relationship between vegetation indices and ET. ET from
- 40 GDEs is also determined using hydrologic models of varying complexity, from the "White
- 41 method" to fully coupled, variable saturation models. Combinations of methods are typically

42 employed to obtain clearer insight into the components of groundwater discharge in GDEs,

43 such as the proportional importance of transpiration *versus* evaporation (e.g., using stable

44 isotopes) or from groundwater *versus* rainwater sources.

Groundwater extraction can have severe consequences on structure and function of GDEs. In 45 the most extreme cases, phreatophytes experience crown dieback and death following 46 groundwater drawdown. We provide a brief review of two case studies of the impacts of GW 47 48 extraction and then provide an ecosystem-scale, multiple trait, integrated metric of the impact 49 of differences in groundwater depth on the structure and function of eucalypt forests growing along a natural gradient in depth to groundwater. We conclude with a discussion of a depth-50 to-groundwater threshold in this mesic GDE. Beyond this threshold, significant changes 51 52 occur in ecosystem structure and function.

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54 **1** Introduction

55 Water stored belowground in the saturated zone (groundwater) is the largest global store of

56 liquid freshwater, accounting for about 96 % of all liquid freshwater (Shiklomanov 2008).

57 Whilst readily accessed by humans for millennia at naturally occurring springs/oases and as

baseflow discharge into rivers, it has only been during the past 100 years that exploitation of

59 groundwater resources has become of global concern (Gleick and Palaniappan 2010). The 60 rate of groundwater use of three (Pakistan, Iran and Saudi Arabia) of the seven largest users

61 of groundwater (India, the USA, Pakistan, China, Iran, Mexico and Saudi Arabia) use

62 groundwater at an annual rate that exceeds the renewable resource volume (Giordano 2009).

63 Only three of the top 10 users are OECD members, reflecting the large reliance on

64 groundwater of less developed nations, which are often located in arid and semi-arid climates

65 where surface water stores are generally low.

About two fifths of the world's terrestrial surface area is arid or semi-arid and more than 38

67 % of the world's population lives there. Managing groundwater resources sustainably is

therefore a major global social and economic priority (Glazer and Likens 2012). Whilst

about 40 % of global groundwater abstraction occurs in these regions, the scarcity of rain

70 means that only 2 % of groundwater recharge occurs there (Wada et al., 2010). Water is

71 increasingly becoming a geopolitical and strategic resource. Disputes between neighbouring

states are increasing as demands for groundwater increase. Because of the close relationship

between crop yield and water supply, diminishing availability of groundwater in arid and

semi-arid regions has immediate and severe impacts on food supplies, food prices and

concomitant social unrest. Recent estimates suggest that between 10 and 25 % of the food

76 produced in China and India (home to 2.5 billion people) is at risk because of groundwater

77 depletion (Seckler et al., 1999; Brown 2007).

78 Over extraction of groundwater stores can create several problems. These include: loss of

79 discharge from groundwater to wetlands, springs and streams/rivers, which results in loss of

80 ecosystem structure and function and the associated loss of ecosystem services (Eamus et al.,

81 2006a; Murray et al., 2006); increased depth of groundwater, thereby reducing its availability

- 82 within the root zone of terrestrial groundwater-dependent vegetation; reduced availability of
- 83 groundwater for direct human consumption; and reduced availability of groundwater for
- 84 commercial use, including irrigation, stock watering and other industrial applications.

In a recent wide-ranging review of GDEs, Orellana et al., (2012) identified quantification of 85 the water used by GDEs and an understanding of the physiology of GDEs as major 86 87 unresolved problems. Naumburg et al., (2005) provide a review of the impact of both declining and increasing depth to the water table on phreatophytic vegetation in arid zones 88 and provide two conceptual models describing ecosystem responses to these changes in 89 depth. They note that information on root depth and the impact this may have on responses 90 to changes in depth-to-groundwater as a key knowledge gap. In this current review we 91 discuss application of remote sensing techniques to quantify rates of water use of GDEs. We 92 present ecophysiological responses of vegetation to differences in groundwater availability in 93 two case studies plus the results of a four year ecophysiological study of eucalypt woodlands 94 95 across a natural gradient in depth-to-groundwater in a mesic environment. From this last study we produce an integrated response metric for the response of these woodlands to 96

- 97 differences in groundwater depth.
- Whilst Hatton and Evans (1998) recognised five classes of ecosystem dependency on
 groundwater, we use the simplified classification system proposed by Eamus et al., (2006b):
- 101 (Class I) Aquifer and cave ecosystems where stygofauna reside. This class also includes
 102 the hyporheic zones of rivers and floodplains.
- 103 (Class II) *Ecosystems reliant on the surface expression of groundwater*. This includes 104 springs, estuarine seagrasses, and base-flow rivers, streams and wetlands.
- 105 (Class III) Ecosystems reliant on sub-surface presence of groundwater within the rooting
 106 depth of the ecosystem (usually via the capillary fringe).

Application of this simple classification scheme assists managers in identifying the correct
techniques for assessing GDE structure, function and management regime (Eamus et al.,
2006b), and this classification scheme was recently adopted in the Australian National Atlas
of Groundwater-Dependent Ecosystems.

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In this review, we focus on the ecohydrology of groundwater-dependent ecosystems rather than on groundwater resources *per se*. This is because we feel that environmental allocations of groundwater have generally received less attention than allocations to human demands and because we identify three important knowledge gaps to the sustainable management of groundwater for environmental allocations. These are:

How do we know where a groundwater-dependent ecosystem (GDE) is in the
 landscape? If we don't know where they are, we can't manage them and allocate
 groundwater resources appropriately.

- How much groundwater is used by a GDE? If we don't know how much groundwater
 is used, we cannot allocate an appropriate quantity of the resource.
- 3. What are the likely responses of GDEs to over extraction of groundwater? Without
 knowing what to measure, we cannot regulate groundwater extraction in ways that do
 not negatively impact on GDEs.
- 125

1262Identifying groundwater dependent vegetation

Identifying the location of GDEs is the first requisite step to managing them. However,
identifying their location across a landscape is difficult, time-consuming, expensive and
requires a high level of technical expertise. In this section, a range of new techniques that can
be used to assist in this are discussed.

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132 2.1 Methods to identify GDEs: indirect inference

Early assessments of groundwater dependency generally relied on inference (Eamus et al.,
2006a; Clifton and Evans 2001). Recent applications of inferential techniques to springs,
wetland, rivers and lakes can be found in Brown et al., (2011) and to springs, wetlands and
streams reliant on baseflow in Howard and Merrifield (2010) and are not further discussed
here.

138

139 2.2 Direct methods

140 2.2.1 Satellite based approaches

141 In recent years remote sensing (RS) of land surfaces and vegetation structure (e.g. phenology,

142 LAI) and function (e.g. ET, gross primary productivity) has become increasingly

sophisticated (Glenn et al., 2010; Yuan et al., 2010; Jung et al., 2011; Rossini et al., 2012;

144 Kanniah et al., 2013; Ma et al., 2013; Nagler et al., 2013) and increasingly applied to real-

145 world applications of water resource management (Scott et al., 2008; Glenn et al., 2010;

146 Barron et al., 2014; Doody et al., 2014). Remote sensing (RS) provides a robust and spatially

147 explicit means to assess not only vegetation structure and function but also relationships

148 amongst these and climate variables.

149 A key concept in the development of RS applications for identifying the location of GDEs is

that of "green islands" (Everitt and DeLoach, 1990; Everitt et al., 1996; Neale, 1997;

151 Akasheh et al., 2008), which began with the airborne observations of desert oases and

152 riparian corridors. In this model the structure or function of one pixel in an RS image is

153 compared to that of another pixel located nearby. If one pixel contains a GDE but the other

- does not, the hypothesis that the structure and function of vegetation in the two pixels will
- diverge during extended dry periods can be tested. The underlying assumption is that
- vegetation with access to groundwater will not be subject to the same degree of soil water

deficit as vegetation that does not have access to groundwater, thus the spectral signature of the two pixels will diverge over time. By comparing vegetation structure or function across contrasting periods (e.g., comparisons across "wet" and "dry" periods) or across landscapes (e.g., comparisons from riverside to upland pixels), green islands within a sea of browning

161 vegetation can be identified (Contreras et al., 2011)

Munch and Conrad (2007) used Landsat imagery to identify the presence/absence of wetlandsacross three catchments in South Africa. They combined this with GIS terrain modelling to

164 determine whether GDEs could be identified using a landscape "wetness potential" for class

165 II GDEs (those reliant on a surface expression of groundwater). They concluded that RS data

- 166 could be used to classify landscapes by comparing the attributes of potential GDEs to the167 attributes of surrounding land covers during three periods: in July when rains started at the
- end of a dry year; in August during the winter of a wet year; and at the end of a dry summer.
- 169 When this was combined with a GIS model using landscape characteristics, they were able to

170 produce a regional-scale map of the distributions of GDEs.

171 Plant density is often correlated with water availability, especially in arid and semi-arid

regions. Thus, plant density tends to be larger when groundwater is available than in nearby

vegetation that does not have access to groundwater. Ly et al., (2012) used a remotely sensed

vegetation index (normalised difference vegetation index; NDVI; 300 m resolution) to

examine changes in depth-to-groundwater within a small region in northern China. NDVI is a

reliable measure of the chlorophyll content ("greenness") in leaves and vegetation cover

177 (Gamon et al., 1995; Carlson and Ripley, 1997; Huete et al., 2002). Using a 25 m resolution

digital elevation model and groundwater bore data, the resultant relationship between NDVI

and depth-to-groundwater was obtained (Fig. 1).

- 180
- 181 Fig 1 here

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Similar in shape to the relationship between LAI and NDVI, the largest values of NDVI 183 occurred at sites with shallow groundwater and declined curvi-linearly as depth-to-184 groundwater increased. In that study, a cut-off of approximately 10 m depth-to-groundwater 185 was identified below which vegetation cover was relatively insensitive to further increase in 186 groundwater depth. In contrast, the threshold was about 4.4 m depth-to-groundwater in the 187 Ejina area of NW China (Jin et al., 2011). In their study, which included part of the Gobi 188 desert where annual rainfall was about 40 mm, vegetation was absent in regions where 189 groundwater depth exceeded 5.5 m. They also used NDVI and 13 groundwater bores, from 190 191 which relationships between NDVI and groundwater depth for three vegetation classes (grassland, woodland and scrubland) were established. Maximal values of NDVI occurred at 192 sites with intermediate (2.5 - 3.5 m) depth-to-groundwater rather than at sites with shallower 193 groundwater, a result often ascribed to the effect of anoxia arising from root flooding when 194 the water table is too shallow (Naumburg et al., 2005). 195

196 Geological, hydrological and ecological data can be used to define areas that have common physical and climatic profiles. These regions are expected to have similar vegetation cover 197 (assuming no management has induced significant changes), thus such areas are expected to 198 have a similar RS signature. Dresel et al., (2010) applied this approach for individual regions 199 in South Australia by developing a correlation analysis using Landsat summer NDVI and 200 MODIS enhanced vegetation index (EVI) as surrogate measures of productivity. EVI is 201 effective for scaling productivity across the range of global ecosystem types (Campos et al., 202 2013). MODIS EVI images were used to identify regions displaying a consistent 203 photosynthetic activity throughout the year. Landsat NDVI images were then used to locate 204 areas displaying large inter-annual variation in photosynthetic activity across wet and dry 205 years, which were identified by aridity thresholds that were calculated from the Thornthwaite 206 index. Finally, they used an unsupervised classification of Landsat spectral data to locate 207 pixels with similar spectral signatures of areas corresponding to known groundwater-208 209 dependent ecosystems. Species-specific differences in spectral signatures have been identified previously (Nagler et al., 2004). By combining all three sources of information 210 (geological, hydrological and ecological) within a GIS, Dresel et al., (2010) identified all 211 pixels across a catchment that had a very high probability of being a GDE. Critical for 212 providing assurance of accurate mapping, ground reconnaissance ("truthing") was used to 213 validate these findings. 214

Mapping of groundwater discharge zones (that is, discharge through transpiration and to the 215 ground surface) provides an alternative approach to finding GDEs. Discharge of groundwater 216 has a large effect on local ecology. To define the spatial extent of discharge, information is 217 required about the geology, hydrology, ecology and climate of a site (Tweed et al., 2007). By 218 using thermal, Landsat optical and MODIS NDVI data coupled to digital elevation models 219 and depth-to-groundwater data, Leblanc et al., (2003a, b), located discharge areas in semi-220 arid Lake Chad basin in Africa. Similarly Tweed et al., (2007) examined discharge (and 221 recharge) of the Glenelg-Hopkins catchment in SE Australia. Discharge occurred through 222 direct evaporation from the water table (i.e., groundwater evaporation); groundwater 223 transpiration; and discharge to the ground surface at landscape depressions, rivers, wetlands 224 and break-of-slope localities. Importantly, they observed low variability of vegetation 225 activity across wet and dry periods (seasons or years) using the NDVI as a measure of 226 vegetation. In this case, the variability in NDVI was correlated with locations where 227 groundwater was supporting vegetation activity. One possible limitation to this method is 228 that it tends to be most accurate in more xeric locations, where rainfall is more likely to limit 229 vegetation function, except during extended droughts. 230

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232 2.2.2 Fluctuations in groundwater depth

When rooting depth is sufficient, vegetation can directly access the water table via the
capillary zone of shallow unconfined aquifers. In some circumstances groundwater uptake by
vegetation can be seen as a diel fluctuation in the depth-to-groundwater (Miller et al., 2010),
as first identified in groundwater hydrographs by Walter White (1932). These daily

237 fluctuations in depth-to-groundwater cease when the water table falls below the rooting zone

- 238 (Butler et al., 2007) or when vegetation is dormant (Lautz, 2008; Martinet et al., 2009; Miller
- et al., 2010). However, changes in the density of water with temperature can cause expansion
- and contraction of an aquifer (Post and von Asmuth, 2013), leading to the erroneousconclusion that the vegetation is accessing groundwater. Additionally, when the water table
- conclusion that the vegetation is accessing groundwater. Additionally, when the water table is very shallow direct evaporation from groundwater via bare soil can be substantial (1-10)
- $mm d^{-1}$ (Thorburn et al., 1992) and this may also be misinterpreted. Thus, groundwater
- 244 dependency generally requires supporting confirmation from multiple indicators and cannot
- be identified definitively from the "White method" alone. Further elaboration of the White
- 246 method is given in section 3.5.1 and described in detail in Orellana et al., (2012).
- 247

248 2.2.3 Stable isotope analysis

Direct evidence that vegetation is using groundwater can be obtained by comparing the stable 249 isotope composition of groundwater, soil water, surface water (if relevant) and xylem water 250 251 (Thorburn et al., 1993; Zencich et al., 2002; Lamontagne et al. 2005; O'Grady et al., 2006a, 252 b; Kray et al., 2012; Busch et al., 1992; Ehleringer and Dawson, 1992; Smith et al., 1998). This method is very effective in semi-arid regions where groundwater is derived from 253 snowmelt or winter precipitation (which is isotopically lighter than summer precipitation) 254 (Ehleringer and Dawson, 1992; Smith et al., 1998; Jobbagy et al., 2011). When sufficient 255 differences in isotopic composition exist among sources of water, the dominant source used 256 by different species at different times of year can be identified (Zencich et al., 2002). 257

An example of deuterium isotope analysis of water collected from xylem, soil, river and 258 groundwater is shown in Table one. Species growing close to groundwater (Melaleuca 259 argentea) have xylem isotope compositions close to that of groundwater but species growing 260 further upslope away from the river had xylem isotope compositions close to that of soil 261 water isotope. Further examples include: a) identification of soil and surface water use by 262 juvenile riparian plants, in contrast to groundwater use by mature trees (Dawson and 263 Ehleringer, 1991); and b) determination of the mountainous source of groundwater and 264 opportunistic use of that groundwater by riparian trees (Chimner and Cooper, 2004). 265

266 Mixed-member models (i.e., "Keeling plots") can be applied to allow estimation of the 267 relative contribution of multiple sources of water to the water absorbed by roots (Phillips and

268 Greg 2003). While it is possible for a linear mixing model to distinguish more than two

- potential sources of water, such an application requires the fractionation of ${}^{2}\text{H}$ or ${}^{18}\text{O}$ to be
- independent of each other, which is often not the case. At a minimum, the use of stable
- isotopes can provide information about spatial and temporal variation in groundwater
- dependency across species and ecosystems. Application of stable isotope analyses to quantify
- the rate of water use is discussed later (Section 3.5.2).
- 274

276 **3** Application of remote sensing to the study of GDEs

277 3.1 A primer on remote sensing derived values of rates of water flux

Before discussing the application of RS techniques to estimate rates of groundwater use by
vegetation, we will provide a simple summary of the principles of using RS to estimate ET
more broadly. For a detailed and comprehensive evaluation of these methods, refer to Glenn
et al., (2007). Table 2 provides examples of recent studies that have used RS in the study of
GDEs.

283 The energy balance equation for land surfaces is:

 $LE + H = R_{n} - G \tag{1}$

where LE is latent energy flux (ET), H is sensible heat flux. R_n is net radiation and G is soil

heat flux. Differences in temperature between air temperature and canopy temperature have

been used to estimate sensible heat flux (Glenn et al., 2010). Using the reasonable assumption

that G averages out to zero over any single 24-hour period and R_n is either measured or

derived from remote sensing data, then LE (that is, ET) can be calculated by difference.

290

291 Table 2 here

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Li and Lyons (1999) compared three methods that use surface temperatures to estimate ET. 293 In two methods, differences in surface and air temperature were used to estimate ET, 294 although the two methods differed in the details of the aerodynamic resistance functions. The 295 third model combined NDVI, surface temperature and a soil-adjusted vegetation index that 296 required the four extreme values of surface temperature and NDVI to be located 297 simultaneously within the study area (i.e., patches of dry bare soils; wet bare soil; wet, fully 298 vegetated patches; and dry, water stressed, fully vegetated surfaces). This can make its 299 application problematic. Two methods used the energy balance equation to estimate ET, 300 301 whereas ET was estimated in a third by using RS data to estimate the Priestley-Taylor factor that scales between ET and potential ET (ET_p) . They concluded that the simplest first and 302 second models produced better estimates of ET and that inclusion of the soil index improved 303 the estimates of ET from native (i.e., non-agricultural) vegetation. Likewise, Nagler et al., 304 (2005a) found that estimates of ET from riparian corridors using RS were improved with the 305 306 incorporation of a soil index.

307

308 3.2 Estimating groundwater use by remote sensing

Quantifying the water balance of arid and semi-arid landscapes and aquifers is important to
 sustainably manage water resources. Accurate and spatially distributed estimates of discharge

through vegetation are difficult to obtain through field measurements. Recently, RS methods
have been calibrated against Penman-Monteith estimates of ET (Glenn et al., 2010; Nagler et

- al., 2013; Doody et al., 2014), which requires only standard weather data (net radiation, wind
- 314 speed and vapour pressure deficit) and thus increases the coverage of calibration sites.
- Because ET in GDEs is generally not limited by soil moisture when groundwater is of high
- 316 quality (i.e. not saline), it is assumed that actual ET rates are equivalent to the ET of a
- reference grass crop (i.e., reference ET, ET_0), as computed following FAO-56 (Allen et al.,
- 1998). Then, normalised VIs, either EVI* or NDVI*, can be used like crop coefficients to
- estimate the spatial distribution of ET_a from ET_0 on a per-pixel basis. Nagler et al., (2013) used an exponential scaling function of EVI* to estimate ET_a :
- 321

322
$$ET_{a} = ET_{0} \left(a \left[1 - e^{-b EVI^{*}} \right] - c \right)$$
(4)

Similarly, Groeneveld and Baugh (2007) found that this methodology is particularly
applicable to arid and semi-arid vegetation underlain by a shallow water table. In arid and
semi-arid regions, annual rainfall is low and often erratic. Consequently, the presence of a
shallow water table results in a relatively consistent supply of water to roots. NDVI* was
calculated from summer peak season NDVI (Groeneveld and Baugh 2007):

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329
$$NDVI^* = (NDVI - NDVI_z) / (NDVI_m - NDVI_z)$$
 (5)

where NDVI_z and NDVI_m are the NDVI values for zero vegetation cover and NDVI at 330 saturation, respectively. Although selection of the values for NDVIz and NDVIm can 331 introduce uncertainty, Groeneveld and Baugh (2007) found significant convergence in the 332 NDVI by removal of non-systematic scatter in the data. Calibration of ET in the field is not 333 required to apply this method but it is necessary to define NDVI_m. This requires highly 334 verdant pixels in the RS images, arising either from irrigation or the presence of, for example, 335 riparian vegetation that maintains a large LAI. At mesic sites, defining NDVI_z may also be 336 difficult. Despite these problems, Groeneveld and Baugh (2007) were able to disaggregate the 337 influence of groundwater supply from that of recent rainfall. 338

Groeneveld et al., (2007) applied this NDVI* methodology to three arid sites in the US where annual ET_a values were available through the availability of Bowen ratio or eddy covariance measurements. A significant linear relationship ($R^2 = 0.94$) was found between measured annual ET_a and mid-summer NDVI*, despite very different vegetation composition and structure across those sites. However, the regression of ET_a/ET_0 versus NDVI* did not pass through the origin and would introduce an offset error if NDVI* were used to estimate ET_a .

To overcome this, Groeneveld et al., (2007) transformed ET_a to ET_a^* :

346
$$\operatorname{ET}_{a}^{*} = \left(\operatorname{ET}_{a} - \operatorname{rainfall}\right) / \left(\operatorname{ET}_{0} - \operatorname{rainfall}\right)$$
 (6)

347 The resulting regression of ET_a^* versus NDVI* yielded a slope of 0.97, an intercept of zero

and an R^2 of 0.96. They concluded that NDVI* was a reliable indicator of ET_a^* . Re-

349 arranging the equation above and substituting NDVI* for ET_a^* , they demonstrated that:

350

351
$$ET_a(estimated) = (ET_0 - rainfall) NDVI * + rainfall$$
 (7)

352

They estimated the amount of groundwater transpired (ET_g) by deducting annual rainfall from annual ET_a . That is, $ET_g = (ET_0 - rainfall)$ NDVI*. The average error in ET_g was estimated to be about 12 %, which in the absence of field measurements is a very valuable estimate of rates of groundwater use. Further application of the Groeneveld et al., (2007) method can be found in Groeneveld (2008).

358

359 3.2.1 Up-scaling from point to larger-scale estimates of ET

Riparian vegetation is often reliant on groundwater (either through bank recharge or direct 360 361 access to the shallow water table), especially in arid and semi-arid regions. Rates of ET are enhanced by groundwater use in dry environments (Cleverly 2013), where riparian ET is a 362 large component of the water balance (Dahm et al., 2002; Scott et al., 2008). However, 363 measurement of the riparian ET component depends upon the physical characteristics of the 364 riparian corridor. If a riparian corridor is sufficiently wide, eddy covariance can be used to 365 directly measure ET (Cleverly 2013). Where the corridor is insufficiently wide, tree-scale 366 sapflow techniques can be used (O'Grady et al., 2006)(Goodrich et al., 2000b). Combinations 367 of both methods (Moore et al., 2008; Oishi et al., 2008) can be used to partition transpiration 368 from evapotranspiration (Scott et al., 2006a), thereby estimating the proportion of ET due to 369 370 transpiration from groundwater with the condition that groundwater evaporation is negligible.

371 RS methods are used to expand from measurements of ET at discrete locations to the large-

scale that is required by resource managers. In two studies, (Nagler et al., 2005a; Nagler et

al., 2005b)MODIS EVI and maximum daily air temperatures (from MODIS land surface

temperature LST) were used to derive an empirical estimate of riparian ET for the San Pedro

River and Middle Rio Grande of the USA (Nagler et al., 2005a; Nagler et al., 2005b). Their

376 equations for daily ET were:

377
$$ET = a \left(1 - e^{-b EVI^*} \right) \left(c \swarrow \left[1 + e^{-\left\{ T_a - d \swarrow e \right\}} \right] \right) + f \qquad (Middle Rio Grande) and \qquad (2)$$

378
$$ET = a \left(1 - e^{-b EVI^*}\right) \left(LST - c\right) + d \qquad (both rivers)$$
(3)

where a, b, c, d, e and f are regression constants derived by regression analysis, T_a is air
 temperature derived from MODIS LST retrievals, and EVI was normalised to obtain EVI* .

381 Strong correlations between EVI*, T_a and ET were observed and used to provide scaled estimates for larger areas of vegetation. Despite this being an empirically derived equation 382 from a single study, the form of the equation appears to be relatively robust across 383 catchments (Nagler et al., 2005b). Similarly, Scott et al., (2008) and Nagler et al., (2009) 384 applied these equations (Nagler et al., 2005a; Nagler et al., 2005b) in which they used 385 MODIS-derived nocturnal surface temperature and daily maximal air temperature, 386 respectively. In the regression between ET derived from RS and EC methods, the coefficient 387 of determination (R^2) was larger than 0.93 during all three years of study and across three 388 vegetation types (grassland, shrubland and woodland), thereby indicating the broad 389 applicability of this method. Thus, this method has the ability to (a) scale from point 390 measurements using individual EC towers to much larger areas; and (b) estimate the 391 difference between annual rainfall and ET and, where ET > rainfall, estimate vegetation 392 groundwater use. 393

394

395 3.3 Gravity recovery and climate experiment (GRACE) for detecting changes in 396 total terrestrial water storage

In addition to remote sensing measures of ET anomalies or NDVI green islands, there are 397 also new satellite sensors and techniques that provide estimates of groundwater fluctuations 398 and soil moisture storage changes that are of value to the study of GDE's (Brunner et al., 399 2007). The twin satellites known as the Gravity Recovery and Climate Experiment (GRACE) 400 were launched in 2002 for the purpose of making detailed measurements of Earth's gravity 401 field (Tapley et al., 2004). Although Earth's gravity variations tend to be relatively constant 402 over long time intervals, more dynamic, time-variable gravity fields can be detected and these 403 have been related to land surface moisture, ground water fluctuations, sea ice, sea level rise, 404 and deep ocean currents. GRACE's ability to monitor changes in such "unseen water 405 reserves" from space are a significant new addition to hydrological studies that can 406 407 substantially improve our knowledge of below- and aboveground water resources and associated changes to vegetation functioning and GDE's. However, GRACE is not able to 408 409 estimate rates of actual groundwater-use by GDEs.

410 Technically, the GRACE satellites detect changes in the Earth's gravity field by monitoring

the changes in distance between the two spacecraft as they orbit Earth. The relative distance

412 will change in response to variations in the Earth's mass, including changes in mass of both

413 above- and below-ground water reservoirs (groundwater, soil moisture, snow, ice, and

414 surface waters). The GRACE satellite data directly measures changes in total water storage

- 415 (TWS) and not changes of the individual hydrologic components (e.g., surface water, soil
- 416 moisture, and groundwater). Groundwater storage changes from GRACE are thus inferred by
- 417 isolating and removing the contributions of all other TWS components, using either

418 independent hydrologic datasets and/or land surface models.

In most cases, soil moisture becomes the sole component that must be removed from thegravity data to estimate groundwater changes, since variability of snow and surface water is

- 421 relatively insignificant to total water storage variability. By subtracting the soil moisture
- contribution, the remaining time-variable change in GRACE's measure of total water storage 422 will be due to changes in groundwater. Thus: 423

(8)

- DTWS = DSW + DSM + DGW424
- 425

Where ΔTWS , ΔSW , ΔSM and ΔGW are changes in total water store, soil moisture, 426

Many studies have compared changes in groundwater storage obtained from GRACE data 427 with in situ data for validating the accuracy of GRACE data at either regional or continental

428 scales (Henry et al., 2011; Leblanc et al., 2009; Rodell et al., 2009, 2007; Scanlon et al., 429

2012a,b; Syed et al., 2009). 430

431 GRACE is not a way to measure exact water storage amounts from space and cannot be used

to measure how much water is stored in a river basin at a particular instant in time. Instead, 432

gravity information is used to assess relative changes in water storage over large areas at 433

monthly, seasonal or annual time steps. Seasonal changes in water storage may be the easiest 434

to detect using the GRACE technique because such changes tend to be large. 435

436 In general, GRACE data are more accurate for large areas over long time intervals. For

example, GRACE can detect seasonal and annual changes in water storage over large areas-437

and can detect month-to-month changes over entire river basins (of the order of millions of 438

square kilometers). Presently, GRACE can confidently detect water storage changes in areas 439

440 larger than 200,000 square kilometers.

Rodell and Famiglietti (2001) showed that GRACE data can estimate annual groundwater 441

442 change over the High Plains, USA within about 8.7 mm of their actual value. This level of accuracy may not always be an improvement for well-sampled and instrumented aquifers, but 443

for most places in the world, estimates of water levels within a centimeter or less are

444 extremely valuable and will help reveal groundwater depletion in areas of the world where 445

446 such measurements are not systematically recorded.

447 Despite these coarse scales, such information can be extremely useful for water resource

managers, especially as GRACE data continues to be refined to provide improved estimates 448 of groundwater fluctuations and depletion. Regional monitoring of groundwater levels is 449

limited by the lack of ground-based measurements and the lack of a sufficiently extensive 450

network of monitoring wells. Thereby, the GRACE technique offers an objective, unbiased 451

- 452 method for monitoring water storage changes at large scales.
- 453 Although many advances in TWS monitoring have been made using GRACE data, the

454 practical application of GRACE data for local water resources management has been limited

by the low spatial (>150,000 km²) and temporal (>10 days) resolution of GRACE 455

measurements and by difficulties in disaggregating the various TWS components (Rodell et 456

al., 2007). There is a trade-off between coarse spatial resolution and accuracy, and it remains 457

to be determined whether better spatial resolutions can be achieved without degrading or 458 increasing the uncertainties. However, Houborg et al., (2012) show the potential value of 459

460 GRACE data to significantly improve drought prediction capacity through assimilation of

- these data into the Catchment Land Surface Model using ensemble Kalman smoother and
- 462 forcing data from North American and Global Land Data Assimilation Systems Phase 2
- 463 (NLDAS-2). Similarly, Sun et al., (2012) imposed GRACE observations as constraints when
- recalibrating a regional-scale groundwater model, further highlighting the value of GRACE
- 465 data to the study of groundwater and GDEs.
- 466
- 467 3.3.1 Downscaling of GRACE

To fully realize the potential of GRACE data for hydrological applications, downscaling, 468 both in space and time are required. This will enable better predictions of changes in 469 groundwater level (Houborg et al., 2012). Sun et al., (2013) explored various downscaling 470 471 techniques for GRACE data for useful predictions of changes in water level. They developed artificial neural network (ANN) model schemes to predict such changes directly by using a 472 gridded GRACE product and other publicly available hydrometeorological data sets. Their 473 474 statistical downscaling approach can be readily integrated into local water resources planning 475 activities, especially in the absence of continuous in situ groundwater observations. They noted that downscaled GRACE data could potentially fill the gap created by the declining 476 coverage of in situ groundwater monitoring networks and 'index' wells used to gauge the 477 wellbeing of aquifers. 478

479

480 3.3.2 Groundwater depletion studies and GRACE

481 GRACE satellite data have been used to estimate groundwater depletion associated with severe droughts in Europe, U.S., China, and India (LeBlanc et al., 2009; Rodell et al., 2009). 482 Groundwater pumping of aquifers often increases during severe droughts for urban, 483 agriculture, livestock, and industry needs. This results in the decline of groundwater levels 484 and the decrease of ground-water discharge to springs, surface water bodies and riparian 485 zones (Peters et al., 2003). Leblanc et al., (2009) attempted to attribute groundwater loss 486 during the recent drought in Murray-Darling Basin in Australia to groundwater pumping. 487 However, they found that the pumping rate represented only less than 10% of the decline rate 488 in groundwater storage as observed by GRACE from 2003 to 2008 (Fig. 2). They concluded 489 490 that the observed decline is mostly be explained by reductions of groundwater recharge and the vast amount of groundwater transpired during the drought by the widespread presence of 491 deep rooted trees (GDEs) as well as capillary rise from the saturated to the unsaturated zone. 492

493

494 Fig 2 here

- 495
- 496

497 **3.4** Remote sensing limitations and challenges in studies of GDEs

498

Remote Sensing applications in studies of GDEs vary greatly, from basic detection, mapping,
and monitoring of GDEs to more complex and quantitative measurements of ET, functioning,
and energy and water balance. In most cases, mapping of GDE locations at appropriate
management scales is prerequisite to more detailed studies, such as groundwater assessments
that may require accurate estimates of ET (Gou et al., 2015).

504

505 Regardless of the application, there will be certain limitations in the use of remote sensing that need to be considered. Other geospatial data sources will often need to be integrated to 506 make the best use of remote sensing, including climate, soils, landscape morphology, and 507 ecologic data layers that will enable potential areas for GDEs to be delineated (Bertand et al., 508 2012). Multiple sensors and image data sets are best suited for studies of GDEs because of 509 the inherent spectral-spatial-temporal limitations of single sensor systems. For example the 510 use of fine spatial resolution Landsat (30 m) and high temporal frequency MODIS data (1-2 511 day) allow us to identify potential GDE vegetation patches (Landsat) and track changes in 512 their seasonal and inter-annual dynamics (MODIS spectral vegetation indices, VIs). Thus, 513 vegetated areas that maintain high VI 'greenness' values during extended dry periods can be 514 515 flagged as 'high GDE potential', under the premise that GDEs exhibit low seasonality in

516 greenness and ET between dry and wet seasons and low inter-annual variability across years.
517

518 However, many ecosystems may contain trees and shrubs that are non-GDE yet also exhibit weak seasonality and inter-annual variation due to their evergreen phenologies. In these 519 mixed tree- grass landscapes, seasonal variability follows the very dynamic herbaceous grass 520 layer that is strongly coupled to rainfall rather than groundwater availability. The stronger 521 522 seasonality present in the grass layer can readily mask GDE signals from the tree layer and confuse GDE detection. This "mixed-pixel" problem restricts many remote sensing 523 applications, particularly when the matrix background of an area with GDEs has insufficient 524 thermal or greenness contrast to enable GDE detection. The detection of 'cool' thermal 525 526 patches (transpiring GDE trees) from relatively warmer backgrounds (soil) will be a function of the size and magnitude of the cold patch relative to the pixel area. The 'greener' and 527 'cooler' signals from a groundwater dependent tree may be averaged out by the non-GDE 528 plants present in the same pixel and a stressed GDE tree can gradually fade into the warmer 529 530 soil background matrix. Spatial heterogeneity may overwhelm detection. Finer resolution imagery will improve detection capabilities but temporal information is then made poorer, 531 due to inherent sensor resolution trade-off's. 532

533

It should be noted that although remote sensing is a useful diagnostic tool and proxy for the detection and sensing of GDE's, most detection and mapping is done by inference and careful user interpretation. Remote sensing often cannot directly ascertain causes and mechanisms for GDEs and much remains to be done to assess GDE influences on the water balance, their sensitivity to changing water availability, and responses to stress conditions. Future sensor systems planned for launch in the next few years include follow-on GRACE twin satellite

- 540 missions with improved sensing capabilities allowing more detailed analyses groundwater,
- soil moisture, and surface water distributions and trends. The soil moisture active passive
- 542 (SMAP) mission, launched in 2014, provides improved soil moisture retrievals which will
- 543 improve upon the detection and differentiation of soil-moisture induced vegetation dynamics
- 544 from those associated with groundwater use.
- 545
- 546 **4 Hydrological modelling of water-use by GDEs**

547 4.1 Conceptual water balance approaches

548 A spreadsheet tool

- 549 O'Grady and co-workers have developed a simple but useful first-order approximation to
- estimate groundwater use of vegetation in an Excel spreadsheet tool (Leaney et al., 2011;
- 551 http://www.csiro.au/products/recharge-discharge-estimation-suite). This toolbox includes
- three methods to estimate rates of groundwater discharge by vegetation:
- 553 1. Groundwater Risk Model
- 554 2. Ecological Optimality Model
- 3. Groundwater Discharge Salinity Model (not described here)
- 556

The groundwater risk model uses historical monthly rainfall and evaporation data for a site to
produce a water balance. Soil texture is used to estimate soil moisture characteristics in each
layer of the model, and groundwater uptake by vegetation is assumed to occur when ET
exceeds rainfall, when also accounting for soil water storage for each month. ET is estimated
from total evaporation using the Budyko framework (Budyko 1974; Donohue et al., 2007;
Yang et al., 2008; Roderick and Farquhar 2009). The risk model in Leaney et al., (2011) uses
the Choudhury-Yang formulation of the Budyko equation:

564
$$ET_a = \left(P \ ET_p\right) \swarrow \left(P^n + \left[ET_p\right]^n\right)^{1 \swarrow n}$$
 (9)

where P is rainfall and n is a fitting parameter that determines the shape of the curve. Determining the value of n is difficult, but a close approximation can be derived from the climate wetness index ($CWI = P/ET_p$). When the CWI > 0.3, n is approximately equal to CWI and when CWI < 0.3, n is approximately 1.8 (Leaney et al., 2011). The influence of variation in *n* and the Budyko formulation is shown in Figure 3.

570

571 Figure 3 here

- 573 The model is run using historical monthly rainfall and estimated ET. Pan evaporation rates
- can be used instead of ET_p , in which case $ET_p = 0.75E_{pan}$. Modest agreement between
- 575 modelled and observed rates of groundwater discharge was found in two Australian studies
- 576 where ET exceeded rainfall in the Wattle Range by 2 to 440 mm y^{-1} (Benyon and Doody
- 577 2004), although the range of estimated groundwater discharge rates was large: 107 to 671
- 578 mm y^{-1} (Benyon and Doody 2004) and 380–730 mm y^{-1} (Benyon et al., 2006).
- As an alternative method to the risk assessment just described, Leaney et al., (2011) applied 579 Eagleson's theory of ecological optimality (Eagleson 1978). This proposes that the LAI of a 580 site is maximised according to long-term rainfall and soil water holding capacity such that 581 productivity is maximised whilst minimising the development of water stress. In this 582 hypothesis, native vegetation is assumed to be at equilibrium with the local hydrological 583 regime (Nemani and Running 1989). Ellis and Hatton (2008) have shown that the LAI of a 584 site is proportional to a climate wetness index (CWI = P/ET_p), whilst Eamus et al., (2001) 585 used the Baldocchi-Meyers index (foliar [N] x P/E_{eq}, where foliar [N] is the concentration of 586 nitrogen in leaves and E_{eq} is equilibrium evapotranspiration) and found a strong ($R^2 = 0.95$) 587 for 16 sites globally) curvilinear relationship with LAI, supporting the essentials of 588 Eagleson's optimality theory. Similarly, Zeppel (2013) examined multiple species across sites 589 in Australia and found strong convergence in daily rates of tree water-use and leaf area across 590 five evergreen sclerophyllous genera. In the Eagleson optimality method of Leaney et al., 591 592 (2011), the relationship between LAI and the CWI of Ellis and Hatton (2008) is used:

594
$$LAI = (3.31 \ CWI) - 0.04$$
 (10)

595

In GDEs, groundwater discharge combines with precipitation to supply ET (O'Grady et al.,2011), thus:

598
$$CWI_g = (P + GW) / ET_p$$
 (11)

599

600 where CWI_g is the climate wetness index that includes the groundwater component (GW). 601 Likewise, the Budyko curve can be modified to include the contribution of groundwater 602 discharge to ET:

603
$$\operatorname{ET} / \operatorname{ET}_{p} = 1 + \left(P / \operatorname{ET}_{p} \right) - \left(1 + \left[P / \operatorname{ET}_{p} \right]^{w} \right)^{1/w}$$
 (Zhang et al., 2004) and (12)

604
$$(ET \swarrow ET_p)_g = 1 + ([P + GW] \swarrow ET_p) - (1 + [{P + GW} \swarrow ET_p]^w)^{1/w}$$
 (O'Grady et al., 2011)
605 (13)

Within zones of the same CWI, sites with access to shallow groundwater maintain a largerLAI than sites without access to groundwater (O'Grady et al., 2011). To determine GW, the

608 pairs of equations (CWI, CWI_g; ET/ET_p , $[ET/ET_p]_g$) were optimised by obtaining the 609 difference in rainfall required to attain a given LAI with a known CWI value (O'Grady et al., 610 2011).

611

612 4.2 Groundwater flow and variable saturation models: MODFLOW and HYDRUS

Two models, MODFLOW and HYDRUS, are commonly used to investigate the hydrologic
state of the coupled surface water–groundwater–soil–vegetation system (McDonald and
Harbaugh, 1988; Doble et al., 2006; Shah et al., 2007; Lowry and Loheide, 2010; Loheide

and Booth, 2011; Ajami et al., 2012). HYDRUS applies Richard's equation to simulate water,
heat and solute movements in soil, whereas MODFLOW is fully distributed and coupled

hydrologic model of groundwater flow (Orellana et al., 2012). Hydrologic models that apply

- 619 Richard's equation in a soil medium of variable saturation are important for evaluating the
- 620 mechanisms that generate groundwater hydrographs and flow. MODFLOW can also perform
- 621 spatial scaling of ET as a function of depth-to-groundwater, although the form of ET depends
- 622 upon parameterisation of the model. Often, ET is determined as ET_p or ET_0 , but
- 623 measurements of ET_a from eddy covariance can also be used. In one example, Wilcox et al.,
- 624 (2007) estimated ET from Cleverly et al., (2002) to evaluate the interaction between riparian
- ET and surface water–groundwater interactions.

626 Variable saturation models have improved our understanding of the interactions between 627 groundwater and soil moisture in the vadose zone. Root water uptake (RWU) creates soil moisture deficits in the vadose zone and the capillary fringe, thereby causing vadose zone 628 water content to fluctuate with depth-to-groundwater (Nachabe et al., 2005; Shah et al., 2007; 629 Logsdon et al., 2010). Using HYDRUS 1-D, Lowry and Loheide (2010) integrated ET_g and 630 RWU from the vadose zone by estimating the groundwater subsidy as the difference between 631 RWU from the shallow groundwater and RWU from free drainage. Further complicating the 632 relationship between groundwater and soil moisture, hydraulic redistribution of moisture 633 from deep in the soil column to the surface (i.e., hydraulic lift) can reduce the amplitude of 634 fluctuations in depth-to-groundwater, increase the amount of ETg that is lost to groundwater 635

evaporation, and decrease the nocturnal recovery in depth-to-groundwater (Orellana et al.,
2012).

One of the goals of ecohydrological modelling in GDEs is the prediction of vegetation state 638 based upon groundwater regime (Loheide and Booth, 2011). Likewise, the principle drivers 639 of water use by vegetation in GDEs were aquifer attributes (S_v, regional groundwater flow), 640 meteorology (solar radiation, vapour pressure deficit), environmental stress, and vegetation 641 attributes (LAI, species composition) (Cleverly et al., 1997; Perkins and Sophocleous, 1999; 642 Dahm et al., 2002; Cleverly et al., 2006; Butler et al., 2007; Lautz, 2008; Abudu et al., 2010). 643 In general, these controls are observed in the wider literature on the controls of vegetation 644 water use (Eamus et al., 2006b; Whitley et al., 2009). As the meteorological, environmental 645

and vegetation effects on ET have been thoroughly described, we will focus on the regional aquifer effects on ET_g here.

648 One geomorphologic attribute of the aquifer that controls the flow of groundwater and

649 thereby affects the distribution of groundwater-dependent vegetation depends upon whether

the aquifer is gaining (i.e., water flows into the aquifer from its surroundings) or losing (i.e.,

an area where groundwater is lost to adjacent unsaturated soils) (Cleverly, 2013). A larger

 ET_g can lead to contrasting effects on seepage from streams to aquifers, depending upon whether along a losing or gaining reach (Ajami et al., 2011). Similarly, fluctuations in depth-

653 whether along a losing or gaining reach (Ajami et al., 2011). Similarly, fluctuations in depth-654 to-groundwater can differ between gaining and losing reaches, of which the occurrence of the

655 latter is where groundwater inflow might be insufficient to support large recovery rates in

depth-to-groundwater (Schilling, 2012). The relationships between plant water use, aquifer

dynamics, and seasonality (e.g., Logsdon et al., 2010; Ajami et al., 2011) are influenced by

the rooting patterns and groundwater depth– ET_g relationships of the specific plant functional

types that inhabit the GDE (Baird and Maddock, 2005).

660

661 5 Field based measurements of water-use by GDEs

662 5.1 Sub-daily fluctuation in groundwater depth

An idealised representation of the "White method" in a shallow unconfined aquifer is shownin Figure four.

665

666 Figure 4 here

667

In Figure four the oscillating curve represents the cycle of groundwater drawdown arising 668 from evapotranspiration (ET) during the day followed by a "rebound" of the water table when 669 ET returns to zero at night. The dashed straight line (with slope = r) provides an estimate of 670 the recovery rate, which is how fast the water table rises in the absence of groundwater use 671 (Butler et al., 2007). After accounting for recovery, the daily drawdown of the water table is 672 scaled by the effective specific yield (S_v) , or the volume of water (per unit surface area of an 673 unconfined aquifer) released from the soil pores with a given change in depth-to-groundwater 674 (White, 1932): 675

676

677
$$ET_g = S_y(24r + s)$$
 (14)

678

where *s* is the change in aquifer storage and is determined from the 24-hr change in depth-to-groundwater. This approach has been successfully applied in the Okavango Delta in

Botswana (Bauer et al., 2004), an upland grassland catchment in central Argentina (Engel et
al., 2005), an oak/grassland site on the Great Hungarian Plain of eastern Hungary (Nosetto et
al., 2007), the Sopron Hills of western Hungary (Gribovszki et al., 2008), the Gobi Desert of
northwest China (Wang et al., 2014), and various sites in the USA (Butler et al., 2007; Lautz
et al., 2008; Martinet et al., 2009).

686 The White method tends to over-estimate ET_g (Loheide et al., 2005; Martinet et al., 2009). A major source of error is estimation of S_y, to which this method is very sensitive (Loheide et 687 al., 2005; Gribovszki et al., 2008; Lautz, 2008; Logsdon et al., 2010; Miller et al., 2010). 688 Furthermore, representative measurements of the readily available S_v are difficult to make 689 and are complicated by capillary flux, trapped air, hysteresis, and departure of the soil-water 690 691 ecosystem from an equilibrium (Logsdon et al., 2010). The value of S_v is dependent upon soil texture (Loheide et al., 2005), thus Martinet et al., (2009) applied a value of S_v that varied 692 with the soil texture in contact with the capillary fringe of the water table. With a measure of 693 ETg (e.g., from eddy covariance), the White equation can be inverted to investigate the 694 695 variation in Sy (Miller et al., 2010). Using an inversion of the White method, estimates of S_v account for spatial heterogeneity in soil texture and scaling effects on S_v, but further studies 696 are required before comprehensive predictions of Sy can be obtained without independent 697 measurements of ETg. Alternatively, Nachabe et al., (2005) used a more direct estimate of Sy 698 699 in the soil column by combining measured fluctuations of depth-to-groundwater and soil 700 moisture across the vadose (i.e., unsaturated) zone. In either case, additional instrumentation to measure ETg or soil moisture profiles improved the estimation of Sy. 701

702 Several modifications to the White method were evaluated in a study by Fahle and Dietrich (2014), in which they compared errors in estimation of Sy, recovery and ETg. No model 703 704 outperformed the others in each of these error benchmarks, thus illustrating that errors in the estimation of Sy are compensated by errors in the estimation of recovery (Fahle and Dietrich, 705 2014). The methods that provided the best estimates for recovery of the groundwater used 706 approaches to estimate sub-daily rates of ET_g and recovery (Gribovszki et al., 2008; Loheide 707 and Ii, 2008). In both methods, recovery was estimated from the previous and following 708 nights, although application to other methods might require site-specific parameterisation of 709 the time period that is most representative for their study conditions (e.g., 18.00–6.00; Fahle 710 and Dietrich, 2014). In the method of Gribovszki et al., (2008), recovery was estimated from 711 the time rate of change in depth-to-groundwater, and this important upgrade reduced the error 712 of recovery estimates (Gribovszki et al., 2010; Fahle and Dietrich, 2014). 713

- 714 Groundwater hydrographs include the impact of regional fluctuations in the aquifer that are
- not associated with local changes arising from ET of vegetation (Engel et al., 2005). A
- regional effect that can cause problems with the White method occur when tides from nearby
- 717 water bodies generate two daily peaks in the groundwater hydrograph (Miller et al., 2010),
- thereby requiring measurements of the water body that is causing the effect. After
- accounting for the regional hydrograph, soil moisture content in the vadose zone can still
- affect the correlation between sap flow measurements of ET_g and groundwater fluctuations
- (Engel et al., 2005). This was consistent with the modelling results of Loheide et al., (2005),
- who found that daily fluctuations were dampened by root water uptake from the vadose zone

alone. Spectral methods (e.g., windowed Fourier decomposition) are effective at identifying

- break points in the daily signal like those associated with regional groundwater and soil
- moisture effects, although variations in ET_g can result in loss of amplitude, consequently
- rendering spectral analysis unsuitable for quantitative analysis without an adequate scaling
- factor (Schilling and Zhang, 2012; Soylu et al., 2012).
- 728

7295.2Using stable isotopes to estimate rates of groundwater use

Estimates of the proportion of total vegetation water use derived from groundwater can be
determined from stable isotope anlyses (Querejeta et al., 2007; Maguas et al., 2011; Feikema

et al., 2010; Kray et al., 2012; McLendon et al., 2008). Two types of information are required to quantitatively partition ET_g from ET. The first is an independent estimate of ET_0

or ET_a as derived from eddy covariance (Kelliher et al., 1992; Baldocchi and Vogel, 1996;

Baldocchi and Ryu, 2011), sapflow (Cook and O'Grady, 2006; O'Grady et al., 2006; Zeppel,

- 2013) or RS techniques (Nagler et al., 2009; Nagler et al., 2013). The second is the stable
- isotope composition of water in soil, groundwater and xylem. Upon determination of the
- proportion of ET that is due to ET_{g} (Section 3.2), the amount of ET_{g} , for example in mm d⁻¹,
- is the product of that proportion and ET.
- 740 Three generalities can be identified in the results of stable isotope studies of GDEs. First,
- 741 multi-species comparisons at a common site generally confirm niche separation (spatially or
- temporally) in patterns of water uptake, thereby minimising competition for water
- 743 (Lamontagne et al., 2005; Querejeta et al., 2007; Kray et al., 2012). Second, increased depth-
- to-groundwater results in a declining proportion of groundwater use (O'Grady et al., 2006),
- although this can vary amongst different vegetation communities (McLendon et al., (2008).
- Finally, as time since last rain increases, the proportion of groundwater used by vegetation
- vully increases (McLendon et al., 2008), but not always (Kray et al., 2012). Consequently
- seasonality of groundwater use may occur when rainfall is highly seasonal and groundwater
- availability is maintained throughout the dry season (O'Grady et al., 2006).
- 750 Stable isotope composition varies with depth (Table 1; Querejeta et al., 2007). Consequently
- taking an average value to represent the entire rooting depth can lead to errors. Whilst use of
- two independent isotopes allows the relative contribution of three sources to be determined,
- obtaining independence of both isotopes is very difficult. As an alternative, Cook and
- 754 O'Grady (2006) developed a model that estimates the relative water uptake by vegetation
- from different soil depths. This model is based upon the following axioms: the rate of water uptake is determined by (a) the gradient in water potential between bulk soil and leaves; (b)
- root distribution through the soil profile; and (c) a lumped hydraulic conductance parameter.
- 758 Soil isotopic composition as a function of depth and of xylem water is used to constrain root
- 759 distributions within the model. This has the advantage over end-member analyses (an analytic
- tool to determine the relative contributions of soil water and groundwater to transpiration;
- 761 Phillips and Gregg 2003) because: (i) it produces a quantitative estimation of the proportion
- of water extracted from multiple depths (including groundwater); (ii) it doesn't require

- 763 distinct values of isotope composition for end-member analyses and therefore can deal with
- the more typical grading of isotope composition observed through the soil profile; and (iii) it 764
- is based on simple ecophysiological principles. Cook and O'Grady (2006) applied this 765
- model and demonstrated that two co-occurring species obtained 7-15 % of their 766
- 767 transpirational water from the water table, a third species accessed 100 % from the water
- 768 table, and a fourth species derived 53-77 % from groundwater.
- 769

770 6 Functional responses of GDEs to changes in GW depth

771 6.1 Effects of groundwater on growth and dendrochronological traits

A reduced growth rate in response to declining water availability is a universally observed 772 plant response (Kelliher et al., 1980; Osmond et al., 1987; Oberhuber et al., 1998; Sarris et 773 al., 2007). In most GDEs rainfall and groundwater provide important supplies of water, and 774 775 the ratio of rainfall to groundwater uptake varies spatially and temporally. Consequently, increases in groundwater depth may be expected a priori to have the potential to affect plant 776 growth. Dendrochronology (the study of growth in tree rings) has a long history in ecological 777 research spanning many decades (Drew and Downes 2009; McCarroll and Loader, 2004). 778 779 However, its application to the study of GDEs is much more recent (e.g. Giantomasi et al., 2012). Similarly, recording point dendrometers, which are sensitive stem gauges that 780 monitor growth increment at hourly time-scales, recently have been used for expanding 781 applications. In this section we briefly review some of the insights gained form 782

dendrochronology and dendrometry in the study of GDEs. 783

Tree rings represent the history of past growth events, which are often but not always annual 784 (Prior et al., 2012). Quantification of growth rates from tree rings can be used to reconstruct 785 fluctuations in the supply water from precipitation and groundwater (Oberhuber et al., 1998; 786 Bogino and Jobbagy, 2011; Perez-Valdivia and Sauchyn, 2011; Xiao et al., 2014). In 787 mountainous regions where the regional water supply is derived from snowmelt, tree growth 788 789 and groundwater depth are correlated with precipitation during the year prior to growth because much of the snow received in the winter melts in the year after it fell (Oberhuber et 790 al., 1998; Perez-Valdivia and Sauchyn, 2011). Likewise, tree ring growth and groundwater 791 fluctuations are correlated to the dominant climate driver in an area (e.g., the Pacific decadal 792 oscillation and El Niño-Southern Oscillation in California, USA) (Hanson et al., 2006). In 793 some circumstances, the effect of groundwater can be disentangled from climate through the 794 795 use of spectral analysis (Bogino and Jobbagy, 2011), but in other cases depth-to-groundwater 796 was not found to be a significant factor in explaining differences in either ring width of basal area increment (Stock et al., 2012). 797

The timing of groundwater dependence can influence the presence of a climate signal in tree 798 799 rings: climate signals can be weaker during formation of late wood, when growth rates are

- 800 small (Oberhuber et al., 1998); or during the dry season, when precipitation rates are
- negligible and growth is supported by groundwater (Drake and Franks, 2003). Thus, analysis 801
- of tree ring chronologies can provide an insight into the importance of access to groundwater 802

- 803 on plant growth. Individual events can be identified in the tree ring growth record (Hultine et
- al., 2010), as can long-term trends in depth-to-groundwater (Bogino and Jobbagy, 2011). In 804
- riparian cottonwood trees and willows, Hultine et al., (2010) identified rapid, large and 805
- reversible responses of tree ring width to draining and refilling of a reservoir (Fig. 5). 806
- 807

Figure 5 here 808

Longer-term trends in depth-to-groundwater have impacted dendrochronologies in both 809

- directions, toward lower growth rates with groundwater extraction (Lageard and Drew, 2008) 810
- and toward increasing growth rates with decreasing depth-to-groundwater, except in response 811 to root anoxia arising from flooding (Bogino and Jobbagy, 2011). However, specific 812
- responses depend upon depth-to-groundwater and individual differences amongst functional 813
- types; for example, riparian cottonwood trees (P. fremontii) responded to rewetting with 814
- growth that was larger and faster than the response of co-occurring willow (S. exigua), a 815
- 816 small-stature, thicket-forming shrub that is restricted to streamside areas with very shallow
- groundwater (Scurlock, 1998; Rood et al., 2011). From an understanding of the relationships 817
- between tree growth and depth-to-groundwater, historical periods of sensitivity to 818
- hydrological drought (i.e., affecting groundwater levels) versus meteorological drought (i.e., 819
- below-average precipitation) can be identified (Potts and Williams, 2004; Adams and Kolb, 820
- 2005; Cocozza et al., 2011). Such insights have value in developing a long-term 821
- understanding of the relationships amongst GDEs, climate and groundwater depth. 822
- Wood formed during drought is enriched in ¹³C, reflecting decreases in stomatal conductance 823 relative to photosynthesis and the consequential ratio of [CO₂] within and outside of the leaf 824 (C_i/C_a) (McCarroll and Loader, 2004; Cocozza et al., 2011) (Horton et al., 2001, Maguas et 825 al., 2011). Interpretation of δ^{13} C in tree rings can be complicated by the effects of phloem 826
- loading (Gessler et al., 2009) and by photosynthetic re-fixation in the bark (Cernusak et al., 827
- 2001), although with independent confirmation, xylem δ^{13} C can explain differences in 828
- groundwater use and water stress in groundwater-dependent trees. In one such comparison, 829
- δ^{13} C was constant across xylem from *Populus* along a perennial stream (thereby implying 830 access to groundwater) but changed with moisture conditions in an intermittent reach (Potts
- 831 and Williams, 2004). Likewise, changes in ring width over time were reflected by δ^{13} C
- 832 from leaves (Hultine et al., 2010), such that less negative values of δ^{13} C indicated increased
- 833
- water-use-efficiency when the supply of water was reduced. 834
- 835 On small time-scales (hourly-to-daily), incremental stem growth (and shrinkage) is measured 836 using precision dendrometers that contain linear-variable-displacement transducers (Zweifel et al., 2005, Drew et al., 2008, Drew and Downes 2009). Changes in maximum daily trunk 837 shrinkage arising from reduced water availability occur earlier and stronger than changes in 838 stomatal conductance, stem water potential or transpiration (Ortuno et al., 2006, Conejero et 839 al., 2007, 2011, Galindo et al., 2013). Nonetheless, rates of sapflow declined with maximum 840 daily stem shrinkage, both of which responded exponentially to changes in depth-to-841
- 842 groundwater (Ma et al., 2013). Similarly February et al., (2007) and Drake et al., (2013)

found that increased groundwater supply (actual or simulated) resulted in increased stemincrement, sapflow and xylem water potential.

845

846 **7.0 Two case studies**

Two case studies are now presented, one from Australia and one from the USA. These case
studies serve several purposes. First, they provide examples of the multiple approaches
required in the study of GDEs (physiological, remote sensing, ecological). Second, they
provide a valuable bridge between sections 2 – 6 (water-use, remote sensing, modelling) and
section 8 (vegetation response trajectories to changes in groundwater depth). Finally, they
integrate the results of many years of concentrated study in two diverse ecosystems.

853 7.1 The Gnangara Mound

The Gnangara Mound is a shallow unconfined aquifer of the Swan Coastal Plain in Western 854 Australia. Increased depth-to-groundwater has occurred over the past several decades as the 855 result of long-term declines in annual rainfall, increased human abstraction and increased 856 discharge arising from the development of a plantation industry in the region (Elmahdi and 857 McFarlane, 2012). The impacts of groundwater abstraction on woodlands have been 858 documented in this region (Groom et al., 2000; Canham et al., 2009; Canham et al., 2012; 859 Stock et al., 2012). In 1985 large rates of summer abstraction in this Mediterranean climate 860 was associated with increased and widespread mortality of native woodlands (up to 80 % 861 mortality close to abstraction bores; Mattiske and Associated 1988). 862

To determine long-term floristic changes associated with groundwater abstraction, a series of transect studies were initiated in 1988. A 2.2 m increase in depth-to-groundwater coupled to higher-than-normal summer temperatures resulted in further adult mortality of overstorey species by as much as 80 %; additionally, 64 % mortality was recorded in understory species 2 years after the start of groundwater abstraction (Groom et al., 2000). Increased rates of

868 mortality were not observed at control sites that were not subject to groundwater pumping.

Large inter-specific differences in rates of mortality were observed in these Gnangara studies.

870 Consequently, a further study examined the vulnerability of individual species to increased

depth-to-groundwater (Froend and Drake 2006; Canham et al., 2009). Using xylem

- 872 embolism vulnerability curves as a measure of sensitivity to water stress, Froend and Drake
- 873 (2006) compared three *Banksia* and one *Melaleuca* species. They found that xylem
- vulnerability reflected the broad ecohydrological distribution of species across a topographic
- gradient, and they identified a threshold leaf water potential below which increased mortality
- was likely. Similarly Canham et al., (2009) examined Huber values (the ratio of sapwood to
- leaf area), leaf-specific hydraulic conductivity (k_l) and xylem vulnerability of two obligate
- 878 phreatophytes and two facultative phreatophytes. At sites where depth-to-groundwater was
- shallow there were no inter-specific differences in vulnerability to water stress. However, by
- comparing across a topographic gradient, Canham et al., (2009) showed that two facultative

phreatophytes (but not the obligate phreatophytes) were more resistant to xylem embolism atthe upper slope (larger depth-to-groundwater) than the lower slope.

It is not only aboveground tissues that adapt to changes in groundwater depth. Differences in 883 root growth also respond to changes in depth-to-groundwater. Thus Canham et al., (2012) 884 found that root growth varied with depth within the soil column: at the surface, root growth 885 886 responded to seasonality and microclimate; at depth, root growth occurred all year and was 887 dependent upon soil aeration (i.e., roots elongated rapidly followed a declining water table during the summer and died back in the following winter as the groundwater rebounded). 888 These results are consistent with the increases in ET following groundwater decline that were 889 observed by Cleverly et al., (2006). The ability to rapidly increase root depth during the (dry) 890 summer is a critical attribute of phreatophytes occupying sites with seasonally dynamic 891 depth-to-groundwater. 892

The development of ecosystem response trajectories for the impact of groundwater 893 abstraction is an important resource management imperative. Froend and Sommer (2010) 894 examined a rare, 40-year vegetation survey dataset from the Gnangara Mound. Whilst the 895 long-term average (1976–2008) rainfall was 850 mm, the annual average for the recent past 896 was about 730 mm and depth-to-groundwater has increased by 1 m in the past 50 years. 897 Depth-to-groundwater fluctuates about 0.5–3 m seasonally, and maximal depth occurs at the 898 end of summer. Two transects were compared: a "control" where gradual increases in depth-899 to-groundwater (9 cm y^{-1}) have occurred as a result of the decline in annual rainfall; and an 900 "impacted" transect where large rates of increase in depth-to-groundwater have occurred (50 901 $cm y^{-1}$). Principal component analyses were used to identify three vegetation communities: 902 those associated with down-slope, mid-slope and upper-slope positions. Species having a 903 904 high reliance on consistent water supplies (mesic species) were dominant at the down-slope site while xeric species dominated the upper-slope sites. 905

- 906 On the control transect it was hypothesised that groundwater decline would result in a 907 replacement of the mesic by the xeric species. However, this hypothesis was not supported. Indeed, most of the compositional and structural attributes of the three communities remained 908 unchanged. The principle community-scale response was a change in the abundance of mesic 909 and xeric species rather than complete replacement of one species for another. In contrast to 910 the results of Shatfroth et al., (2000), mesic species at sites with shallow groundwater were 911 not more sensitive to increases in depth-to-groundwater than xeric species. By contrast, 912 913 changes in composition on the impacted transect were far more pronounced, and mass mortality was observed across all classes (mesic to xeric) species. This study emphasises the 914 915 importance of the rate of change in depth-to-groundwater as a determinant of the response of
- 916 species and communities.
- 917

918 7.2 Riparian forest vegetation in the southwestern USA

In the southwestern USA, the majority of GDEs are riparian or littoral, where a shallowaquifer is formed by runoff from snowmelt in the mountainous headwaters. Much of the

- 921 agriculture in the region is found along the rivers due to the large amount of surface water
- that flows past. The focus of irrigation to the riparian corridors has placed intense
- 923 competition between water resources for people *versus* the environmental flows that are
- required to maintain shallow aquifers and associated GDEs. Of further risk to riparian GDEs
- and agriculture, groundwater extraction and land use change threaten riparian ecosystems
- 926 (Scott et al., 1999; Nippert et al., 2010; Pert et al., 2010). Thus, many studies have been
- 927 undertaken over several decades to investigate the water use of GDEs in southwestern North
- America (van Hylckama, 1970; Gay and Fritschen, 1979; Sala et al., 1996; Devitt et al.,
 1998; Goodrich et al., 2000a; Cleverly et al., 2002; Scott et al., 2004; Nagler et al., 2005b).
- 525 1770, Goodinen et al., 2000a, eleventy et al., 2002, Seott et al., 2004, Naglet et al., 20050).
- 930 Sunlight is plentiful in the southwestern USA, thus riparian GDEs are strong carbon sinks
- 931 (Kochendorfer et al., 2011). However, seasonal variability in surface water discharge and
- aquifer recharge can create cycles of hypoxia and drought stress (Lowry et al., 2011), both of
- which act to reduce production (Shah and Dahm, 2008). Often existing between these two
- states of stress, riparian vegetation can transpire substantial amounts of water, reaching near
- the theoretical maximum (ca. 12 mm d^{-1}) (Cleverly, 2013). This general release from
- 936 limitations due to energy, moisture and stress results in rates of latent heat flux that exceed
- 937 precipitation (i.e., ET/P > 1) (Scott et al., 2000; Cleverly et al., 2006; Scott et al., 2006b) and
- 938 net radiation (Devitt et al., 1998). Even when little or no groundwater use can be identified in
- 939 the vegetation (e.g., in *Sporobolis*), ET losses from the riparian corridor can exceed
- 940 precipitation inputs (Scott et al., 2000), implying that soil moisture in the vadose zone can be
- recharged by groundwater and that riparian GDEs need not use the groundwater directly.

In southwestern North America, vegetation in riparian corridors and adjacent rangelands or 942 shrublands is classified by reliance upon access to groundwater (i.e., obligate or facultative 943 944 phreatophyte; Smith et al., 1998) or plant functional type (obligate wetland, shallow-rooted or deep-rooted riparian, transitional riparian, or upland; Pockman and Sperry, 2000; Baird and 945 Maddock, 2005; Baird et al., 2005). The result of groundwater depletion has distinct effects 946 947 on the vegetation in each functional type. Shallow-rooted, obligate phreatophytes (e.g., cottonwood, Populus spp.) can be very sensitive to groundwater decline, resulting in 948 reductions of ET, productivity and canopy conductance as a consequence of increases in 949 vapour pressure deficit that are correlated with depth-to-groundwater (Gazal et al., 2006; 950 Kochendorfer et al., 2011). Branch sacrifice, partial crown dieback and mortality commonly 951 occur in *Populus* following substantial groundwater drawdown (Mahoney and Rood, 1991; 952 953 Kranjcec et al., 1998; Scott et al., 1999; Rood et al., 2000; Cooper et al., 2003; Rood et al., 954 2003). However, stomatal closure and crown dieback in *Populus* can prevent total hydraulic 955 failure, and thereby minimise mortality rates, by maintaining favourable xylem water

- potentials within the remainder of the crown (Amlin and Rood, 2003).
- 957 Decreased baseflow and drawdown of groundwater levels has been associated with a shift in
- dominance to xerophytic species in the American Southwest at the expense of forbs and
- obligate phreatophytes (Stromberg et al., 1996; Stromberg et al., 2006; Stromberg et al.,
- 960 2007; Stromberg et al., 2010). Xerophytes in the riparian corridors of the American
- 961 Southwest include deep-rooted phreatophytes (e.g., *Proposis*, *Tamarix*) and upland species
- 962 (e.g., *Chrysothamnus*), any of which may be opportunistic users of groundwater or

963 groundwater-independent. Stress tolerance, opportunistic use of groundwater and use of

- multiple water sources (e.g., soil moisture) have contributed to the invasive success of
- 965 *Tamarix* (Busch et al., 1992; Cleverly et al., 1997; Di Tomaso, 1998; Nippert et al., 2010).
- 966 Consequently, *Tamarix* inhabit sites with variable depth-to-groundwater (Lite and Stromberg,
- 2005), which results in an amount of ET that is equivalently variable in time and space
- 968 (Cleverly et al., 2002; Cleverly, 2013).

The effective area of riparian vegetation has historically increased in the American Southwest 969 due to expansion of deep-rooted phreatophytes like Tamarix and Prosopis (Hultine and Bush, 970 2011). The upland vegetation that previously occupied riverine upper terraces and grasslands 971 supported small rates of ET (Shafroth et al., 2005; Hultine and Bush, 2011), thus expansion 972 of phreatophytes into these areas has resulted in an increase in ET losses (Scott et al., 2006b; 973 Cleverly, 2013) and thereby has placed a potential strain on groundwater resources. In the 974 case of expansion by Tamarix, groundwater extraction may result in enhancement of ET 975 (Cleverly et al., 2006), contrasting with post-extraction reductions in ET by native, shallow-976 977 rooted phreatophytes such as *Populus* (Cooper et al., 2006; Gazal et al., 2006) and thus

- 978 representing a shift in the ecohydrology of riparian corridors throughout the semi-arid regions
- 979 of south western North America.
- 980
- 981 8 Integrating multiple-scale responses

982 8.1 Multiple traits across leaf, branch, whole-tree and stand

The responses of vegetation to differences in depth-to-groundwater have been examined 983 extensively at leaf, tree, canopy and population scales. Rates of leaf-scale photosynthesis, 984 stomatal conductance, whole plant hydraulic conductance, tree- and canopy-scale 985 transpiration and plant density are known to decline in response to reduced supply of 986 groundwater (Table 3). Similarly, increased Huber value, crown dieback and mortality in 987 response to reduced supply of groundwater have been observed (Table 3). Consequently, 988 response functions for individual traits are readily apparent; examples include changes with 989 depth-to-groundwater in rates of photosynthesis (Horton et al., 2001), plant cover (Elmore et 990 al., 2006), NDVI (Lv et al., 2012) and crown dieback (Horton et al., 2001). However, few 991 studies have examined *multiple traits* across *multiple scales* and then provided an integrated 992 "ecosystem-scale" response function to differences in groundwater availability. Integrated 993 ecosystem-scale responses to changes in groundwater availability have been hypothesised to 994 be linear (Fig. 6), curvi-linear or a step function with which minimal damage occurs until a 995 threshold is reached (Leffler and Evans, 1999; Eamus et al., 2006). 996

Information on how vegetation adapts to differences in water supply is critical for predicting
vegetation survival, growth and water-use, which have important impacts on site hydrology
(McDowell et al., 2008; Carter and White, 2009). The development of integrated response
curves to reduced groundwater availability would significantly enhance our understanding of
water requirements and lead to the identification of response thresholds. Such thresholds
could be used to identify the limits of reduction in water-source availability, a useful

parameter for characterising water requirements for resource and conservation management(Froend and Drake, 2006).

1005

1006 Table 3 here

In a recent comprehensive, three-year study, Zolfaghar (2014) examined leaf, branch, tree
and stand-scale functional and structural attributes of woodlands across a gradient of depthto-groundwater (2.4 m to 37.5 m) in mesic Australia. She examined eighteen traits, including
stand-scale basal area and tree height, leaf turgor loss point, sapwood hydraulic conductivity,
sensitivity to xylem embolism and above ground net primary productivity. An increase in
depth-to-groundwater across these sites was hypothesised to result in:

- 1013 1. reduced standing biomass;
- adjustment of leaf-, tree- and plot-scale plant traits with associated repercussions on
 plant water relations;
- 1016 3. increased drought tolerance; and
- 1017 4. increased water-use-efficiency.
- 1018
- 1019 Fig 6 here
- 1020
- Figure seven provides a summary of the observed responses of each trait to increasing depthto-groundwater. Refer to Table four for the abbreviations used in Figure seven.
- 1023
- 1024
- 1025 Fig 7 here.
- 1026
- 1027
- 1028 Table 4 here

1029

1030 It is clear from Figure seven that increased depth-to-groundwater was associated with

1031 declines in basal area, tree height and LAI, and hence light interception, of native woodlands.

1032 As a consequence, aboveground net primary productivity was reduced as groundwater

1033 availability declined. Increased drought tolerance, as indicated by increased water-use-

1034 efficiency, increased Huber value and reduced water potential at turgor loss and solute

1035 potential at full turgor, supported the principle over-arching hypothesis that increasing depth-

to-groundwater results in a suite of leaf-branch and tree-scale adaptations that increase tree

tolerance to reduced water supply.

1038 A key aspect of this research was to develop an ecosystem-scale response function for depthto-groundwater. Zolfaghar (2014) normalised the responses (0 to 1) such that a response of 1 1039 indicates no effect of differences in depth-to-groundwater and 0.5 indicates a 50 % 1040 decline/increase in the maximal/minimum value of a particular trait. The normalised response 1041 function is presented in Figure eight. Despite the large number of traits and species across the 1042 1043 seven sites, the standard error of the ecosystem-scale average for each data point was remarkably small, indicating significant convergence in normalised responses to differences 1044 in depth-to-groundwater. Convergence of functional variations in traits across sites and 1045 species is increasingly observed with respect to rainfall or other climatic variables (Wright et 1046 1047 al., 2004; Kattge et al., 2011). Indeed, identification of plant functional types (PFTs) is a practical means for models of land surface-atmosphere interactions across biomes to integrate 1048 1049 the physiology of vegetation. Similarly, improved accuracy can be obtained from dynamic global vegetation models (DGVMs) through the construction of large datasets (cf. Wright et 1050 1051 al., 2004, Kattge et al., 2011) that include a representation of groundwater-dependent 1052 ecosystems.

A second feature apparent in the response function of Fig. 8 is the large R^2 of the sigmoidal 1053 regression, reflecting the relatively high degree of confidence in this threshold response. The 1054 response curve further suggests that extraction of groundwater beyond 7-9 m depth is likely 1055 to result in significant changes in ecosystem structure and function. Although we cannot 1056 1057 pinpoint the exact break point with precision, it is clearly apparent that a breakpoint does occur in the data. Furthermore, two recent reviews based on water balance concluded that 1058 groundwater uptake ceased when depths exceeded 7.5 m (Benyon et al., 2006) or 8 - 10 m 1059 (O'Grady et al., 2010), whilst Cook et al., (1998) established a limit of approximately 8 m for 1060 a Eucalypt savanna. Finally, Kath et al., (2014) identified thresholds of groundwater depth 1061 across 118 sites in SE Australia for two tree species ranging from 12.1 m to 26.6 m further 1062 1063 supporting our identification of a breakpoint in the responses of trees to groundwater depth. Such a strong response, consistent across multiple traits, should provide a strong management 1064 1065 signal to guide future groundwater abstraction.

1066

1067 Figure 8 here

1068 8.2 Co-ordination across traits

Some plant traits are a better indicator of plant sensitivity to water stress than others. Leaf 1069 water potential at turgor loss is recognised as a physiological measure of plant sensitivity to 1070 1071 water stress (McDowell et al., 2008). Similarly, measurements of vulnerability to xylem cavitation and safety margins are critical determinants of drought tolerance (Markesteijn et 1072 al., 2011; Sperry et al., 2008). Safety margins are equal to the difference between minimum 1073 1074 daily branch water potential and PLC₅₀ (Meinzer et al., 2008; Sperry et al., 2008). A strong linear correlation between these two traits (Fig. 9) in the Kangaloon study (Zolfaghar 2014) 1075 reveals co-ordination in the response of leaf (cell traits) and xylem (branch trait) anatomy, as 1076 has been observed previously in a study of eight tropical dry forest species (Brodribb et al., 1077

1078 2003). This relationship indicates that as depth-to-groundwater increased, sensitivity to 1079 drought at both leaf cell and branch-scale decreased (lower leaf water potential is needed to 1080 reach turgor loss point and PLC₅₀ declined).

- 1081
- 1082 Figure 9 here
- 1083

1084 9 Concluding remarks

The existence of GDEs has been known for several centuries. The ecological, social, cultural 1085 and economic importance of GDEs, however, has only been understood more recently. 1086 Whilst inferential methods were the main means for determining the presence/location of 1087 GDEs for many decades these have now been replaced by more direct methodologies which 1088 include the use of stable isotopes and hourly direct measurements of fluctuations in shallow 1089 groundwater depth. The most revolutionary recent development has, perhaps, been the 1090 application of remote sensing techniques to identify the location of GDEs but also to reveal 1091 1092 key features of their functional behaviour.

- Increasing frequencies, spatial and temporal extent and severity of drought and resulting 1093 1094 drought-induced mortality of forests have been recorded extensively (Dai 2011; Eamus et al., 2013) in the past two decades. Climate-change-induced changes in rainfall distribution and 1095 1096 amounts pose a new stress to both groundwater resources and associated GDEs. For the first 1097 time, remotely sensed information on both the structure (e.g LAI) and functioning (e.g. rates of water-use and primary productivity) of GDEs are now available across several decades. 1098 The challenge now is to use this long history of remotely sensed and meteorological data as a 1099 unique natural experiment to determine response functions of multiple GDEs to changes in 1100 1101 climate (and groundwater depth) globally to inform both the science of ecology and the
- 1102 practical needs of water and land resource managers into the future.
- 1103

1104 10 References

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| 1813 | Table 1: | Deuterium analysis of xylem, soil, river water and groundwater in a study of |
| 1814 | | three species growing in the Northern Territory of Australia. The δ^2 H values |
| 1815 | | (%o) of soil became more negative as distance from groundwater increased |
| 1816 | | due to enrichment during surface evaporation. At shallow sites (Melaleuca |
| 1817 | | <i>argentea</i>) the groundwater is near the surface and xylem water $\delta^2 H$ values |
| 1818 | | match soil water and groundwater. As depth-to-groundwater increased |
| 1819 | | (because of local topography: the site slopes up from the river) xylem water |
| 1820 | | isotope composition was increasingly more negative than groundwater because |
| 1821 | | groundwater was unavailable to the roots. From Lamontagne et al. (2005). |

| | Depth-to- groundwater (m) | River water | Soil water | Xylem water | Groundwater |
|---------------|---------------------------------|----------------|------------|----------------|------------------------|
| Daly River | 0 | -44 | | | |
| M. argentea | < 0.25 | | -44 | -43 to -48 | -43 |
| B. acutangula | 3 | | -80 | -46 to -40 | -45 |
| C. bella | > 15 | | -56 to -91 | -59 to -71 | Not available to roots |

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| 1836 | Table 2: | Some examples of the application of remote sensing to the study of |

- 18361 able 2:Some examples of the application of1837groundwater dependent ecosystems.
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| Notes on methods | Application | Reference |
|---|--|-----------------|
| | | |
| eVI (MODIS) + MODIS land | Calibrated, empirical model of | Scott et al., |
| surface temp + water balance | riparian ET; groundwater use | 2008 |
| equation | quantified from $ET_g = ET - (P - \Delta S)$ | |
| eVI (MODIS) + empirical | Calibrated, empirical model of | Tillman et al., |
| relationship of ET, eVI and ET _o | riparian ET; groundwater use | 2012 |
| | quantified | |
| "Green island method": | Identifying location of GDEs by | Tweed et al., |
| Calculate standard deviation in | determining where veg activity | 2007 |
| NDVI across 14 y pixel by | shows minimal seasonal variation | |
| pixel | | |
| "Green island method": | Identifying location of GDEs by | Dresel et al., |
| Calculate standard deviation in | determining where veg activity | 2010 |
| eVI across years and seasonally | shows minimal seasonal/inter | |
| | annual variation | |
| "Green island method": | Identifying location of GDEs by | Colvin et al., |
| Calculate LAI for adjacent | determining larger LAI | 2007 |
| pixels; find regions with larger | | |
| LAI with GW access | | |
| NDVI (MODIS) + groundwater | Relationship between GW depth | Jin et al., |
| depth from bore data | and vegetation cover | 2011 |

| NDVI (MODIS) + groundwater | Relationship between GW depth | Lv et al., |
|---|---|------------------------------------|
| depth from bore data | and vegetation cover | 2012 |
| Surface energy balance | Estimating ET from GDEs at pixel- | Yang et al., |
| (SEBAL) + Landsat surface | by-pixel resolution | 2008; 2011 |
| temp; LAI derived from MODIS | | |
| SEBAL + NDVI (MODIS) | Estimating ET at 90 m resolution | Bindhu et al., 2013 |
| SEBAL + MODIS | Estimating ET | Tang et al., 2013 |
| SEBAL + SWAT model | Estimating groundwater recharge | Githui et al., |
| (hydrology) | | 2012 |
| SEBAL + LANDSAT images | Estimating arid zone shallow aquifer discharge | Matic et al., 2011 |
| Penman-Monteith equation with RS estimates of LAI, NDVI and used to estimate land surface conductance | km-scale estimates of ET | Cleugh et al., 2007 |
| EVI + surface temperature + canopy fractional cover | Partitions ET into vegetation and soil components | Mu et al., 2007 |
| $ET_a^* = ET_a - rainfall)/(ET_o - $ | Estimated GW use (ET _g) rather | Groeneveld |
| rainfall) | than ET _a | 2008 |
| ET _a linearly correlated with | | |
| NDVI* | | |
| $ET_g = ET_0 - rainfall)NDVI*$ | | |
| MODIS veg indices compared; | Estimate ET _a and G _c | Yebra et al., |
| PM equation used to find G ₂ and | | |
| 1 C | | 2013 |
| regress G _c against MODIS veg | | 2013 |
| regress G _c against MODIS veg indices | | 2013 |
| regress G _c against MODIS veg indices MODIS reflectance + residual | Estimate ET at 1 km spatial | 2013 Guerschman |
| regress G _c against MODIS veg indices MODIS reflectance + residual moisture index (from eVI) + | Estimate ET at 1 km spatial resolution | 2013 Guerschman et al., 2009 |
| regress G _c against MODIS veg indices MODIS reflectance + residual moisture index (from eVI) + Global veg moisture index | Estimate ET at 1 km spatial resolution | 2013 Guerschman et al., 2009 |
| regress G _c against MODIS veg indices MODIS reflectance + residual moisture index (from eVI) + Global veg moisture index Actual ET calculated from | Estimate ET at 1 km spatial resolution | 2013 Guerschman et al., 2009 |
| regress G _c against MODIS veg indices MODIS reflectance + residual moisture index (from eVI) + Global veg moisture index Actual ET calculated from PET*crop factor and crop factor | Estimate ET at 1 km spatial resolution | 2013 Guerschman et al., 2009 |

| 1844 | | |
|------|----------|--|
| 1845 | | |
| 1846 | | |
| 1847 | | |
| 1848 | | |
| 1849 | | |
| 1850 | | |
| 1851 | | |
| 1852 | | |
| 1853 | | |
| 1854 | | |
| 1855 | | |
| 1856 | Table 3: | A summary of some of the recent literature documenting the response of |

Table 3:A summary of some of the recent literature documenting the response of
vegetation, across multiple scales, to reduced availability of groundwater.

| Process/trait | Response to reduced availability of | References |
|----------------|--|-------------------------|
| | groundwater and range of depths | |
| Leaf-scale | Decreased (zero to -9 m DGW); | Horton et al., 2001 |
| photosynthesis | | |
| Stomatal | Decrease (zero to -9 m DGW); | Horton et al., 2001 |
| conductance | Decreased (zero to >-1 m DGW increased); | Cooper et al., 2003 |
| | Stomatal resistance increased from 38.8 to 112.5 | Zunzunegui et al., 2000 |
| | (zero to >-3 m DGW) | Gries et al., 2003 |
| | Decreased (-7 to -23 m DGW) | Kochendorfer et al., |
| | Decreased (-2 to -4 m DGW) | 2011 |
| Canopy | Decreased (-1.5 to >-5 m DGW) | Carter and White 2009b |
| conductance | Decreased (-2 to -4 m DGW) | Kochendorfer et al., |
| | | 2011 |
| Leaf and stem | Ψ_{pd} decrease from -0.5 to -1.7 MPa (zero to -9 | Horton et al., 2001 |
| water | m); | Cooper et al., 2003 |
| potential | $\Psi_{\rm pd}$ decreased from 0.2-0.4 to -0.4 to -0.8 MPa | Froend and Drake 2006 |
| | (zero to >-1 m DGW increased); | Zunzunegui et al., 2000 |
| | Decreased from -0.79 to -2.55 MPa (<-2 to >-20 | Gries et al., 2003 |
| | m DGW); | |

| | Decreased from -1.85 to -3.99 (zero to >-3 m | |
|---------------|--|------------------------|
| | DGW) | |
| | Ψ_{midday} decreased (-7 to -23 m DGW) | |
| Transpiration | Total Et decreased 32% (-0.9 to -2.5 m DGW); | Cooper et al., 2006 |
| rate | Et decreased (-2 to -4 m DGW) | Kochendorfer et al., |
| | E decreased from 966 to 484 mm (-1.1 to -3.1 m | 2011 |
| | DGW) | Gazal et al., 2006 |
| | Annual E decreased (zero to -8 m DGW) | Ford et al., 2008 |
| Resistance to | Increased (-1.5 to -30 m DGW); | Canham et al., 2009 |
| xylem | PLC ₅₀ decreased from -1.07 to -3.24 MPa ($<$ -2 to | Froend and Drake 2006 |
| embolism | >-20 m DGW) | |
| Growth rate | Decreased (zero to >-1 m DGW increased); | Scott et al. 1999 |
| | Decreased (-7 to -23 m DGW) | Gries et al. 2003 |
| Leaf area | Decreased from 3.5 to $1.0 (-1.5 \text{ to } >-5 \text{ m DGW})$ | Carter and White 2009b |
| index | Decreased | O'Grady et al. 2011 |
| | Decreased from 2.5 to 0.66 (zero to ->3 m DGW) | Zunzunegui et al. 2000 |
| | Decreased from 2.7 to 1.7 (-1.1 to -3.1 m DGW) | Gazal et al., 2006 |
| Huber value | Increased from 3.3 to 4.7 (-1.1 to -3.1 m DGW) | Gazal et al., 2006 |
| (SWA/LA) | No change (-1.5 to -30 m DGW) | Canham et al., 2009 |
| | increased from 3.4 to 4.3 $\times 10^{-4}$ (-1.5 to >-5 m | Carter and White 2009b |
| | DGW) | |
| Plant density | Vascular species number decreased; | Zinko et al., 2005 |
| | Species composition changed (-0.9 to -2.5 m | Cooper et al., 2006 |
| | DGW); | Merritt and Bateman |
| | plant cover type changed (-1.1 to -2.5 m DGW); | 2012 |
| | vegetation cover and diversity decreased (-1 to – | Lv et al., 2013 |
| | 110 m DGW) | |
| NDVI | Decreased (-1 to -110 m DGW); | Lv et al., 2013 |
| | Decreased (zero to -1.5 m DGW increased) | Aguilar et al., 2012 |
| | Decreased (-1.8 to -3.5 m DGW) | Wang et al., 2011 |
| Crown die- | Increased between $<40\%$ to $>50\%$ (zero to -9 m); | Horton et al., 2001 |
| back | Leaf loss 34% (zero to >-1 m DGW increased) | Cooper et al., 2003 |
| Mortality | Increased (>-2.2 DGW increased); | Groom et al., 2000 |
| | Increased (zero to >-1 m DGW increased) | Scott et al., 1999 |
| | Increased (-0.4 to -5 m DGW) | González et al., 2012 |

Table 4: The meaning of the abbreviations/ traits used in Figure 7.

| Abbreviation | Explanation/definition |
|--------------------|---|
| Ψ_{TLP} | The water potential of leaves at which turgor is zero |
| Π ₁₀₀ | The solute potential at a relative water content of 100 % |
| RWC _{TLP} | The relative water content at which leaf turgor is zero |
| SWD | The saturated water content of wood |
| Ks | Sapwood-specific hydraulic conductivity of branch xylem |
| K _L | Leaf-specific hydraulic conductivity of branch xylem |
| PLC ₅₀ | The water potential at which 50 % of the hydraulic conductivity is lost |
| PLC ₈₈ | The water potential at which 88 % of the hydraulic conductivity is lost |
| $H_{\rm v}$ | Huber value: the ratio of leaf area to sapwood area |
| BA | Total basal area of trees within a plot |
| LAI | Leaf area index of a stand of trees |
| AGB | Above-ground biomass |
| ANPP | Above-ground net primary productivity |

| | WUE | Water-use-efficiency; calculated as the ratio of ANPP/stand water-use |
|----------------------|------------|--|
| | Height | Average height of the trees in a plot |
| | Water-use | e Rates of stand water-use; up-scaled from sapflow measurements |
| | Stem densi | ty The number of trees per hectare |
| | Litterfall | Rates of annual litterfall within a plot |
| 1876 | | |
| 1877 | | |
| 1878 | | |
| 1879 | | |
| 1880 | | |
| 1881 | | |
| 1882 | | |
| 1883 1884 1885 | | $\operatorname{Debt}_{\operatorname{rot}} \operatorname{O}_{\operatorname{rot}} \operatorname{O}_{rot$ |
| 1886 | Figure 1: | The relationship between NDVI and depth to the water table for the Hailiutu |
| 1887 | ~ | River catchment in northern China. Redrawn from Lv et al. (2012). |
| 1888 | | |
| 1889 | | |





Figure 2: Change of (a) total water storage anomalies; (b) groundwater anomalies; (c) soil
moisture storage anomalies; and (d) surface water anomalies relative to the mean of
the Murray-Darling Basin during the multiyear drought. Redrawn from Leblanc et al.
(2009).



1909Figure 3:A representation of the Budyko formulation using the Choudhury-Yang1910formulation with three different values of n (from 1.5 to 2.0). Redrawn from1911Leaney et al., (2011).

- 1912
- 1913





| Figure 4: | An idealised representation of changes in depth-to-groundwater over a |
|-----------|--|
| | 48 h period. The water table declines (depth increases) during the day |
| | because of transpiration by vegetation but increases (depth decreases) |
| | at night when transpiration tends to zero and recharge exceeds loss. |
| | The dashed line represents the trajectory of overnight recharge in the |
| | Figure 4: |



1932Figure 5:Change in tree ring width of cottonwood (solid line, diamonds) and willow1933(dashed line, squares) before (2004) during (2005 – 2006) and after draining1934the reservoir (early 2005) and refilling (mid 2006). Redrawn from Hultine et1935al. (2010).



1950 groundwater availability. From Eamus *et al.* (2006).



| 1962 1963 | Figure 7: | A summary of the traits examined and the general trend in response of those traits to increased depth-to-groundwater along a natural topographic gradient |
|--------------|-----------|---|
| 1905 | | Unword/downword pointing arrows within a coloured tout how indicate |
| 1964 | | increasing/docreasing values of the plant trait as depth to groundwater |
| 1965 | | increasing/decreasing values of the plant that as deput-to-groundwater |
| 1966 | | definition of all abbreviations used in this figure |
| 1967 | | definition of an abbreviations used in this figure. |
| 1968 | | |
| 1969 | | |
| 1970 | | |
| 1971 | | |
| 1972 | | |
| 1973 | | |
| 1974 | | |
| 1975 | | a 0.6 − b r ² =0.92 |
| 1976 | | |
| 1977 | | |
| 1978 | | 0 10 20 30 40 Depth to GW (m) |
| 1979 | | |
| 1980 | Figure 8: | Ecosystem response to increase in depth-to-groundwater, fitted with 4 |
| 1981 | | parameter sigmoidal function. From Zolfaghar (2014). |
| 1982 | | |
| 1983 | | |

