

1 Comparison of MODIS and SWAT Evapotranspiration over 2 a Complex Terrain at Different Spatial Scales

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9 **Abstract.** In most hydrological systems, evapotranspiration (ET) and precipitation are the largest components of
10 the water balance, which are difficult to estimate, particularly over complex terrain. In recent decades, the
11 advent of remotely-sensed data based ET algorithms and distributed hydrological models has provided improved
12 spatially-upscaled ET estimates. However, information on the performance of these methods at various spatial
13 scales is limited. This study compares the ET from the MODIS remotely sensed ET dataset (MOD16) with the
14 ET estimates from a SWAT hydrological model on graduated spatial scales for the complex terrain of the Sixth
15 Creek Catchment of the Western Mount Lofty Ranges, South Australia. ET from both models were further
16 compared with the coarser-resolution AWRA-L model at catchment scale. The SWAT model analyses are
17 performed on daily timescales with a 6-year calibration period (2000-2005) and 7-year validation period (2007-
18 2013). Differences in ET estimation between the SWAT and MOD16 methods of up to 31%, 19%, 15%, 11%
19 and 9% were observed at respectively 1 km², 4 km², 9 km², 16 km² and 25 km² spatial resolutions. Based on
20 the results of the study, a spatial scale of confidence of 4 km² for catchment scale evapotranspiration is
21 suggested in complex terrain. Land cover differences, HRU parameterization in AWRA-L and catchment-scale
22 averaging of input climate data in the SWAT semi-distributed model were identified as the principal sources of
23 weaker correlations at higher spatial resolution.

24
25 **Key words:** Evapotranspiration, MOD16, SWAT, AWRA-L, complex terrain, spatial scale

28 **1 Introduction**

29 In most hydrological systems, evapotranspiration (ET) and precipitation are the largest components of the water
30 balance (Nachabe et al., 2005) and yet the most difficult to estimate particularly over complex terrain (Wilson and
31 Guan, 2004). In arid and semi-arid environments ET is a significant sink of groundwater with ET often exceeding
32 precipitation (Domingo et al., 2001;Cooper et al., 2006;Scott et al., 2008;Raz-Yaseef et al., 2012). Reliable
33 estimation of ET is integral to environmental sustainability, conservation, biodiversity and effective water
34 resource management (Cooper et al., 2006;Boé and Terray, 2008;Zhang et al., 2008a;Tabari et al., 2013).
35 Moreover, ET will be one of the most severely impacted hydrological components of the water cycle alongside
36 precipitation and runoff as a consequence of global climate change (Abteu and Melesse, 2013).

37 Reliable, cheap and generally accessible methods of estimating ET are essential to understand its role in catchment
38 processes. ET is principally measured and estimated using ground based measurement tools and/or through
39 various modelling techniques often involving remote sensing (Drexler et al., 2004;Tabari et al., 2013). Ground
40 based measurement methods such as the Bowen Ratio Energy Balance (BREB), Eddy Covariance (EC), Large
41 Aperture Scintillometers (LAS) and lysimeters have been regarded as the most accurate and reliable ET
42 determination methods (Kim et al., 2012a;Rana and Katerji, 2000;Liu et al., 2013), but they are spatially and/or
43 temporally limited (Wilson et al., 2001;Glenn et al., 2007). Despite the relative reliability of ground based
44 measurement methods, there are inherent uncertainties associated with the different methods, which affect the
45 accuracy of ET measurements (Baldocchi, 2003;Brotzge and Crawford, 2003;Drexler et al., 2004;Zhang et al.,
46 2008a). Ground based measurement methods are particularly prone to significant errors related to instrument
47 installation (Allen et al., 2011). Mu et al. (2011) observed that multiple EC towers on a site can have uncertainties
48 ranging between 10-30% and Liu et al. (2013) documented uncertainty ranges of over 27% between EC and LAS
49 measurements over the same site on an annual scale. EC towers have also been observed to encounter energy
50 balance closure challenges (Wilson et al., 2002), while other challenges of the EC method such as inaccuracies
51 due to complex terrains have been documented by Feigenwinter et al. (2008). Furthermore, Kalma et al. (2008),
52 conducted a review of 30 remote sensing ET modelling results relative to ground based measurements and
53 contended that the ground based measurement methods were not incontrovertibly more reliable than the remote
54 sensing ET modelling methods. Moreover, most of the ground based measurement methods are usually cost
55 intensive thereby constraining measurements over large areas and thus making spatial extrapolation difficult
56 (Moran and Jackson, 1991;Verstraeten et al., 2008;Melesse et al., 2009;Fernandes et al., 2012).

57

58 In more recent years, the spatial challenges associated with ET estimations are being eased by the increased
59 availability of remotely-sensed data. The use of remotely-sensed input data in many surface energy balance
60 algorithms and highly parameterized hydrological models have been extensively documented (Kalma et al.,
61 2008;Hu et al., 2015;Zhang et al., 2016). The advances in remote sensing have seen these methods become
62 prominent in water resource assessment studies (Sun et al., 2009;Vinukollu et al., 2011;Anderson et al.,
63 2011;Long et al., 2014;Zhang et al., 2016).

64

65 Several hydrological models and remotely-sensed based surface energy balance models are currently used in ET
66 simulations globally (Zhao et al., 2013;Chen et al., 2014;Larsen et al., 2016;López López et al., 2016;Webster et
67 al., 2017). However, the relative accuracy of these models relative to one another should be extensively explored
68 to improve our understanding of the ET estimation from these algorithms. Two of the more prominent ones will
69 be comprehensively evaluated in this study at various spatial scales – The Soil and Water Assessment Tool
70 (SWAT) (Neitsch et al., 2011) and the MODIS ET product (Mu et al., 2013) derived from remotely-sensed data
71 from the Moderate Resolution Imaging Spectroradiometer (MODIS) instrument aboard the National Aeronautics
72 and Space Administration (NASA) Aqua and Terra satellites. The evapotranspiration product of a third model,
73 the Australian Water Resource Assessment model (AWRA_L) with a coarser resolution will also be evaluated at
74 the catchment scale.

75

76 The MODIS ET (MOD16) is based on the Penman-Monteith equation, the AWRA-L uses the Penman equation,
77 while the SWAT ET algorithm also has the Penman-Monteith equation as one of the three user-selectable methods
78 of estimating ET. In this study, the Penman-Monteith method in SWAT is used for a direct comparison with the
79 MOD16 and the AWRA-L. Moreover, the Penman-Monteith equation is regarded as one of the most reliable
80 methods for ET estimation over various climates and regions (Allen et al., 2005;Allen et al., 2006). While both
81 the MOD16 and SWAT ET use the Penman-Monteith equation, the methods for estimating the parameters of the
82 equation are significantly different between them. For instance, the SWAT Penman-Monteith implementation
83 requires wind speed data for the computation of the aerodynamic resistance, while the MOD16 Penman-Monteith
84 variant does not require wind speed data but instead uses the Biome-BGC model (Thornton, 1998) to estimate the
85 aerodynamic resistance. This study does not seek to evaluate the individual accuracy of any method, but rather to
86 compare the ET results from the water balance-based hydrological models AWRA-L and SWAT and the energy
87 balance-based model (MOD16) over a complex terrain catchment. Two different land cover products are used in

88 the SWAT model in this study (The Geoscience Australia and the MODIS land cover products). The rationale for
89 this is to analyse the effect of land cover on the ET modelling in SWAT and also the use of the MODIS land cover
90 allows for a direct comparison with the MOD16 which uses the same land cover product. The results will be
91 compared temporally on catchment scale and spatio-temporally on sub-catchment scales to identify the effects of
92 input data and other drivers of ET estimation in the MOD16 and SWAT ET algorithms.

93

94 While the MODIS evapotranspiration has been widely studied and compared to other methods, this is much less
95 the case for SWAT ET (Table 1) and the AWRA-L. Moreover, a graduated spatial scale comparison of the SWAT
96 and MOD16 ET products is yet to be documented over a complex terrain. The objectives of this study are
97 therefore: (1) To simulate and compare the results of the evapotranspiration of SWAT, AWRA-L and MOD16
98 over a complex terrain at a catchment scale in a semi-arid climate; (2) To analyse and determine the spatial scale
99 at which the SWAT and MOD16 ET models tend towards agreement to enhance the confidence in ET estimation
100 in a complex terrain.

101

102 **Table 1:** Literature studies of MODIS and SWAT evapotranspiration (see Table 2 for climate classification)

Study Type	Reference	Method	Climate	Land Cover Cover	Spatial & temporal extents
MOD16 vs micrometeorological methods	Ruhoff et al. (2013)	EC validation at 2 sites	Cwa, Cfa	Savanna	3 km x 3 km area, 8 day
	Liu et al. (2013)	LAS validation at 3 sites	Dwa, Cwa	Orchards, Croplands	1 km x 1 km, annual
	Mu et al. (2011)	EC validation at 46 site	Global	Global	Various
	Kim et al. (2012b)	EC validation at 17 sites	Af, Dfb, Dwa, Cfa, Bsk, Am, ET, Aw, Dwc, Dfc, Dfd	Forest, croplands, grassland	3 km x 3 km area, 8 day, 2000-2006
	Velpuri et al. (2013)	EC validation at 60 sites	Bsk, Cfa, Csa, Csb, Dfa, Dfb, Dfc	Cropland, Forest, Woody Savanna, Grassland, Shrubland, Urban	Point scale at EC sites across the United States of America, monthly, 2001 - 2007
MOD16 vs energy balance models	Jia et al. (2012)	MOD16 validation of ETWatch system	Dwa, Cwa	Farmland, Forest, Grassland, Shrub Forest, Beach land, Bare land, Urban, Paddy field	(1 km x 1 km grid over 318,000 km ²), annual, 2002-2009
	Velpuri et al. (2013)	MOD16 vs Gridded Fluxnet ET (GFET)	Bsk, Cfa, Csa, Csb, Dfa, Dfb, Dfc	Cropland, Forest, Woody Savanna, Grassland, Shrubland, Urban	50km, monthly, over the entire United States of America
MOD16 vs hydrological models	Ruhoff et al. (2013)	MOD16 vs MGB-IPH model	Cwa, Cfa	Forest, Shrubland, Savanna, Woody Savanna, Grassland, Cropland, Urban, Barren land	(1 km x 1 km grid over 145,000 km ²), 8 day, 2001
	Trambauer et al. (2014)	MOD16 vs GLEAM, ERAI, ERAL, PCR-GLOBWB, PCR-PM, PCR-TRMM, PCR-Irrig	Various	Various	1km ² -0.25°, 0.5°, and ~0.7° resolutions over most of the African continent, daily and monthly, 2000 -2010

	Velpuri et al. (2013)	MOD16 vs Water Balance ET (WBET)	Bsk, Cfa, Csa, Csb, Dfa, Dfb, Dfc	Cropland, Forest, Woody Savanna, Grassland, Shrubland, Urban	(1 km x 1 km over the entire United States of America), Annual, 2002-2009,
SWAT vs energy balance models	Gao and Long (2008)	SWAT vs SEBS, SEBAL, P-TSEB, S-TSEB	Dwb	Woodland, Grassland, Cropland	1850 km ² , 23 June 2005 and 25 July 2005 (2 days only)

103

104

105 **Table 2:** Köppen-Geiger Climate Classification system (Kottek et al., 2006)

Main climate	Precipitation	Temperature
A – equatorial	W – desert	h – hot arid
B – arid	S – steppe	k – cold arid
C – warm temperate	f – fully humid	a – hot summer
D – snow	s – summer dry	b – warm summer
E – polar	w – winter dry	c – cool summer
	m – monsoonal	d – extremely continental
		F – polar frost
		T – polar tundra

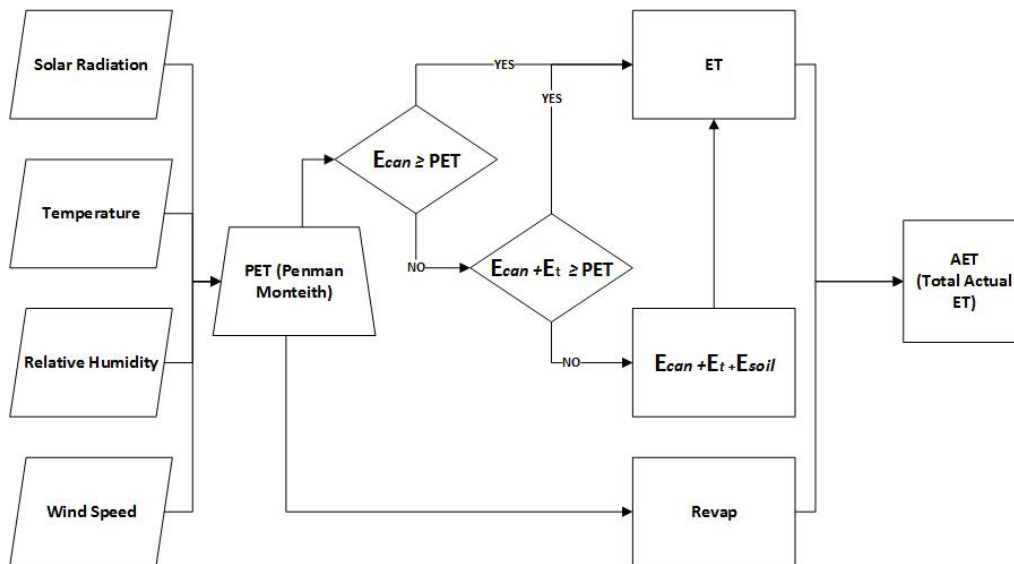
106 e.g Cwa – Warm temperate, winter dry, hot summer

107 2 Model Description

108 2.1 SWAT Model

109 The Soil and Water Assessment Tool (SWAT) is a physically based, semi-distributed hydrological model
110 designed on the water balance concept. SWAT simulates catchment processes such as evapotranspiration, runoff,
111 crop growth, nutrient and sediment transport on basis of meteorological, soil, land cover data and operational land
112 management practices (Neitsch et al., 2011). The SWAT model has been used in hydrological modelling from
113 sub-catchment scales of under 1 km² (Govender and Everson, 2005) to sub-continental scales (Schuol et al., 2008).
114 The model discretises a catchment into sub-catchments and further into hydrological response units (HRU), which
115 represent unique combinations of land cover, soil type and slope. The discretisation method employed by SWAT
116 enables the model to simulate catchment processes in detail and to understand the response of unique HRU's on
117 hydrological processes. Evapotranspiration is simulated at the HRU scale. A comprehensive outline of ET
118 calculations in SWAT is included in Appendix A and Fig. 1 summarizes in a flowchart the SWAT ET algorithm.
119 Where PET is the potential evapotranspiration, E_{can} is the evaporation from canopy surface, E_t is the transpiration,
120 E_{soil} is the evaporation from the soil and $Revap$ is the amount of water transferred from the underlying shallow
121 aquifer to the unsaturated zone in response to water demand for evapotranspiration.

122



123

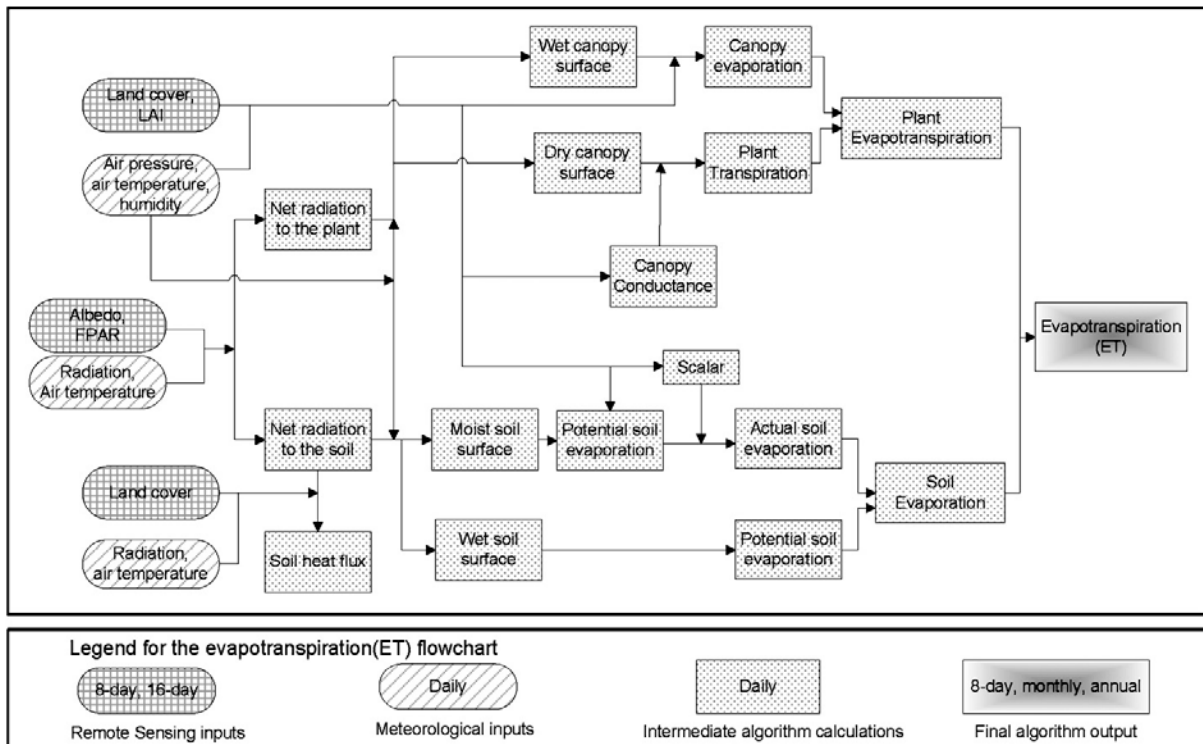
124 **Figure 1: SWAT ET flowchart (Penman-Monteith method)**

125

126 **2.2 MOD16 Model**

127 The MOD16 provides evapotranspiration estimates for 109.03×10^6 km² of global vegetated land area at 1 km²
 128 spatial resolution at 8 day, monthly and yearly temporal resolutions since the year 2000 (Mu et al., 2013). The
 129 initial version of the MOD16 algorithm used MODIS imagery as part of a Penman-Monteith method as described
 130 in Cleugh et al. (2007). The MOD16 algorithm was significantly improved by the inclusion of a sub-algorithm
 131 for estimating soil evaporation as a component of total ET (Mu et al., 2007). Further improvements on the MOD16
 132 algorithm such as the calculation and inclusion of night time evapotranspiration, partitioning of evaporation from
 133 moist and wet soils were incorporated in the new algorithm (Mu et al., 2011). In this study, the ET products from
 134 the new algorithm are used. Details of ET calculations in MOD16 are included in Appendix B while Fig. 2
 135 summarizes in a flowchart the MOD16 ET algorithm.

136



137

138 **Figure 2: Flowchart of the MOD16 ET algorithm (Mu et al., 2011)**

139

140 **2.3 AWRA-L Model**

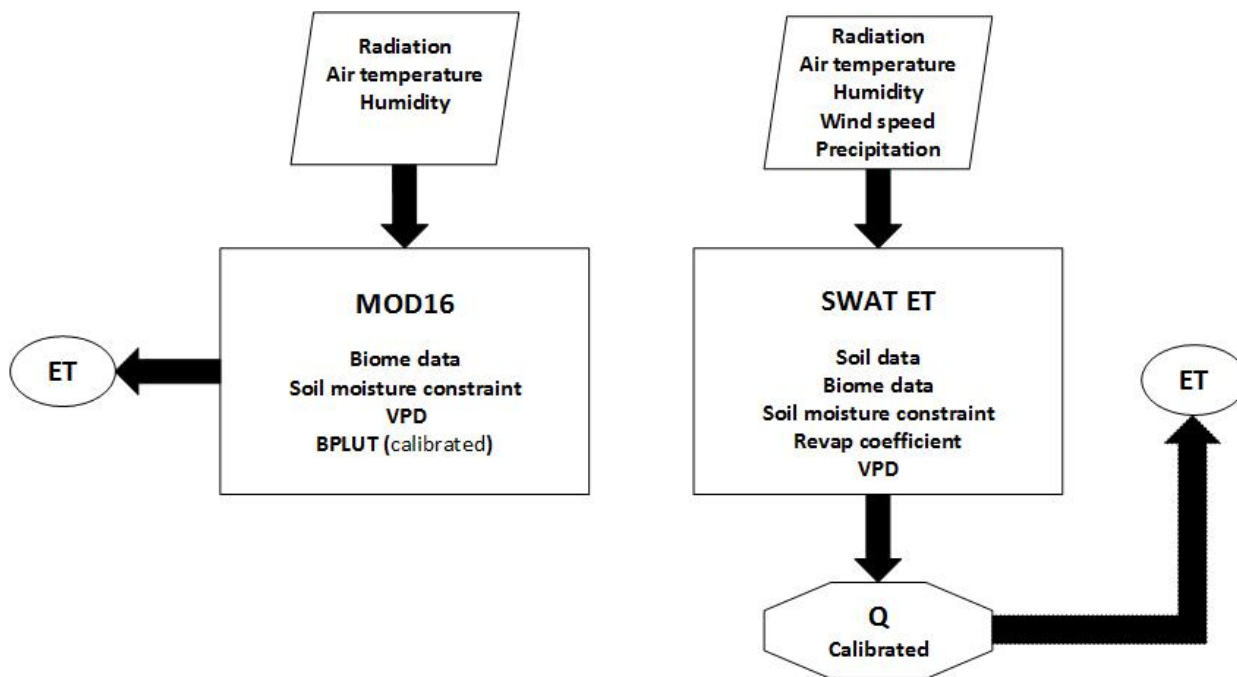
141 The AWRA-L is a daily 25km² grid based hydrological model designed on the water balance concept over
 142 Australia. The model conceptualises each grid as two distinct HRU's; shallow-rooted vegetation HRU and deep-
 143 rooted vegetation HRU. The shallow-rooted vegetation corresponds to grass while the deep-rooted vegetation
 144 corresponds to trees. The model conceptualises the soil into three layers with water storage capacity. The soil
 145 surface storage with a 0.1m depth, the shallow storage from 0.1m to 1m and the deep storage from 1m to 6m.
 146 The principal difference between the two HRU's is that the shallow-rooted vegetation HRU can only access the
 147 first two soil storage layers while the deep-rooted vegetation HRU can access the 3 layers. The AWRA-L model
 148 simulates catchment hydrological processes such as evapotranspiration, infiltration, runoff, drainage, interflow,
 149 recharge amongst others.

150 Evapotranspiration in the AWRA-L is a sum of six processes; canopy evaporation from intercepted
 151 precipitation, evaporation from soil surface, groundwater evaporation, shallow storage transpiration, deep
 152 storage transpiration and groundwater transpiration. The evaporation in the model is constrained by the
 153 Penman equation (Penman, 1948). For a detailed structure of the AWRA-L model, see Viney et al. (2014).

154

155 **2.4 Penman-Monteith Algorithm Parameterization**

156 The MOD16 and SWAT ET algorithm, which are both based on the Penman-Monteith equation but parameterized
 157 differently, suggests there will be similarities and differences in the results from both methods. Both algorithms
 158 are principally limited on temporal timescales by the available energy to convert liquid water to atmospheric water
 159 vapour. Their transpiration and soil evaporation algorithms are also very dependent on vegetation/biome type,
 160 VPD, and the soil moisture constraint parameterization (Fig. 3).



161
 162 **Figure 3: MOD16 and SWAT ET parameterization (Q: discharge, BPLUT: biome properties lookup table; VPD:**
 163 **vapour pressure deficit).**

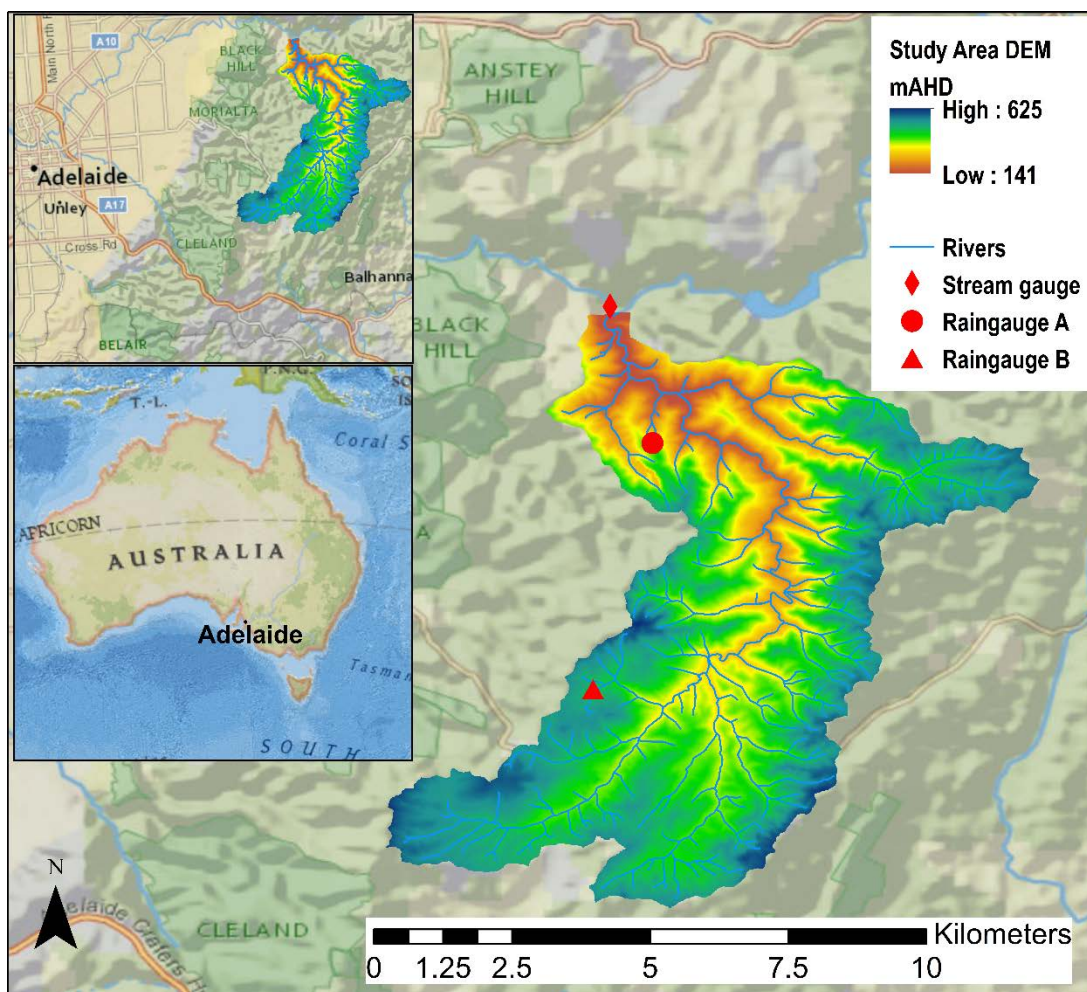
164
 165 In the SWAT ET algorithm, the VPD significantly impacts the transpiration through the constraining of the
 166 stomatal conductance. Detailed soil data on HRU scale such as layer depth, number of layers, unsaturated
 167 hydraulic conductivity and water capacity are crucial for constraining the soil moisture content, which in turn
 168 regulates the percolation and recharge into the system. Similarly, the calculated MOD16 ET is significantly
 169 impacted by the biome properties lookup table (BPLUT) and the soil moisture constraint function. The BPLUT
 170 was calibrated using the response of biomes on flux tower sites globally. The BPLUT contains information on the
 171 stomatal response of each biome to temperature, VPD and biophysical parameters. The soil moisture constraint
 172 function is applied in the estimation of the soil evaporation and is an important parameter in regions where the
 173 saturated zone is close to the ground surface such as our study area.

174
 175

176 **3 Data and Methods**

177 **3.1 Study Area**

178 The study area is the Sixth Creek Catchment of South Australia, located in the western part of the Mount Lofty
179 Ranges, which is a range of highlands separating the Adelaide Plains in the west from the Murray-Darling basin
180 in the east. The western part of the Mount Lofty Ranges runs 90 km north to south, its summit is at 680 mAHD
181 (metres Australian Height Datum) (Sinclair, 1980). It extends from the southernmost part at McLaren Vale on the
182 Fleurieu Peninsula to Freeling in the north over an area of 2189 km². The Sixth Creek Catchment is a complex
183 area, with acute elevation changes over few hundred metres (Fig. 4). The catchment is located close to the summit
184 of the Western Mount Lofty Ranges.



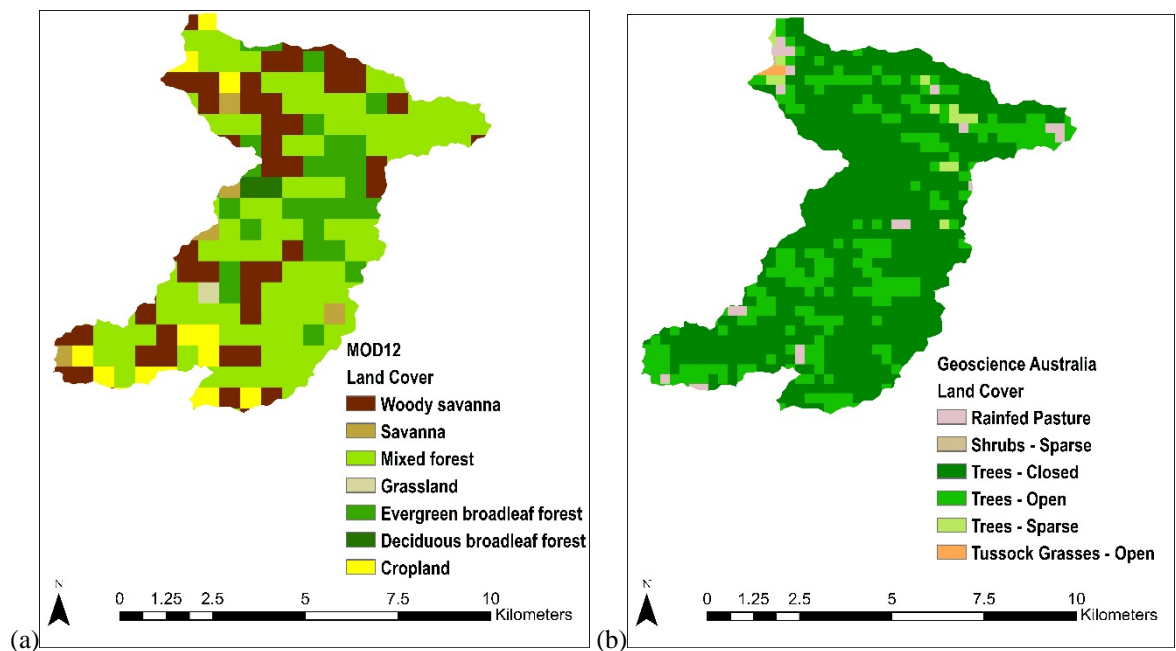
185
186 **Figure 4: Digital elevation model of the Sixth Creek Catchment study area (Gallant et al., 2011),**
187

188 It covers an area of 44 km² between 34°52'6.098" to 34°57'54.541"S and 138°42'55.855" to 138°49'27.174"E and
189 has an elevation range of 140 - 625 mAHD (Fig. 4). The land cover consists of 95% forestland with significant
190 deep-rooted Eucalyptus plantation and 5% pasture, shrubs and grasslands (Fig. 5b). Most of the native vegetation

191 is under conservation. The climate is Mediterranean, with warm dry summers and cool wet winters, and is of the
 192 type “Csb” according to the Köppen-Geiger classification. The Sixth Creek is a perennial stream with mean annual
 193 discharge of 0.25m³/s which accounts for 20 – 25 % of the mean annual rainfall in the catchment. The Sixth Creek
 194 did however experience a total of 35 days of no flow in the 13-year period of this study (2000 – 2013) which
 195 encompasses the “millennium drought years” (2000 – 2009) in Australia. The Sixth Creek is a gaining stream
 196 with groundwater discharging into the stream and sustaining it especially during the dry summer months. The
 197 depth to groundwater varies greatly across the complex terrain catchment, from less than 1 m to over 20 m across
 198 the seasons.

199
 200 The Sixth Creek Catchment’s complex terrain plays a significant role in its hydrology, with highly localised
 201 precipitation events recorded from the two weather stations in the catchment within the study period. The weather
 202 stations are located 4.5 km apart with elevation difference of over 200 metres (Fig. 4). Differences in annual
 203 rainfall of over 400 mm have been recorded between the two weather stations.

204 The annual precipitation for the period 2002 till 2016 for Station A ranges between 500 – 900 mm and 750-1500
 205 mm for Station B, while the temperature ranges between 10.5 °C and 22.2 °C in the summer months and 3.4 °C
 206 and 10 °C in the winter months.



207 (a) (b)
 208 **Figure 5: (a) MOD12 land cover used in MOD16 (Friedl et al., 2010); (b) Geoscience Australia land cover**
 209 **(Lymburner et al., 2010)**

210
 211

212 **3.2 Input datasets**

213 The GIS interfaced version of SWAT (ArcSWAT) was used in the hydrological modelling. A 30 m Digital
214 Elevation Model (DEM) (Dowling et al., 2011) of the Sixth Creek Catchment was used to extract the stream
215 network and the catchment area. A detailed soil properties database for the catchment was created from the soil
216 data obtained from the Australian Soil Resource Information System (Johnston et al., 2003). The 250 m land cover
217 map of Australia from Geoscience Australia's Dynamic Land Cover database (Fig. 5b) is typically preferred to
218 be used in the SWAT model ahead of the 500 m MOD12 land cover map (Fig. 5a) due to its finer spatial resolution
219 and better biome match with local field knowledge but for direct comparison with MOD16, both maps are used
220 to run separate SWAT models. In this study, the $0.01^\circ \times 0.01^\circ$ wind speed data (McVicar et al., 2008), and the
221 $0.05^\circ \times 0.05^\circ$ relative humidity, temperature, rainfall, solar radiation (Jeffrey et al., 2001), were preferred to
222 weather station data. Four $0.05^\circ \times 0.05^\circ$ gridded data cells fall within the boundaries of the catchment and are
223 therefore comparable to the climate components of the two weather stations in the catchment. Moreover, the
224 gridded data used in this study are calibrated using the weather stations across Australia including the two weather
225 stations in the Sixth Creek Catchment, thus maintaining excellent correlation when compared to the weather
226 stations' measured data. Details of the gridded data methodology and algorithm used in this study can be found
227 in Jeffrey et al. (2001) and McVicar et al. (2008). The daily gridded climate datasets were simply averaged over
228 the Sixth Creek Catchment, to obtain values used in this study.

229

230 The monthly MOD16 datasets for the years 2000 to 2013, at 1 km^2 spatial resolution were used in this study (Mu
231 et al., 2013). Catchment averages were calculated by simple averaging of all the 1 km^2 cells that fall within the
232 catchment area.

233

234 **3.3 SWAT Model Setup and Calibration**

235 The soil, land cover and DEM derived slope data were classified into classes and used to create 124 and 119
236 unique HRU's for the Geoscience Australia and MOD12 land covers respectively, ranging from 0.001 km^2 to 6
237 km^2 in area. While each unique HRU has specific set of properties several small areas with the same land cover,
238 slope and soil type make up the total area of a single HRU. The properties of each unique HRU determine how it
239 responds to precipitation, and how different hydrological processes such as streamflow, runoff, lateral flow and
240 evapotranspiration are modelled in the catchment. The runoff from each HRU is accumulated and routed through

241 the river network to the outlet of the catchment. Driven by the meteorological input, the model simulates
 242 catchment hydrological processes with a daily time step for the period 2000 to 2013.

243

244 The SWAT model is calibrated by fitting simulated streamflow to observed streamflow with the SUFI-2
 245 algorithm. This semi-automatic Latin hypercube sampling algorithm optimizes SWAT model parameters while
 246 attempting to fit the simulated data as close as possible to the observed data using the user preferred objective
 247 function from those detailed below as measurement of simulation accuracy (Abbaspour, 2007). Although a single
 248 user objective function is used in the calibration and validation, the results of the other objective functions are
 249 also recorded for the optimal model run.

250

251 Nash Sutcliffe Efficiency (N_{SE}) (Nash and Sutcliffe, 1970),

$$252 \quad N_{SE} = 1 - \frac{\sum_{n=1}^N (Q_n - \widehat{Q}_n)^2}{\sum_{n=1}^N (Q_n - \bar{Q})^2} \quad (1)$$

253 where Q_n (m^3s^{-1}) is the measured discharge at time n , \widehat{Q}_n (m^3s^{-1}) is the simulated discharge at time n , \bar{Q} (m^3s^{-1})
 254 is the mean measured discharge and N is the number of time steps.

255

256 Ratio of root mean squared error to the standard deviation of measured data (R_{SR}) (Moriasi et al., 2007),

$$257 \quad R_{SR} = \frac{\sqrt{\sum_{n=1}^N (Q_n - \widehat{Q}_n)^2}}{\sqrt{\sum_{n=1}^N (Q_n - \bar{Q})^2}} \quad (2)$$

258

259 Percent bias (P_{BIAS}),

$$260 \quad P_{BIAS} = 100 \frac{\sum_{n=1}^N (Q_n - \widehat{Q}_n)}{\sum_{n=1}^N Q_n} \quad (3)$$

261

262 Coefficient of determination (R^2),

$$263 \quad R^2 = \left(\frac{\sum_{n=1}^N (Q_n - \bar{Q})(\widehat{Q}_n - \bar{\widehat{Q}})}{\sqrt{\sum_{n=1}^N (Q_n - \bar{Q})^2} \sqrt{\sum_{n=1}^N (\widehat{Q}_n - \bar{\widehat{Q}})^2}} \right)^2 \quad (4)$$

264 where $\bar{\widehat{Q}}$ (m^3s^{-1}) is the mean simulated discharge.

265

266 Kling-Gupta Efficiency (K_{GE}) (Gupta et al., 2009),

$$267 \quad K_{GE} = 1 - \sqrt{(r - 1)^2 + (\alpha - 1)^2 + (\omega - 1)^2} \quad (5)$$

268 where r is the linear correlation coefficient between the simulated and measured variable, $\omega = \frac{\bar{Q}_n}{\bar{Q}}$, $\alpha = \frac{\sigma_s}{\sigma_m}$, σ_s
269 and σ_m are the standard deviation of simulated and measured data.

270

271 After obtaining a satisfactory fit between the simulated and observed streamflow data during calibration, the
272 model is validated by running the model for a different time period using the same parameters from the calibration
273 period. SUFI-2 further incorporates the unitless P and R-factor metric, which gives an indication of the confidence
274 in the calibration exercise. The P-factor which is also referred to as the 95 Percent Prediction Uncertainty (95PPU),
275 is the percentage fraction of observed data captured which falls between the 2.5 and 97.5 percentiles, while the
276 R-factor is the width of the 95PPU. The P and R-factors are iteratively determined using Latin Hypercube
277 Sampling. For streamflow calibration and validation to be considered reliable, combined satisfactory values
278 should be obtained of P-factor (> 0.7), R-factor (< 1) (Abbaspour, 2007) and of one of the objective functions,
279 N_{SE} (> 0.5), R_{SR} (≤ 0.7) and P_{BIAS} ($\pm 25\%$) (Moriassi et al., 2007). In this study, the NSE objective function
280 combined with the P and R factors are used. The result of the other objective functions at the optimal NSE are
281 also recorded. For a comprehensive explanation of the SUFI-2 algorithm, see Abbaspour (2007).

282

283 The calibration process was conducted on daily timescales for the years 2000 to 2005 while the validation was
284 conducted for the years 2007 to 2013. A warm up period of 5 years between 1995 and 1999 was used in the SWAT
285 model to equilibrate the model mass budget and internal reservoirs. The relatively long periods of streamflow
286 calibration and validation on daily timescales were specifically used to address the potential problem of
287 equifinality of parameters to be optimized. The principle of equifinality has been known to affect semi-distributed
288 models such as SWAT (Qiao et al., 2013). Nevertheless, the use of many observation points has been observed to
289 effectively constrain it (Tobin and Bennett, 2017). In this study, 21 sensitive SWAT model parameters (Table 3)
290 are optimized with SUFI-2 to fit simulated streamflow to the observed streamflow data. In the SUFI-2 algorithm
291 preparation for calibration, an “r_” and a “v_” prefix before a SWAT model parameter (Table 3) are indicative of
292 a relative change (a percentage increase or decrease in the SWAT modelled value) and replacement change of the
293 original SWAT modelled values respectively. The relative change is often used to fine tune parameters that have
294 been modelled within the acceptable range while the replacement change is used when modelled parameter values
295 are at odds with local field knowledge or established values.

296

297 The resultant SWAT simulated ET was compared with the MOD16 ET using the root mean square error (R_{MSE}),
 298 mean difference (M_D), Pearson's correlation coefficient (R) and coefficient of determination (R^2) metrics.

$$299 \quad R_{MSE} = \sqrt{\frac{\sum_{n=1}^N (x_{1,n} - y_{1,n})^2}{N}} \quad (6)$$

300 Where x_1 and y_1 are SWAT and MOD16 monthly ET values respectively.

$$301 \quad M_D = \left(\frac{x_1 + x_2 \dots x_N}{N} \right) - \left(\frac{y_1 + y_2 \dots y_N}{N} \right) \quad (7)$$

$$302 \quad R = \frac{(\sum_{n=1}^N (Q_n - \bar{Q})(\hat{Q}_n - \bar{\hat{Q}}))}{\sqrt{\sum_{n=1}^N (Q_n - \bar{Q})^2} \sqrt{\sum_{n=1}^N (\hat{Q}_n - \bar{\hat{Q}})^2}} \quad (8)$$

303

304 **Table 3:** Optimized SWAT parameters and their final range

P	Parameter Description	Final Parameter Range
r	SCS Runoff Curve Number for moisture condition II	$[1 + (-0.048 - 0.122)] \times \text{Actual value}$
v	Baseflow recession constant (days)	0.58 – 0.93
v	Groundwater delay time (days)	1.89 – 3.70
v	Groundwater “Revap” coefficient	0.12 – 0.2
v	Soil evaporation compensation factor	0.2 – 0.5
v	Manning’s “n” value for the main channel	0.05 – 0.15
r	Surface runoff lag coefficient	$[1 + (0.22 - 1.2)] \times \text{Actual Value}$
v	Baseflow alpha factor for bank storage (days)	0.5 – 1
v	Available water capacity of the soil layer (mm/mm)	0.24 – 0.71
r	Saturated hydraulic conductivity (mm/hr)	$[1 + (-0.99 - -0.39)] \times \text{Actual Value}$
r	Moist bulk density (g/cm ³)	$[1 + (-0.37 - -0.04)] \times \text{Actual Value}$
r	Depth from soil surface to bottom of layer (mm)	$[1 + (-0.25 - -0.04)] \times \text{Actual Value}$
v	Plant uptake compensation factor	0.77 – 1
v	Threshold depth of water in the shallow aquifer required for return flow to occur (mm)	0 – 500

v	Initial depth of water in the shallow aquifer (mm)	20000 – 30000
–		
v	Initial depth of water in the deep aquifer (mm)	10000 – 20000
–		
r	Average slope steepness (m/m)	$[1 + (-0.24 - 0.15)] \times Actual Value$
r	Manning’s “n” value for overland flow	$[1 + (-0.84 - -0.05)] \times Actual Value$
r	Average slope length (m)	$[1 + (-0.9 - -0.24)] \times Actual Value$
v	Threshold depth of water in the shallow aquifer required for Revap to occur (mm)	0 – 100
v	Effective hydraulic conductivity in main channel alluvium (mm/hr)	6 – 30
–		

305

306 4 Results

307 4.1 Streamflow

308 The streamflow was calibrated and validated on daily timescales according to the guidelines set out in Moriasi et
309 al. (2007) and Abbaspour (2007) (Table 4, Fig. 6). The result indicates an observed data bracketing of between
310 87% and 89% for both calibration and validation with R-factors under 1.

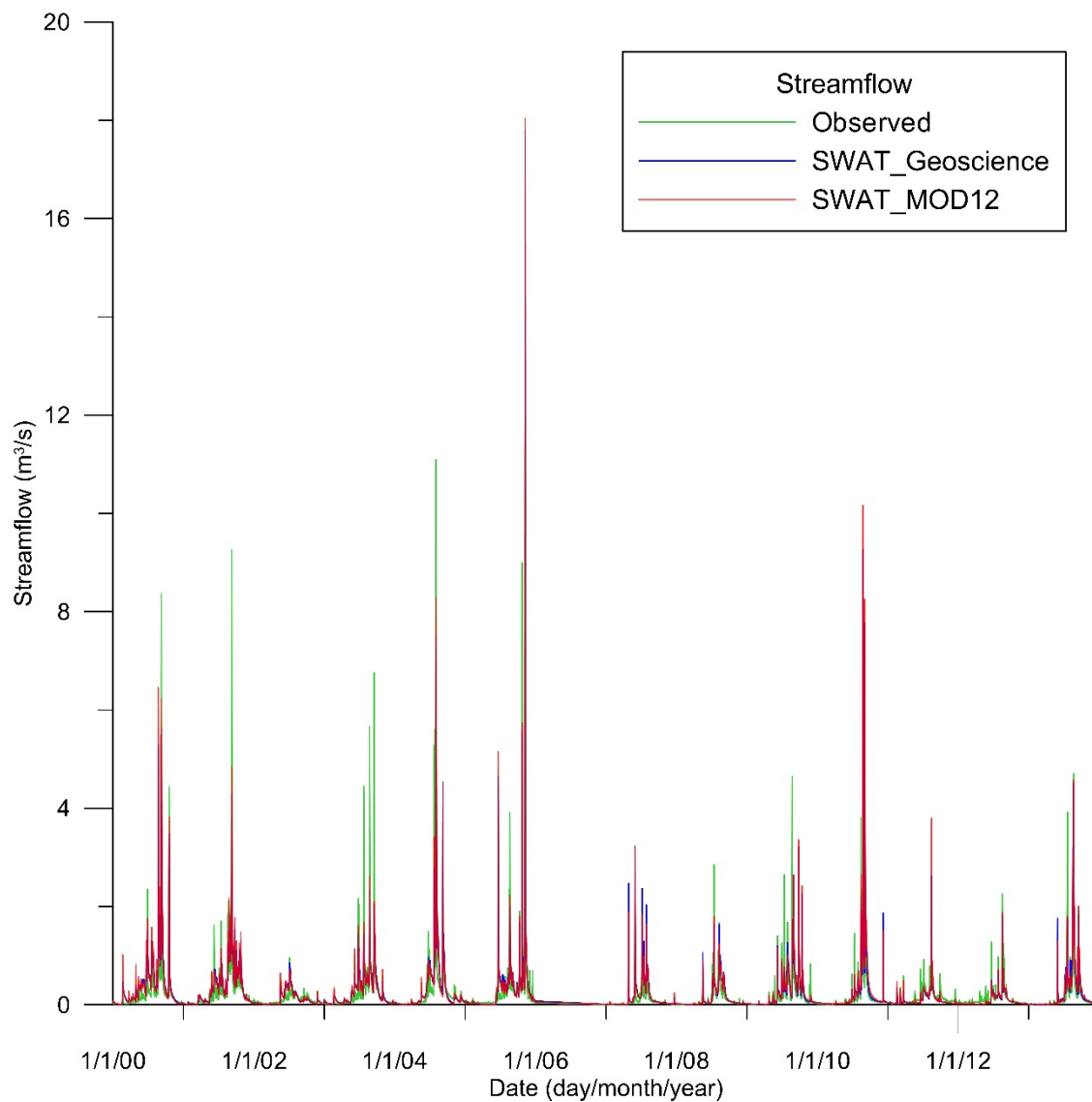
311 **Table 4:** Streamflow calibration and validation results

Model		P-factor	R-factor	N_{SE}	R^2	K_{GE}	R_{SR}	P_{BIAS}
SWAT with Geoscience Land Cover	Calibration	0.89	0.66	0.61	0.62	0.71	0.62	-11.1
	Validation	0.87	0.91	0.78	0.78	0.88	0.47	-0.1
SWAT with MOD12 Land Cover	Calibration	0.88	0.69	0.62	0.64	0.74	0.61	-13.5
	Validation	0.87	0.98	0.79	0.80	0.87	0.46	-6.5

312

313 Table 4 shows better results for the validation than calibration for the N_{SE} , R^2 , K_{GE} and R_{SR} metrics, however
314 slightly lower for the P-factors. The results of the calibration and validation exercise on daily timescales show
315 that the model effectively represents the high and low flow periods (Fig. 6).

316



317

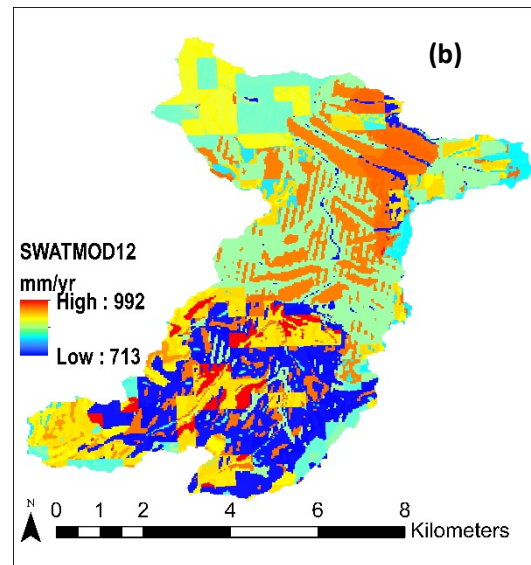
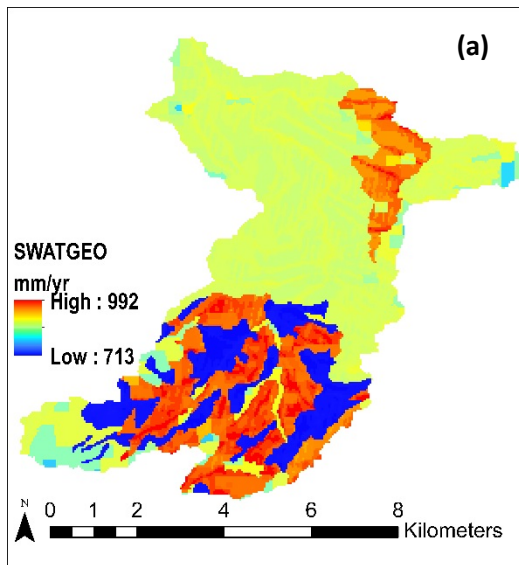
318 **Figure 6: Streamflow calibration (2000-2005) and validation (2007-2013)**

319 **4.2 Sub-catchment scale evapotranspiration**

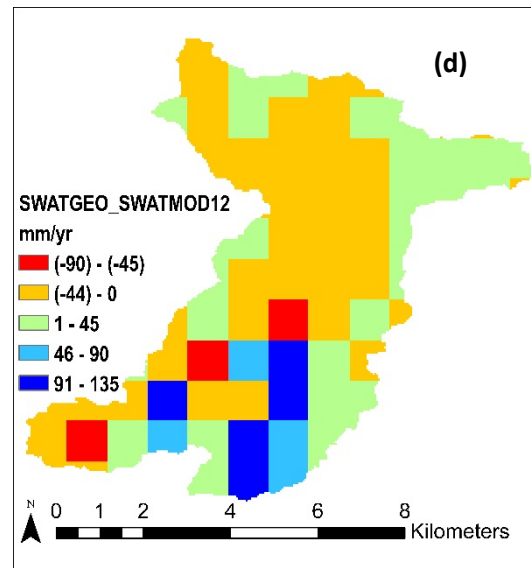
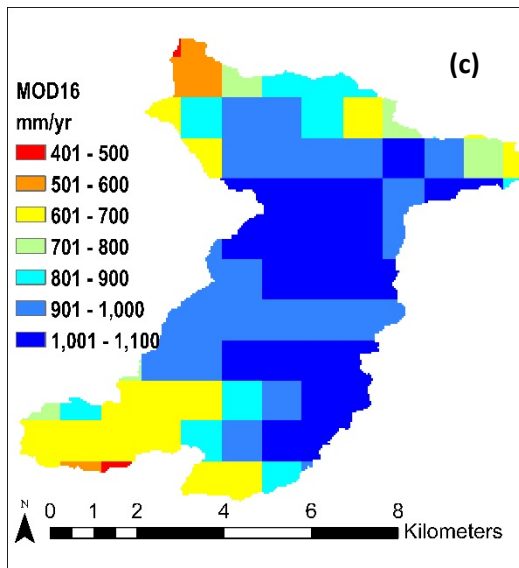
320 The SWAT ET model is calculated at the HRU scale (Fig. 7a & 7b), however for direct comparison with the
 321 MOD16 ET (Fig. 7c), the HRU ET results were reprocessed into 1 km² cells using simple averaging. For cells on
 322 the boundary which do not aggregate up to the 1km² resolution, a percentage weighting based on the area covered
 323 is applied. Figure 7d shows the mean annual difference between both SWAT models (the SWAT model with
 324 Geoscience land cover as SWATGEO and the SWAT model with MOD12 land cover as SWATMOD12) over
 325 the validation period at the 1 km² spatial resolution. The SWATMOD12 and the MOD16 maps (Fig. 7b and 7c)
 326 can be seen to show some spatial semblance in the north, south, east and west corners of the catchment principally
 327 due to the use of the MOD12 map in both models. Generally, a trend of higher ET in the north-east and central
 328 part of the catchment is seen while lower ET is observed in the south-western parts of the catchment. The spatially
 329 distributed mean annual ET difference of the SWAT models compared to the MOD16 show about 40% of the

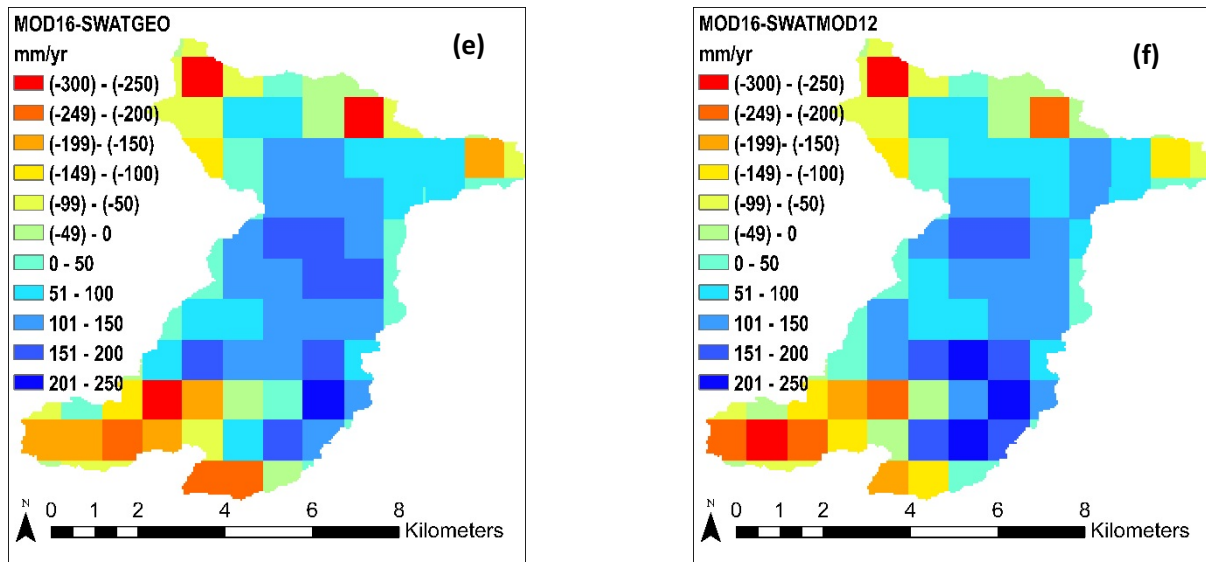
330 catchment with a difference of ± 100 mm/year at the 1 km² spatial scale. Clear spatial difference between the
 331 SWAT models are seen at the HRU scale but at the 1 km² resolution, the maximum mean annual difference
 332 between the SWAT models is 12%.

333



334





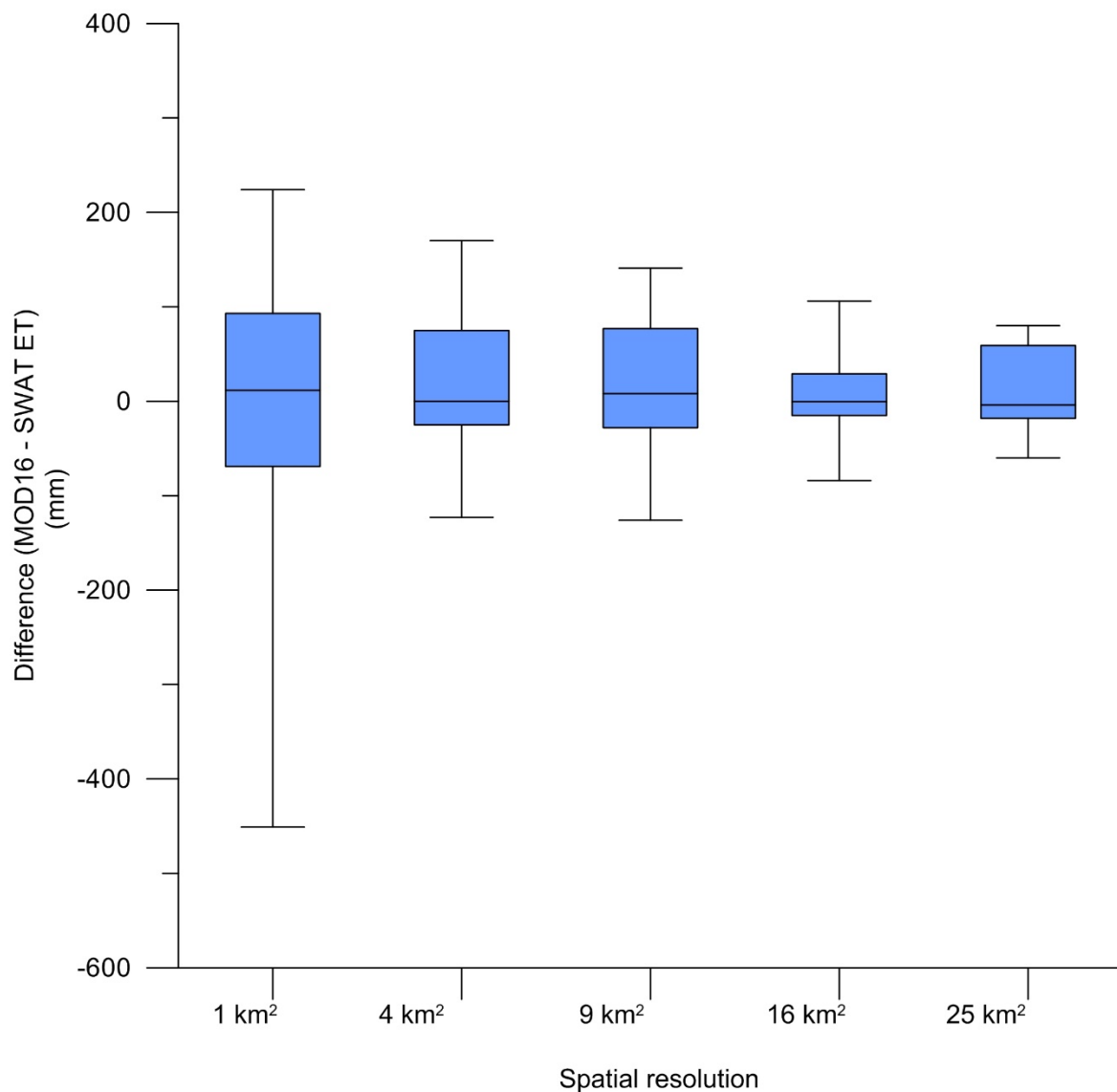
335

336

337 **Figure 7: (a) HRU scale SWATGEO mean ET (2007-2013); (b) HRU scale SWATMOD12 mean ET (2007-2013); (c) 1**
 338 **km² grid MOD16 mean ET (2007-2013); (d) Mean difference between SWATGEO and SWATMOD12 for**
 339 **corresponding 1 km² grid cells (2007-2013); (e) Mean difference between MOD16 and SWATGEO for corresponding**
 340 **1 km² grid cells (2007-2013); (f) Mean difference between MOD16 and SWATMOD12 for corresponding 1 km² grid**
 341 **cells (2007-2013)**

342

343 Further analyses were carried out to determine the effect of spatial aggregation on the correspondence between
 344 the ET methods. For the spatial aggregation analysis, the SWATGEO model was used due to its improved land
 345 cover accuracy based on field knowledge. The box and whisker plot in Fig. 8 shows the spread of the difference
 346 between the SWAT ET and the MOD16, with the bottom, middle and top of the box indicating the 25th, 50th and
 347 75th quartiles of the distribution. The lowest and highest bars in the plot indicate the minimum and maximum
 348 differences between the ET products at the different spatial scales. Figure 8 show that with increasing cell
 349 aggregation the difference in the ET between SWAT and MOD16 decreases. At 1 km², 4 km², 9 km², 16 km² and
 350 25 km² the maximum cell difference between the SWAT and MOD16 ET are 31%, 19%, 15%, 11% and 9%
 351 respectively.



352

353 **Figure 8: Differences between SWATGEO ET and MOD16 for spatial aggregations between 1 and 25 km². The**
 354 **bottom, middle and top of the whisker indicate the 25th, 50th and 75th quartiles of the distribution, the lowest and**
 355 **highest bars indicate the minimum and maximum differences.**

356

357

358 The grand variances for the monthly data of the three models were calculated and partitioned into the spatial and
 359 temporal components at the 1 km², 4 km², 9 km², 16 km² and 25 km² resolutions (Table 5) using the Time-First
 360 formulation described in Sun et al. (2010). The partitioning presents the average of the temporal variances for
 361 each of the regions in the catchment as the temporal component and the spatial variance of the
 362 evapotranspiration as the spatial component shows the spatial component consistently higher across the three
 363 models. The partitioning shows that at the finer resolution the variance in the evapotranspiration in the models

364 are principally associated with the spatial component but the temporal component of the variance increases with
 365 spatial aggregation.

366

367

368

369

370 Table 5: Variance partitioning into space and time components at various spatial resolutions

Spatial Resolution	Model	Spatial Component in mm² (%)	Temporal Component in mm² (%)
1 km²	SWATMOD12	74.4 (80.9)	17.6 (19.1)
	SWATGEO	75.5 (80.6)	18.2 (19.4)
	MOD16	82.5 (84.9)	14.7 (15.1)
4 km²	SWATMOD12	239.9 (79.8)	60.6 (20.2)
	SWATGEO	241.1 (79.4)	62.72 (20.6)
	MOD16	265.0 (84.04)	50.34 (16.0)
9 km²	SWATMOD12	434.4 (77.7)	124.9 (22.3)
	SWATGEO	434.8 (77.2)	128.4 (22.8)
	MOD16	479.2 (82.0)	105.1 (18.0)
16 km²	SWATMOD12	586.2 (74.8)	198.0 (25.2)
	SWATGEO	590.7 (74.3)	204.8 (25.7)
	MOD16	637.3 (80)	159.4 (20)
25 km²	SWATMOD12	665.9 (68.3)	308.7 (31.7)
	SWATGEO	669.9 (67.6)	320.6 (32.4)
	MOD16	738.8 (73.5)	266.4 (26.5)

371

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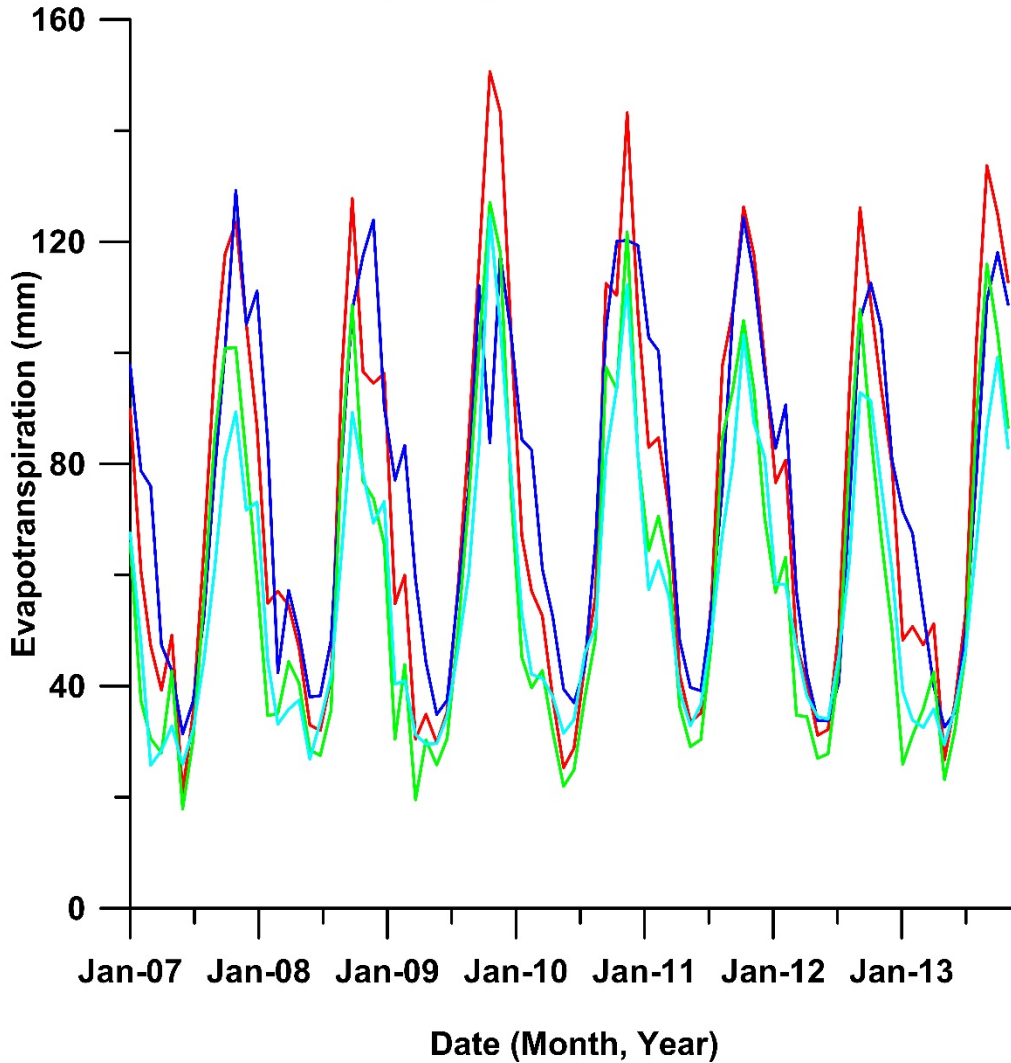
374 **4.3 Catchment Scale Evapotranspiration**

375 At catchment scale, the mean annual ET of the SWATGEO, SWATMOD12 and the MOD16 models are 873, 864
376 and 865mm respectively. The means show better agreement between the SWATMOD12 and MOD16 models
377 which is attributed to the use of the same land cover in both models.

378 To compare the temporal dynamics of the MOD16, the SWAT ET and the AWRA-L ET, the data were aggregated
379 to catchment scale. As both SWAT models tend towards unity at the catchment scale with less than 1% difference
380 in their annual mean ET, only the SWATGEO model is evaluated at catchment scale as the more accurate model
381 to keep with the philosophy of the study.

382 Monthly MOD16 ET and AWRA-L ET values at 1 km² and 25 km² resolution respectively were averaged to
383 catchment scale values using the spatial analyst tools in ArcGIS, while ET values from the validated SWAT model
384 on catchment spatial extent and daily timescales were aggregated to monthly timescales. Using the R_{MSE} and R^2
385 metrics the analysis shows a good correspondence between the models (Fig. 9). The SWAT and MOD16 methods
386 at catchment scale has a maximum annual ET difference and mean ET difference of respectively less than 13 and
387 6 percent for the period from 2007 to 2013. The MOD16 and the AWRA-L show similar temporal patterns, but
388 the AWRA-L ET was significantly lower than both the MOD16 and SWAT ET results (Fig. 9). A direct
389 comparison between the AWRA-L ET and the SWAT ET without the Revap component shows very high
390 correlation and agreement between both models with maximum annual ET difference and mean ET difference of
391 respectively 10 and 2 percent for the period from 2007 to 2013.

		RMSE (mm/month)			
		1	2	3	4
R^2	1 - SWAT ET	1	15.6	20.6	16.5
	2 - MOD16	2	0.8	23.4	23.8
	3 - AWRA-L	3	0.94	0.75	9.9
	4 - SWAT ET without Revap	4	0.96	0.69	0.91



392

393

394 Figure 9: Monthly Comparison of SWAT, AWRA-L and MOD16 ET at catchment scale.

395

396 **5 Discussion**

397 **5.1 Spatial Aggregation Analysis**

398 The mean annual graduated spatial scale analysis across the SWAT models and the MOD16 for 2007-2013

399 exhibits a wide spread at the 1km² spatial resolution with a maximum cell difference of 31%. When the data was

400 aggregated to 4 km² using the simple averaging method, the maximum difference reduced to an acceptable 19%.

401 Further aggregation to 9 km² reduced the maximum difference by a further 4% but also sees a significant
402 degradation in the resolution of the evapotranspiration data. Table 5 also shows the impact of the spatial
403 aggregation on the variance of the monthly ET data across the SWAT and MOD16 models. It is observed that the
404 aggregation from 1 km² to 4 km² altered the percentage variance between the spatial and temporal by about 1%
405 across the three models but beyond the 4 km² resolution the spatial component of the variance which accounts for
406 the larger portion of the variance begins to degrade further. Hence our spatial scale of confidence for small
407 catchment scale ET analysis is the 4 km² resolution based on the comparison of the SWAT and MOD16 ET over
408 a complex terrain.

409 The differences between regions in the catchment are more significant at finer spatial resolutions due to the diverse
410 input data and their associated errors, these impacts become less significant as the outputs are up-scaled (Fig. 8).
411 This trend was also observed by Hong et al. (2009). The simple averaging method was preferred in this study over
412 the bilinear, cubic and other methods as the simple averaging method has been observed to be the best in flux
413 aggregation after a study of various methods (Ershadi et al., 2013).

414 **5.2 Sources of differences across the three models**

415 The recognized principal sources of differences between the three ET methods are associated with land cover, the
416 Revap component in SWAT and the HRU parameterization in the AWRA-L; they are discussed in the following
417 sections.

418 **5.2.1 Land Cover**

419 The land cover is an important parameter in the MOD16 and SWAT ET algorithms as it determines the values
420 allocated to biophysical properties such as leaf conductance and boundary layer resistance, which significantly
421 impact ET calculations. The impact of the land cover on the SWAT models is evident from the spatially divergent
422 high-resolution SWAT models (Fig. 9a and 9b), at the HRU scale, though the streamflow calibration and
423 validation parameters and results were similar. With the spatial aggregation of the SWAT models to 1 km²
424 resolution, the obvious spatial differences at the HRU scale reduces significantly and begins to disappear beyond
425 the 1 km² resolution. Differences in the land cover in the SWAT models were responsible for the difference spatial
426 distribution of the ET across the catchment between the models. The effect of the land cover on the MOD16 was
427 not evaluated, however, the SWATMOD12 model with the same land cover expectedly showed better agreement
428 when compared with the MOD16 with mean for the period of 2007-2013 within 1mm at the catchment scale. The
429 Geoscience Land cover map has 95% percent forests, while the MOD12 has a classification of 67% forests and
430 24 % woody savanna, with most of the region misclassified as woody savanna having some similar properties of

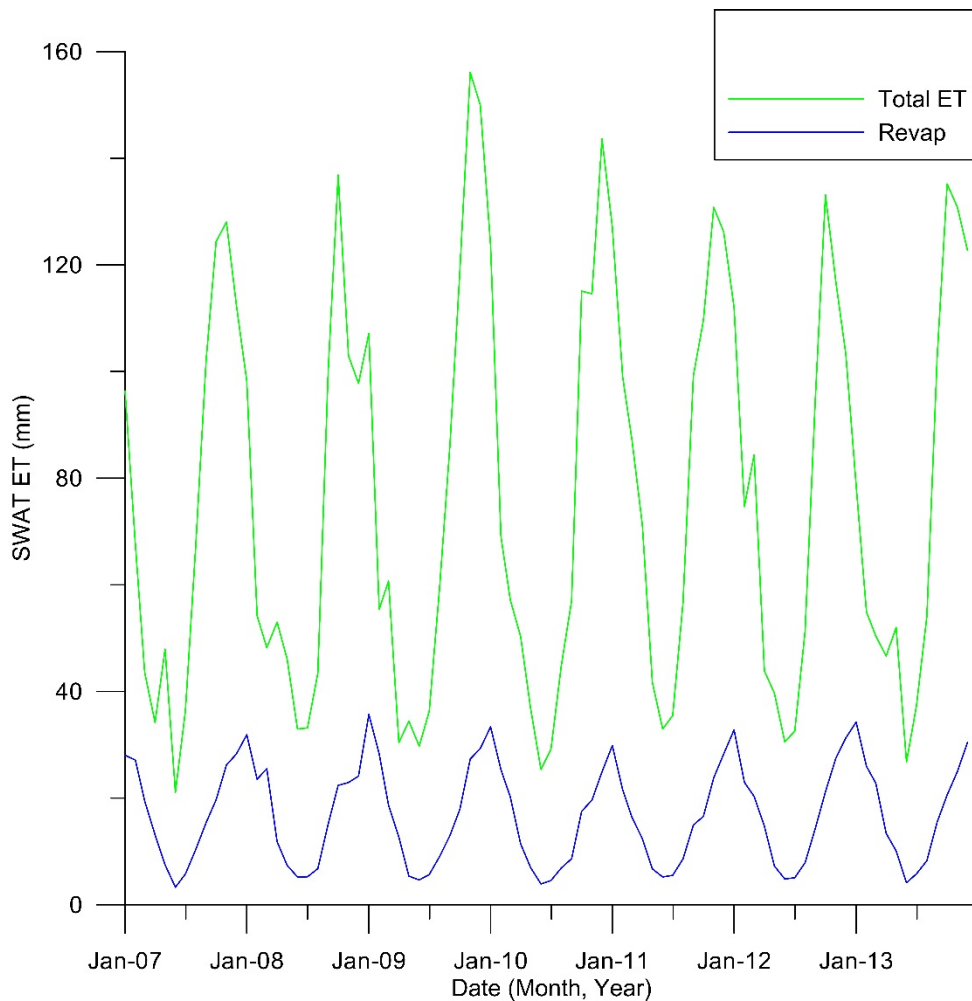
431 the forests. At catchment scale, the data averaging contributes to the convergence of the MOD16 and SWAT ET
432 results albeit with closer agreement between the MOD16 and SWATMOD12 which share land cover.

433

434 **5.2.2 Revap**

435 The Revap component of the AET in SWAT is mostly significant in forested catchments with deep rooted trees
436 that can access the saturated zone and as such are governed by land use parameters (Neitsch et al., 2011). However,
437 the relative accuracy of the Revap component of the ET on HRU scales has been questioned (Liu et al., 2015) due
438 to the linear relationship between the Revap coefficient and potential evapotranspiration in SWAT (see Eqn. A23).
439 The Revap component in this study appears consistent with the studies by Benyon et al. (2006) in south-eastern
440 Australia with similar climatic condition as the Sixth Creek Catchment. Benyon et al. (2006) observed that under
441 the combined conditions of highly permeable soils, available groundwater resources of low salinity (<2000 mg/L),
442 a high transmissivity aquifer and groundwater of depths up to 6 m, annual groundwater ET contribution to total
443 ET ranged from 13 – 72% for sampled Eucalyptus tree species. The Sixth Creek Catchment is principally
444 underlain by the highly transmissive and permeable Aldgate Sandstone aquifer, with salinity levels well below
445 2000 mg/L (Gerges, 1999). Monitoring bores in the Sixth Creek Catchment have recorded standing water levels
446 of less than 1.5 metres at the end of the rainy winter months in parts of the catchment. The Sixth Creek Catchment
447 has been identified as one of the principal recharge zones in the Western Mount Lofty Ranges based on the
448 catchment geology and hydrochemical analysis (Green and Zulfic, 2008). A significant portion of the 95%
449 forested part of the Sixth Creek Catchment is a mosaic of various Eucalyptus tree species, thereby corroborating
450 the results of Benyon et al. (2006). The AWRA-L ET model does not appear to include a separate groundwater
451 ET model in its algorithm such as is found in the SWAT model (A23-26), hence the correlation and strong
452 agreement between the AWRA-L model when the Revap is unaccounted for in the SWAT ET. The results suggest
453 the Revap is a significant contributor to ET in the Sixth Creek Catchment (Fig. 10) with mean annual contribution
454 of 20% for the years 2007 – 2013, while monthly contributions ranged from 15 – 52 % over the same period. The
455 possibility exists that the linear relationship with PET employed in its calculation on HRU scale may be
456 contributory to the higher range of ET fluctuation seen in the SWAT model on the 1 km² scale when compared to
457 the MOD16, however, that is beyond the scope of this study.

458



459
460 **Fig 10. Monthly comparison of Revap component of the ET and total ET in SWAT.**

461
462 On catchment scale, the results show that MOD16 simulates higher ET in the winter periods while SWAT
463 simulates higher ET during the summer periods (Fig. 9). Generally, the agreement between the products is more
464 consistent during the winter seasons when ET is lower. The lesser correlation during higher ET seasons may be
465 related to the linearly determined Revap component of the ET, which is a more dominant process in the summer
466 months when the demand for soil evaporation, plant transpiration and groundwater ET is significantly higher.

467 **5.2.3 HRU parameterization in AWRA-L**

468
469 The HRU parameterization method in AWRA-L significantly impacts the evapotranspiration modelling process.
470 While the AWRA-L does not use a robust land cover product that distinguishes between vegetation including
471 trees, it uses a fraction of tree cover product to parameterise the HRU. AWRA-L discretises each 5 km² grid cell
472 into two HRU's; the shallow-rooted HRU and the deep-rooted HRU. The determination of the area of the grid
473 apportioned as deep-rooted and shallow rooted HRU are solely based on the satellite derived product of the

474 persistent and recurrent photosynthetically active absorbed radiation (F_{par}) from the Advanced Very High
475 Resolution Radiometer (AVHRR) (Donohue et al., 2008). The fraction of the persistent F_{par} is regarded as the
476 fraction of tree cover, hence it is used as the fraction of the deep-rooted HRU in each grid cell. The discretisation
477 of the AWRA-L HRU in the Sixth Creek catchment which suggests under 60% tree cover in the Sixth Creek
478 Catchment severely limits the access of the model to the deep soil storage and groundwater ET computation in
479 the catchment, hence the close correlation and agreement of the AWRA-L model with the SWAT model when
480 the Revap (groundwater ET) is unaccounted for is reasonable.

481 **5.3 Input data Challenges**

482 The SWAT ET and the MOD16 methods both have challenges associated with input data, which are subsequently
483 propagated through the algorithm. In semi-arid environments such as the Sixth Creek Catchment, high intensity
484 rainfall events are common occurrences, which impacts hydrologic processes such as infiltration and
485 evapotranspiration differently from if the precipitation were evenly distributed through the day (Syed et al., 2003).
486 Yang et al. (2016) observed that the use of hourly rainfall in SWAT significantly improved the modelling of
487 streamflow and hydrological processes. In this study, due to the unavailability of hourly precipitation data, daily
488 precipitation data were used thus neglecting the impact of high intensity precipitation events in the catchment.

489
490 Another challenge encountered with the SWAT model is associated with the semi-distributed model methodology.
491 The use of a single value for wind speed, relative humidity and solar radiation for a sub-catchment with spatial
492 scale, which could be in the order of tens of square kilometres, affects the accuracy of hydrological processes at
493 the HRU scale. The “elevation band” method of temperature and precipitation distribution with respect to
494 elevation changes across a catchment was introduced into the SWAT algorithm to attenuate orographic effects in
495 complex terrain catchments (Neitsch et al., 2011). The elevation band algorithm in SWAT has performed well in
496 predominantly snowy, complex terrain catchments, which are significantly larger than the Sixth Creek Catchment
497 with elevation changes in the order of kilometres (Abbaspour et al., 2007; Zhang et al., 2008b; Pradhanang et al.,
498 2011). However, the application of the elevation band algorithm in the non-snowy Odiel River basin (Spain) with
499 Mediterranean climate similar to the Sixth Creek Catchment yielded less than satisfactory results (Galván et al.,
500 2014). In the non-snowy Sixth Creek Catchment, the orographic effects are a dominant atmospheric process when
501 winds are moving from the lower elevations in the north of the catchment to the higher elevations in the South
502 particularly during the winter months. The orographic lift leads to significantly higher precipitation in the south-

503 westerly direction in the Sixth Creek Catchment, which the elevation band algorithm in SWAT would not
504 represent accurately in non-snowy catchments.

505 The various meteorological and remote sensing input data used in the processing of the MOD16 all have their
506 inherent uncertainties, with cloud cover challenges and coarse resolution resampling (Mu et al., 2011), while
507 errors have been associated with the land cover product used (Ruhoff et al., 2013). The land cover map (MOD12)
508 used in MOD16 (Fig. 5a), in conjunction with the calibrated biome properties lookup table (BPLUT) significantly
509 influences the ET output from the various land covers under different climatic conditions. A more detailed map
510 and local knowledge of the Sixth Creek Catchment indicates that the MOD12 land cover spatially mismatches
511 some biomes (Fig. 5a and 5b). Besides the obvious land cover mismatches that were observed between the input
512 data of the two models, the variety of accepted national, regional and global land cover classification system
513 contributes to the challenges of hydrological modelling. In this MOD12, the “mixed forest” category covered over
514 50% of the catchment while the category does not exist in the local field map land cover classification. The global
515 standardization and harmonization of land cover maps and biome classification at high resolution may improve
516 model performance.

517

518 **6 Conclusion**

519 The main objectives of this paper are to compare three ET products (SWAT, MOD16 and AWRA-L) on catchment
520 scale, while also evaluating the two finer resolution products (SWAT and MOD16) on graduated spatial scale.
521 We also attempted to determine the spatial scale at which the models tend towards agreement. while also seeking
522 to understand the sources of disagreements between the models.

523

524 The calibrated SWAT model using the SUFI-2 algorithm and various objective functions could simulate ET to
525 within 6% of the MOD16 on catchment scale, annually. The P and R factors metrics were observed to be very
526 reliable indicators of a good calibration exercise. Abbaspour (2007) proposed P and R factor minimum
527 benchmarks of >0.7 and <1 respectively for streamflow calibration, in this study the P and R factors >0.8 and <1
528 were found to produce reliable ET estimates on catchment scales. We observed that at a spatial scale of 4 km^2 we
529 obtained cell differences of under 20% annually which gave confidence to our study in the complex terrain that
530 our 4 km^2 aggregation is a good scale of confidence.

531

532 The SWAT and MOD16 show good correlation on catchment scale while, the AWRA-L and the SWAT model
533 without the inclusion of the groundwater ET component of the SWAT model showed good agreement. Biome
534 differences and input spatial scale contribute to poor agreement at finer spatial scales. The challenge of the lack
535 of a globally accepted and harmonised land cover classification system at high resolution was encountered in the
536 study, with two products derived from the MODIS satellite data classifying land cover differently and thus
537 impacting the results from the SWAT models. The use of different land covers with different classification systems
538 and parameters are observed to have limited impact on evapotranspiration modelling at coarse spatial resolutions
539 due to spatial averaging. Nevertheless, the tree cover fraction used in place of a land cover product in the AWRA-
540 L is also observed to impact the ET modelling, particularly in a groundwater dependent catchment like our study
541 area. The inherent differences and uncertainties associated with these land cover products will continue to be
542 propagated through the models, thereby promoting divergence in the drive towards more accurate and finer
543 resolution evapotranspiration data products. While many concerted research efforts have been made in the past
544 (Latham, 2009; Friedl et al., 2010), a globally accepted harmonised world land cover database at high resolution
545 can significantly improve correlation and confidence in high resolution ET products.

546

547 The result of the spatial resolution analysis corroborates the view that prevailing ET algorithms and measurement
548 methods will have certain degree of variability due to the complexity of ET estimation and various drivers of the
549 contributory processes. The study shows that correlation at catchment scale does not necessarily translate to
550 correlation at finer spatial scales. The study also highlights the possible challenges of the semi-distributed SWAT
551 ET algorithm in a complex terrain as the input climate data can be a challenge due to spatial resolution and climate
552 variability.

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781

782 **Appendix A: Evapotranspiration in SWAT**

783 SWAT provides the user with three options of modelling ET at the HRU scale and at daily temporal resolution
 784 (Penman-Monteith, Hargreaves or Priestly-Taylor methods). In this study, the Penman-Monteith method is used.
 785 SWAT initially calculates the potential evapotranspiration (PET) for a reference crop (Alfalfa) using the Penman-
 786 Monteith equation for well-watered plants (Jensen et al., 1990):

$$787 \quad \lambda E_0 = \frac{\Delta(H_{net}-G)+\rho \cdot c_p \frac{e_{sat}-e}{r_a}}{\Delta+\gamma(1+\frac{r_c}{r_a})} \quad (A1)$$

788

789 where λ is the latent heat of vaporization (MJ kg⁻¹); E_0 is the potential evapotranspiration rate (mm/d); Δ is the
 790 slope of the saturation vapor pressure vs temperature curve (kPa °C⁻¹); H_{net} is the net radiation at the surface (MJ
 791 m⁻² d⁻¹); G is the heat flux density to the ground (MJ m⁻² d⁻¹); ρ is the air density (kg m⁻³); c_p is the specific heat of
 792 dry air at constant pressure (J kg⁻¹ K⁻¹); P is the atmospheric pressure (kPa); e_{sat} is saturation vapor pressure of air
 793 (kPa); e is water vapor pressure (kPa); r_a is the aerodynamic resistance (s m⁻¹); γ is the psychrometric constant
 794 (kPa °C⁻¹) and r_c is the canopy resistance (s m⁻¹).

795

796 Total ET (AET) in SWAT is made up of four components: canopy evaporation, transpiration, soil evaporation
 797 and groundwater ET (Revap). Revap is the movement of water from the saturated zone into the overlying
 798 unsaturated zone to supplement the water need for evapotranspiration. The Revap process may be insignificant in
 799 regions where the saturated zone is much deeper than the root zone and as such the result is separately reported
 800 from the ET result in the SWAT result database. As SWAT calculates Revap separately, for a calculation of AET
 801 in regions where the saturated zone is within the root zone, the user should add the Revap result column to the ET
 802 calculations. The AET components are calculated from the PET starting with the canopy evaporation. For this
 803 first component the following storage equations are used in determining the volume of water available for
 804 evaporation from the wet canopy in SWAT

$$805 \quad C_{day} = C_{mx} \left(\frac{L_{ai}}{L_{ai,mx}} \right) \quad (A2)$$

806 when $R'_{day} \leq C_{day} - R_{int(i)}$:

$$807 \quad R_{int(f)} = R_{int(i)} + R'_{day}; \text{ and } R_{day} = 0 \quad (A3)$$

808 when $R'_{day} > C_{day} - R_{int(i)}$:

$$809 \quad R_{int(f)} = C_{day}; R_{day} = R'_{day} - (C_{day} - R_{int(i)}) \quad (A4)$$

810 where C_{day} is the maximum amount of water that can be stored in the canopy on a given day (mm); C_{mx} is the
811 amount of water that can be stored in the canopy when the canopy is fully matured (mm); L_{ai} is the leaf area index
812 on a given day (); $L_{ai_{mx}}$ is the maximum leaf area index when the plant is fully matured (-); $R_{int(i)}$ is the initial
813 amount of free water available in the canopy at the beginning of the day (mm); $R_{int(f)}$ is the final amount of free
814 water available in the canopy at the end of the day (mm); R'_{day} is the amount of precipitation on a given day
815 before accounting for canopy interception (mm); and R_{day} is the amount of precipitation reaching the soil on a
816 given day (mm).

817

818 The SWAT ET algorithm initially evaporates as much water as can be accommodated in the PET from the wet
819 canopy. If the total volume of water in canopy storage equals or exceeds PET for the day, then ET is calculated
820 as;

$$821 \quad E_a = E_{can} = E_0 \quad (A5)$$

822 where E_a is AET (mm d⁻¹); E_{can} is evaporation from canopy constrained by E_0 , i.e. PET (mm d⁻¹). However, if
823 the water in canopy storage is less than the PET for the day, transpiration, soil evaporation and Revap are
824 constrained by E'_0 , which is the potential evapotranspiration adjusted for the evaporation of the water on the
825 canopy surface (mm d⁻¹).

$$826 \quad E'_0 = E_0 - E_{can} \quad (A6)$$

827 The second AET component (transpiration) of SWAT is calculated using the following equations;

$$828 \quad \lambda E_{t_{max}} = \frac{\Delta(H_{net-G}) + \gamma K \left(\frac{0.622 \lambda p}{P} \right) \frac{e_{sat} - e}{r_a}}{\Delta + \gamma \left(1 + \frac{r_c}{r_a} \right)} \quad (A7)$$

$$829 \quad W_z = \left(\frac{E_{t_{max}}}{1 - e^{-\tau}} \right) \times \left(1 - e^{(-\tau \times (\frac{z}{z_r})^2)} \right) \quad (A8)$$

$$830 \quad W'_l = W_l + (W_d \times e_{pco}) \quad (A9)$$

$$831 \quad W''_l = W'_l \times e^{\left(5 \times \left(\frac{S_{wl}}{(0.25 \times A_{wcl})} - 1 \right) \right)} \text{ when } S_{wl} < 25\% \text{ of } A_{wcl} \quad (A10)$$

$$832 \quad W''_l = W'_l \text{ when } S_{wl} > 25\% \text{ of } A_{wcl} \quad (A11)$$

$$833 \quad E_{t,l} = \min[W''_l, (S_{wl} - W_{pl})] \quad (A12)$$

$$834 \quad E_t = \sum_{l=1}^n E_{t,l} \quad (A13)$$

835 where $E_{t_{max}}$ is the maximum transpiration rate (mm/d); $K = 8.64 \times 10^4$; P is the atmospheric pressure (kPa);

836 W_z is the potential water taken up by plant from the soil surface to a specific depth (mm/d) z; τ is the plant water

837 consumption distribution function; z is the depth from soil surface (mm); z_r is the plant root depth from soil

838 surface (mm); W_l is the potential water consumption by plant in the soil layer l (mm); W'_l is the potential water
839 consumption by plant in the layer l adjusted for demand (mm); W_d is the plant water consumption demand deficit
840 from overlying soil layers (mm); e_{pco} is the plant water consumption compensation factor (-); W''_l is the potential
841 plant water consumption adjusted for initial soil water content (mm); S_{wl} is the soil water content of layer l in a
842 day (mm); A_{wcl} is the available water capacity of layer l (mm); W_{pl} is soil water content of layer l at wilting point
843 (mm); $E_{t,l}$ is the actual transpiration water volume from layer l in a given day (mm/d); E_t is the total actual
844 transpiration by plants in a given day (mm/d). Plant transpiration parameters such as stomatal conductance,
845 maximum leaf area index and maximum plant height are retrieved from a SWAT database while climate data
846 required by the Penman-Monteith method are sourced from input data.

847

848 The third AET SWAT component, the soil evaporation on a given day, is a function of the transpiration, degree
849 of shading and potential evapotranspiration adjusted for canopy evaporation. The maximum soil evaporation on
850 a given day (E_s) (mm d⁻¹) is calculated as

$$851 \quad E_s = E'_0 cov_{sol} \quad (A14)$$

$$852 \quad cov_{sol} = e^{(-5.0 \cdot 10^{-5} CV)} \quad (A15)$$

853 where cov_{sol} is the soil cover index (-) and CV is the aboveground biomass for the day (kg/ha). The maximum
854 possible soil evaporation in a day is then subsequently adjusted for plant water use (E'_s) (mm d⁻¹)

$$855 \quad E'_s = \min \left(E_s, \frac{E_s E'_0}{E_s + E_t} \right) \quad (A16)$$

856 The SWAT ET algorithm then partitions the evaporative demand between the soils layers, with the top 10 mm of
857 soil accounting for 50% of soil water evaporated. Equation 17 and 18 are used to calculate the evaporative demand
858 at specific depths and evaporative demands for soil layers respectively.

$$859 \quad E_{soil,z} = E''_s \frac{z}{z + e^{(2.374 - (0.00713 z))}} \quad (A17)$$

$$860 \quad E_{soil,l} = E_{soil,zl} - E_{soil,zu} \cdot e_{sco} \quad (A18)$$

$$861 \quad E'_{soil,l} = E_{soil,l} \times e^{\left(2.5 \times \left(\frac{S_{wl} - F_{cl}}{F_{cl} - W_{pl}} - 1 \right) \right)} \text{ when } S_{wl} < F_{cl} \quad (A19)$$

$$862 \quad E'_{soil,l} = E_{soil,l} \text{ when } S_{wl} > F_{cl} \quad (A20)$$

$$863 \quad E''_{soil,l} = \min[E'_{soil,l}, 0.8(S_{wl} - W_{pl})] \quad (A21)$$

$$864 \quad E_{soil} = \sum_{l=1}^n E''_{soil,l} \quad (A22)$$

865 where $E_{soil,z}$ is the water demand for evaporation at depth z (mm); E_s'' is the maximum possible water to be
866 evaporated in a day (mm); e_{sco} is the soil evaporation compensation factor; $E_{soil,l}$ is the water demand for
867 evaporation in layer l (mm); $E_{soil,zl}$ is the evaporative demand at the lower boundary of the soil layer (mm);
868 $E_{soil,zu}$ is the evaporative demand at upper boundary of the soil layer (mm); F_{cl} is the water content of the soil
869 layer l at field capacity (mm) and $E''_{soil,l}$ is the volume of water evaporated from soil layer l (mm/d); E_{soil} is the
870 total volume of water evaporated from soil on a given day (mm/d).

871

872 The fourth component of the ET calculations in SWAT is referred to as “Revap”. Revap in SWAT is the amount
873 of water transferred from the hydraulically connected shallow aquifer to the unsaturated zone in response to water
874 demand for evapotranspiration. The Revap component in SWAT is akin to ET from groundwater. Revap is often
875 a dominant catchment process in a groundwater dependent ecosystem and it is calculated at the HRU scale. Revap
876 is estimated as a fraction of the potential evapotranspiration (PET) and it is dependent on a threshold depth of
877 water in the shallow aquifer which is set by the user.

$$878 \quad w_{revap,mx} = \beta_{revap} E_0 \quad (A23)$$

$$879 \quad w_{revap} = w_{revap,mx} - a_{thr} \quad \text{if}$$

$$880 \quad a_{thr} < a_{sh} < (a_{thr} + w_{revap,mx}) \quad (A24)$$

$$881 \quad w_{revap} = 0 \quad \text{if } a_{sh} \leq a_{thr} \quad (A25)$$

$$882 \quad w_{revap} = w_{revap,mx} \quad \text{if } a_{sh} \geq (a_{thr} + w_{revap,mx}) \quad (A26)$$

883 where $w_{revap,mx}$ is the maximum volume of water transferred to the unsaturated zone in response to water
884 shortages for the day (mm); β_{revap} is the Revap coefficient (-); w_{revap} is the actual volume of water transferred
885 to the unsaturated zone to supplement water shortage for the day (mm); a_{sh} is the water volume stored in the
886 shallow aquifer at the beginning of the day (mm); and the a_{thr} is the threshold water level in the shallow aquifer
887 required for Revap to occur (mm) (Neitsch et al., 2011).

888

889 **Appendix B: MODIS Evapotranspiration**

890

891 ET in the MOD16 is a summation of three components: wet canopy evaporation, plant transpiration and soil
 892 evaporation. Wet canopy evaporation (λE_{can}) in MOD16 is calculated using a modified version of the Penman-
 893 Monteith equation,

$$894 \lambda E_{can} = \frac{(\Delta H_{net} - F_C) + \rho c_p (e_{sat} - e) \frac{F_{par}}{r_a} F_{wet}}{\Delta + \left(\frac{\rho c_p r_{vc}}{\lambda \varepsilon r_a} \right)} \quad (B1)$$

895 Where the parameters are as earlier defined, λE_{can} is the latent heat flux (Wm^{-2}); H_{net} is net radiation relative to
 896 canopy (Wm^{-2}); F_{par} is the fraction of absorbed photosynthetically active radiation ; F_{wet} is the fraction of the
 897 soil covered by water; r_{vc} is the resistance to latent heat transfer (s m^{-1}); and ε is the emissivity.

898

899 The plant transpiration (λE_t) is calculated using another variation of the Penman-Monteith equation,

$$900 \lambda E_t = \frac{(\Delta H_{net} - F_C) + \rho c_p (e_{sat} - e) \frac{F_C}{r_a} (1 - F_{wet})}{\Delta + \gamma \left(1 + \frac{r_c}{r_a} \right)} \quad (B2)$$

901 The soil evaporation (λE_{soil}) is a summation of the potential soil evaporation (λE_{soil_POT}) limited by the soil
 902 moisture constraint function (Fisher et al., 2008) and the evaporation from wet soil (λE_{wet_soil}):

$$903 \lambda E_{soil} = \lambda E_{wet_soil} + \lambda E_{soil_POT} \left(\frac{R_h}{100} \right)^{\frac{V_{PD}}{\phi}} \quad (B3)$$

$$904 \lambda E_{wet_soil} = \frac{(\Delta H_{net}) + \rho c_p (1.0 - F_C) \frac{V_{PD}}{r_a} (F_{wet})}{\Delta + \gamma \left(\frac{r_{tot}}{r_a} \right)} \quad (B4)$$

$$905 \lambda E_{soil_POT} = \frac{(\Delta H_{net}) + \rho c_p (1.0 - F_C) \frac{V_{PD}}{r_a} (1 - F_{wet})}{\Delta + \gamma \left(\frac{r_{tot}}{r_a} \right)} \quad (B5)$$

906 where H_{net} and r_a are relative to the soil surface; r_{tot} is the total aerodynamic resistance to vapor transport (s m^{-1});
 907 V_{PD} is the vapor pressure deficit (Pa); R_h is the relative humidity (%); and β is a dimensionless coefficient
 908 defining the relative sensitivity of R_h to V_{PD} . In MOD16 the constant ϕ is set to 200.

909 Total evapotranspiration (λE) in MOD16 is thus calculated as

$$910 \lambda E = \lambda E_{can} + \lambda E_t + \lambda E_{soil} \quad (B6)$$

911

912