



25 **Keywords:** SCS curve number method, VIC, Xinanjiang, saturation excess, distribution function,
26 soil water storage capacity, soil wetting

27 **1. Introduction**

28 The Soil Conservation Service Curve Number (SCS-CN) method [Mockus, 1972] has been
29 popularly used for direct runoff estimation in engineering communities. Even though the SCS-
30 CN method was obtained empirically [Ponce, 1996; Beven, 2011], it is often interpreted as an
31 infiltration excess runoff model [Bras, 1990; Mishra and Singh, 1999]. Yu [1998] showed that
32 partial area infiltration excess runoff generation on a statistical distribution of soil infiltration
33 characteristics provided similar runoff generation equation as the SCS-CN method. Recently,
34 Hooshyar and Wang [2016] derived an analytical solution for Richards' equation for ponded
35 infiltration into a soil column bounded by a water table; and they showed that the SCS-CN
36 method, as an infiltration excess model, is a special case of the derived general solution. The
37 SCS-CN method has also been interpreted as a saturation excess runoff model [Steenhuis *et al.*,
38 1995; Lyon *et al.*, 2004; Easton *et al.*, 2008]. During an interview, Mockus, who developed the
39 proportionality relationship of the SCS-CN method, stated that “saturation overland flow was the
40 most likely runoff mechanism to be simulated by the method” [Ponce, 1996]. Recently, Bartlett
41 *et al.* [2016a] developed a probabilistic framework, which provides a statistical justification of
42 the SCS-CN method and extends the saturation excess interpretation of the event-based runoff of
43 the method.

44 Since the 1970s, various saturation excess runoff models have been developed based on
45 the concept of probability distribution of soil storage capacity [Moore, 1985]. TOPMODEL is a
46 well-known saturation excess runoff model based on spatially distributed topography [Beven and
47 Kirkby, 1979; Sivapalan *et al.*, 1987]. To quantify the dynamic change of saturation area during



48 rainfall events, the spatial variability of soil moisture storage capacity is described by a
49 cumulative probability distribution function in the Xinanjiang model [Zhao, 1977; Zhao *et al.*,
50 1992] and the Variable Infiltration Capacity (VIC) model [Wood *et al.*, 1992; Liang *et al.*, 1994].
51 The distribution of storage capacity is described by a power function in these models, which
52 have been used for catchment scale runoff prediction and large scale land surface hydrologic
53 simulations. Bartlett *et al.* [2016b] unified TOPMODEL, the VIC type of model, and the SCS-
54 CN method by an event-based probabilistic storage framework, which includes a spatial
55 description of the runoff concept of “prethreshold” and “threshold-excess” runoff [Bartlett *et al.*,
56 2016a].

57 By applying the generalized proportionality hypothesis from the SCS-CN method to
58 mean annual water balance, Wang and Tang [2014] derived a one-parameter Budyko equation
59 [Budyko, 1974] for mean annual evaporation ratio (i.e., the ratio of evaporation to precipitation)
60 as a function of climate aridity index (i.e., the ratio of potential evaporation to precipitation). As
61 an analogy to the Budyko framework, the SCS-CN method and the VIC type of model at the
62 event scale can be represented by the relationship between soil wetting ratio, defined as the ratio
63 between soil wetting and precipitation, and soil storage index which is defined as the ratio
64 between soil wetting capacity and precipitation.

65 In this paper, the functional forms for soil wetting ratio versus soil storage index are
66 compared between the SCS-CN model and the VIC/Xinanjiang type of model. Based on the
67 comparison, a new distribution function is proposed for describing the soil water storage capacity
68 in the VIC type of model so that the SCS-CN method and VIC type of model are unified. In
69 section 2, the SCS-CN method is presented in the form of Budyko-type framework with two
70 parameterization schemes. In section 3, the VIC type of model is presented in the form of



71 Budyko-type framework. In section 4, the SCS-CN method is then compared with the VIC type
72 of model from the perspectives of number of parameters and boundary conditions (i.e., the lower
73 and upper bounds of soil storage index). In section 5, the proposed new distribution function is
74 introduced and compared with the power distribution of VIC type of model; and a modified
75 SCS-CN method considering initial storage explicitly is derived from the new distribution
76 function. Conclusions are drawn in section 6.

77 2. SCS curve number method

78 In this section, the SCS-CN method is described in the form of surface runoff modeling and then
79 is presented for infiltration modeling in the Budyko-type framework. The initial storage at the
80 beginning of a time interval (e.g., rainfall event) is denoted by S_0 [mm], and the maximum value
81 of average storage capacity over the catchment is denoted by S_b [mm]. The storage capacity for
82 soil wetting for the time interval, S_p [mm], is computed by:

$$83 \quad S_p = S_b - S_0 \quad (1)$$

84 The total rainfall during the time interval is denoted by P [mm]. Before surface runoff is
85 generated, a portion of rainfall is intercepted by vegetation and infiltrates into the soil. This
86 portion of rainfall is called initial abstraction or initial soil wetting denoted by W_i [mm]. The
87 remaining rainfall ($P - W_i$) is partitioned into runoff and continuing soil wetting. This
88 competition is captured by the proportionality relationship in the SCS-CN method:

$$89 \quad \frac{W - W_i}{S_p - W_i} = \frac{Q}{P - W_i} \quad (2)$$

90 where W [mm] is the total soil wetting; $W - W_i$ is continuing wetting and $S_p - W_i$ is its
91 potential value; Q [mm] is surface runoff; and $P - W_i$ is the available water and interpreted as
92 the potential value of Q . Since rainfall is partitioned into total soil wetting and surface runoff,
93 i.e., $P = W + Q$, surface runoff is computed by substituting $W = P - Q$ into equation (2):



94
$$Q = \frac{(P - W_i)^2}{P + S_p - 2W_i} \quad (3)$$

95 This equation is used for computing direct runoff in the SCS-CN method.

96 The SCS-CN method can also be represented in terms of soil wetting ratio ($\frac{W}{P}$).

97 Substituting equation (3) into $W = P - Q$ and dividing P on both sides, the soil wetting ratio
98 equation is obtained:

99
$$\frac{W}{P} = \frac{\frac{S_p}{P} - \frac{W_i^2}{P^2}}{1 + \frac{S_p}{P} - 2\frac{W_i}{P}} \quad (4)$$

100 Climate aridity index is defined as the ratio between potential evaporation and precipitation. In
101 climate aridity index, both available water supply and water demand are determined by climate.

102
$$\Phi_{sc} = \frac{S_p}{P} \quad (5)$$

103 A similar dimensionless parameter for the ratio between the maximum soil storage capacity and
104 mean rainfall depth of rainfall events was defined in *Porporato et al.* [2004]. In soil storage
105 index, water demand is determined by soil and available water supply is determined by climate.
106 Substituting equation (5) into equation (4), the soil wetting equation for the SCS-CN method is
107 obtained:

108
$$\frac{W}{P} = \frac{\Phi_{sc} - \frac{W_i^2}{P^2}}{1 + \Phi_{sc} - 2\frac{W_i}{P}} \quad (6)$$

109 Two potential schemes for parameterizing the initial wetting in equation (6) are discussed in the
110 following sections.

111 **2.1. Parameterization scheme 1: ratio between initial wetting and storage capacity**

112 The initial wetting is usually parameterized as the ratio between initial wetting and storage
113 capacity in the SCS-CN method. The potential for continuing wetting is called potential
114 maximum retention and is denoted by $S_m = S_p - W_i$. S_m is computed as a function of curve



115 number which is dependent on land use/land cover and soil permeability. The ratio between W_i
 116 and S_m in the SCS curve number method is denoted by $\lambda = \frac{W_i}{S_p - W_i}$, and then the ratio between
 117 initial soil wetting and storage capacity is computed by:

$$118 \quad \frac{W_i}{S_p} = \frac{\lambda}{1+\lambda} \quad (7)$$

119 The value of λ varies in the range of $0 \leq \lambda \leq 0.3$, and a value of 0.2 is usually used [*Ponce and*
 120 *Hawkins, 1996*]. Substituting equation (7) into equation (6) leads to:

$$121 \quad \frac{W}{P} = \frac{1 - \left(\frac{\lambda}{1+\lambda}\right)^2 \Phi_{sc}}{1 - \frac{2\lambda}{1+\lambda} + \Phi_{sc}^{-1}} \quad (8)$$

122 Equation (8) is plotted in Figure 1 for $\lambda = 0.1$ and 0.3. As we can see, the range of Φ_{sc} is
 123 dependent on the parameter λ . Since $W_i \leq P$, Φ_{sc} is in the range of $\left[0, 1 + \frac{1}{\lambda}\right]$. Equation (8)
 124 satisfies the following boundary conditions: $\frac{W}{P} \rightarrow 0$ as $\Phi_{sc} \rightarrow 0$; and $\frac{W}{P} \rightarrow 1$ as $\Phi_{sc} \rightarrow \frac{\lambda+1}{\lambda}$. When
 125 $\lambda \rightarrow 0$, equation (8) becomes:

$$126 \quad \frac{W}{P} = \frac{1}{1 + \Phi_{sc}^{-1}} \quad (9)$$

127 Equation (9) is the lower bound for $\frac{W}{P}$ based on this parameterization scheme.

128 **2.2. Parameterization scheme 2: ratio between initial wetting and total wetting**

129 In order to avoid the situation that the range of Φ_{sc} is dependent on the parameter λ , we can
 130 use the following parameterization scheme [*Chen et al., 2013; Tang and Wang, 2017*]:

$$131 \quad \varepsilon = \frac{W_i}{W} \quad (10)$$

132 Substituting equation (10) into equation (6), we can obtain the following equation:

$$133 \quad \frac{W}{P} = \frac{\Phi_{sc} - \varepsilon^2 \frac{W^2}{P^2}}{1 + \Phi_{sc} - 2\varepsilon \frac{W}{P}} \quad (11)$$

134 We can solve for $\frac{W}{P}$ from equation (11):



$$\frac{W}{P} = \frac{1 + \Phi_{sc} - \sqrt{(1 + \Phi_{sc})^2 - 4\varepsilon(2 - \varepsilon)\Phi_{sc}}}{2\varepsilon(2 - \varepsilon)} \quad (12)$$

Equation (12) has the same functional form as the derived Budyko equation for long-term evaporation ratio [Wang and Tang, 2014; Wang et al., 2015]. Equation (12) satisfies the following boundary conditions: $\frac{W}{P} \rightarrow 0$ as $\Phi_{sc} \rightarrow 0$; and $\frac{W}{P} \rightarrow 1$ as $\Phi_{sc} \rightarrow \infty$. Based on equation (10), the range of ε is $[0, 1]$, and $\varepsilon = 1$ corresponds to the upper bound (Figure 1). Equation (12) becomes equation (9) as $\varepsilon \rightarrow 0$, and it is the lower bound. Figure 1 plots equation (12) for $\varepsilon = 0.1$ and 0.3 . Due to the dependence of the range of Φ_{sc} on the parameter λ in the first parameterization scheme, the second parameterization scheme is focused on in the following sections.

In the SCS-CN method, the soil wetting ratio is a function of soil storage index with a parameter for describing initial wetting. The average wetting capacity at the catchment scale is used for computing soil storage index; but the spatial variability of wetting capacity is not represented in the SCS-CN method.

3. Saturation excess runoff model

The spatial variability of soil water storage capacity is explicitly represented in the saturation excess runoff models such as VIC and Xinanjiang. In these models, the spatial variation of point-scale storage capacity (C) is represented by a power function:

$$F(C) = 1 - \left(1 - \frac{C}{C_m}\right)^\beta \quad (13)$$

where $F(C)$ is the cumulative probability, i.e., the fraction of catchment area for which the storage capacity is less than C [mm]; and C_m [mm] is the maximum value of point-scale storage capacity over the catchment. The water storage capacity includes vegetation interception, surface retention, and soil moisture capacity; β is the shape parameter of storage capacity



157 distribution and is usually assumed to be a positive number. β ranges from 0.01 to 5.0 as
 158 suggested by *Wood et al.* [1992]. The storage capacity distribution curve is concave down for
 159 $0 < \beta < 1$ and concave up for $\beta > 1$. The average value of storage capacity over the catchment
 160 is equivalent to S_b in the SCS-CN method, and it is obtained by integrating the exceedance
 161 probability of storage capacity $S_b = \int_0^{C_m} (1 - F(x)) dx$:

$$162 \quad S_b = \frac{C_m}{\beta + 1} \quad (14)$$

163 Similarly, for a given C , the catchment-scale storage S [mm] can be computed [*Moore*, 1985]:

$$164 \quad S = S_b \left[1 - \left(1 - \frac{C}{C_m} \right)^{\beta + 1} \right] \quad (15)$$

165 To derive wetting ratio as a function of soil storage index, the initial storage at the
 166 catchment scale is parameterized by the degree of saturation:

$$167 \quad \psi = \frac{S_0}{S_b} \quad (16)$$

168 Recalling equation (1) and the definition of soil storage index (i.e., equation (5)), we obtain:

$$169 \quad \frac{S_b}{P} = \frac{\Phi_{sc}}{1 - \psi} \quad (17)$$

170 The value of C corresponding to the initial storage S_0 is denoted as C_0 , and $S_0 = S_b \left[1 - \right.$
 171 $\left. \left(1 - \frac{C_0}{C_m} \right)^{\beta + 1} \right]$ is obtained by substituting S_0 and C_0 into equation (15). When $P + C_0 \geq C_m$,

172 each point within the catchment is saturated and soil wetting reaches its maximum value, i.e.,

173 $W = S_p$. Substituting $C_0 = C_m - C_m \left(1 - \frac{S_0}{S_b} \right)^{\frac{1}{\beta + 1}}$ into $P + C_0 \geq C_m$, we obtain:

$$174 \quad \Phi_{sc} \leq b \text{ where } b = (\beta + 1)^{-1} (1 - \psi)^{\frac{\beta}{\beta + 1}} \quad (18)$$

175 Therefore, this condition is equivalent to:

$$176 \quad \frac{W}{P} = \Phi_{sc} \text{ when } \Phi_{sc} \leq b \quad (19)$$



177 Next, we will derive $\frac{W}{P}$ for the condition of $\Phi_{sc} > b$. The storage at the end of the
 178 modeling period (e.g., rainfall-runoff event) is denoted as S_1 , which is computed by:

$$179 \quad S_1 = S_b \left[1 - \left(1 - \frac{P+C_0}{C_m} \right)^{\beta+1} \right] \quad (20)$$

180 Since $W = S_1 - S_0$, wetting is computed by:

$$181 \quad W = S_b \left[1 - \left(1 - \frac{P+C_0}{C_m} \right)^{\beta+1} \right] - S_0 \quad (21)$$

182 From equation (21), we obtain (see Appendix A for details):

$$183 \quad \frac{W}{P} = \Phi_{sc} \left[1 - \left(1 - b\Phi_{sc}^{-1} \right)^{\beta+1} \right] \text{ when } \Phi_{sc} > b \quad (22)$$

184 The limit of equation (22) for $\Phi_{sc} \rightarrow \infty$ can be obtained (see Appendix B for details):

$$185 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = (1 - \psi)^{\frac{\beta}{\beta+1}} \quad (23)$$

186 Equations (19) and (22) provide $\frac{W}{P}$ as a function of Φ_{sc} with two parameters (ψ and β). Figure 2
 187 plots equations (19) and (22) for $\psi = 0$ and 0.5 when $\beta = 0.2$ and 2. As we can see, $\frac{W}{P}$ decreases
 188 as β increases for given values of ψ and Φ_{sc} ; and $\frac{W}{P}$ decreases as ψ increases for given values of
 189 β and Φ_{sc} , implicating that soil wetting ratio decreases with the degree of initial saturation under
 190 a given soil storage index.

191 **4. Comparison between SCS-CN model and VIC type of model**

192 The SCS-CN model with the parameterization of ratio between initial wetting and total wetting is
 193 compared with the VIC type of saturation excess runoff model. In sections 2 and 3, we derived
 194 $\frac{W}{P}$ as a function of Φ_{sc} based on the SCS-CN method and the VIC type of model, which uses a
 195 power function to describe the spatial distribution of storage capacity. The SCS-CN method is a
 196 function of storage capacity S_p ; but the VIC type of model is a function of storage capacity S_p



197 and the degree of initial saturation $\frac{S_0}{S_b}$. As a result, the function of $\frac{W}{P} \sim \frac{S_p}{P}$ for the SCS-CN method
198 has only one parameter (ε), but it has two parameters (β and ψ) for the VIC type of model.

199 Table 1 shows the boundary conditions for the relationships between $\frac{W}{P}$ and Φ_{sc} from the
200 SCS-CN method and the VIC type of model. The lower boundary of the SCS-CN method with
201 parameter ε is $\frac{W}{P} \rightarrow 0$ as $\Phi_{sc} \rightarrow 0$. However, for the VIC type of model, $\frac{W}{P} = \Phi_{sc}$ when $\Phi_{sc} \leq b$.
202 For the SCS-CN method, W reaches its maximum (S_p) when rainfall reaches infinity; while for
203 the VIC type of model, W reaches its maximum value (S_p) when rainfall reaches a finite number
204 ($C_m - C_0$). In other words, for the SCS-CN method, the entire catchment becomes saturated
205 when rainfall reaches infinity; while for the VIC type model, the entire catchment becomes
206 saturated when rainfall reaches a finite number.

207 As shown in Table 1, the upper boundary of the SCS-CN method (with parameter ε) is 1.
208 However, for the VIC type of model, the upper boundary is $(1 - \psi)^{\frac{\beta}{\beta+1}}$ instead of 1. This is due
209 to the effect of initial storage in the VIC type of model. When initial storage is zero (i.e., $\psi = 0$),
210 the wetting ratio $\frac{W}{P}$ for the VIC type of model has the same upper boundary condition as the
211 SCS-CN method.

212 5. Unification of SCS-CN method and VIC type of model

213 Based on the comparison between the SCS-CN method and VIC type of model, a new
214 distribution function is proposed in this section for describing the spatial distribution of soil
215 water storage capacity, which unifies the SCS-CN method and VIC type of model. As discussed
216 in section 4, the upper boundary condition of the SCS-CN model (i.e., $\frac{W}{P} \rightarrow 1$ as $\Phi_{sc} \rightarrow \infty$) does
217 not depend on the initial storage. This upper boundary condition needs to be modified by



218 including the effect of initial storage so that the limit of $\frac{W}{P}$ as $\Phi_{sc} \rightarrow \infty$ is dependent on the
219 degree of initial saturation like the VIC type of model. However, the lower boundary condition
220 of the VIC model needs to be modified so that the lower boundary condition follows that $\frac{W}{P} \rightarrow 0$
221 as $\Phi_{sc} \rightarrow 0$ like the SCS-CN method. Through these modifications, the SCS-CN method and the
222 VIC type of saturation excess runoff model can be unified from the functional perspective of soil
223 wetting ratio.

224 Based on the comparison one may have the following questions: 1) Can the SCS-CN
225 method be derived from the VIC type of model by setting initial storage to zero? 2) If yes, what
226 is the distribution function for soil water storage capacity? Once we answer these questions, a
227 modified SCS-CN method considering initial storage explicitly can be derived as a saturation
228 excess runoff model based on a distribution function of water storage capacity, and it unifies the
229 SCS-CN method and VIC type of model. In this section, a new distribution function is proposed
230 for describing the spatial variability of soil water storage capacity, from which the SCS-CN
231 method is derived as a VIC type of model.

232 **5.1. A new distribution function**

233 The probability density function (PDF) of the new distribution for describing the spatial
234 distribution of water storage capacity is represented by:

$$235 \quad f(C) = \frac{(2-a)\mu^2}{[(C+\mu)^2 - 2a\mu C]^{3/2}} \quad (24)$$

236 where C is point-scale water storage capacity and supported on a positive semi-infinite interval
237 ($C \geq 0$); a is the shape parameter and its range is $0 < a < 2$; and μ is the mean of the
238 distribution (i.e., the scale parameter). Figure 3a plots the PDFs for five sets of shape and scale
239 parameters. When $a \leq 1$, the PDF monotonically decreases with the increase of C , i.e., the peak
240 of PDF occurs at $C = 0$; while when $a > 1$, the peak of PDF occurs at $C > 0$ and the location of



241 the peak depends on the values of a and μ . For comparison, Figure 3b plots the PDF for VIC
242 model:

$$243 \quad f(C) = \frac{\beta}{C_m} \left(1 - \frac{C}{C_m}\right)^{\beta-1} \quad (25)$$

244 As shown by the solid black curve in Figure 3b, when $0 < \beta < 1$, $f(C)$ approaches infinity as
245 $C \rightarrow C_m$. It is a uniform distribution when $\beta = 1$. The peak of PDF occurs at $C = 0$ when $\beta >$
246 1. Therefore, the peak of PDF for VIC model occurs at $C = 0$ or C_m .

247 The cumulative distribution function (CDF) corresponding to the proposed PDF is
248 obtained by integrating equation (24):

$$249 \quad F(C) = 1 - \frac{1}{a} + \frac{C+(1-a)\mu}{a\sqrt{(C+\mu)^2-2a\mu C}} \quad (26)$$

250 Figure 4a plots the CDFs corresponding to the PDFs in Figure 3a. For comparison, Figure 4b
251 plots the CDFs corresponding to the PDFs in Figure 3b. The storage capacity distribution curve
252 for the proposed distribution is concave up for $a \leq 1$ and S -shape for $a > 1$ (Figure 4a); while
253 the storage capacity distribution curve for VIC model is concave up for $\beta > 1$ and concave down
254 for $0 < \beta < 1$ (Figure 4b). Therefore, the proposed distribution can fit the S -shape of
255 cumulative distribution for storage capacity which is observed from soil data [Huang *et al.*, 2003],
256 but the power distribution of VIC type of model is not able to fit the S -shape of CDF.

257 **5.2. Deriving SCS-CN method from the proposed distribution function**

258 The soil wetting and surface runoff can be computed when equation (26) is used to describe the
259 spatial distribution of soil water storage capacity in a catchment. The average value of storage
260 capacity over the catchment is the mean of the distribution:

$$261 \quad \mu = S_b \quad (27)$$



262 For a given C , the catchment-scale storage S can be computed by $S = \int_0^C [1 - F(x)] dx$ [Moore,
 263 1985]. From equation (26), we obtain:

$$264 \quad S = \frac{C + S_b - \sqrt{(C + S_b)^2 - 2aS_bC}}{a} \quad (28)$$

265 For a rainfall-runoff event, the average initial storage at the catchment scale is denoted as S_0 and
 266 the corresponding value of C is denoted as C_0 . Substituting S_0 and C_0 into equation (28), we
 267 obtain:

$$268 \quad S_0 = \frac{C_0 + S_b - \sqrt{(C_0 + S_b)^2 - 2aS_bC_0}}{a} \quad (29)$$

269 Dividing S_b in both-hand sides of equation (29), we obtain:

$$270 \quad m = \frac{\psi(2 - a\psi)}{2(1 - \psi)} \quad (30)$$

271 where $\psi = \frac{S_0}{S_b}$ is defined in equation (16), and m is defined as:

$$272 \quad m = \frac{C_0}{S_b} \quad (31)$$

273 The average storage at the catchment scale after infiltration is computed by substituting
 274 $C = C_0 + P$ into equation (28):

$$275 \quad S_1 = \frac{C_0 + P + S_b - \sqrt{(C_0 + P + S_b)^2 - 2aS_b(C_0 + P)}}{a} \quad (32)$$

276 The soil wetting is computed as the difference between S_1 and S_0 :

$$277 \quad W = \frac{P + \sqrt{(C_0 + S_b)^2 - 2aS_bC_0} - \sqrt{(C_0 + P + S_b)^2 - 2aS_b(C_0 + P)}}{a} \quad (33)$$

278 Dividing P on the both-hand sides of equation (33) and substituting equation (31), we obtain:

$$279 \quad \frac{W}{P} = \frac{1 + \frac{S_b}{P} \sqrt{(m+1)^2 - 2am} - \sqrt{\left(1 + (m+1)\frac{S_b}{P}\right)^2 - 2am\left(\frac{S_b}{P}\right)^2 - 2a\frac{S_b}{P}}}{a} \quad (34)$$

280 Substituting equation (17) into equation (34), we obtain:



$$\frac{W}{P} = \frac{1 + \frac{\sqrt{(m+1)^2 - 2am}}{1-\psi} \Phi_{sc} - \sqrt{\left(1 + \frac{m+1}{1-\psi} \Phi_{sc}\right)^2 - 2am \left(\frac{\Phi_{sc}}{1-\psi}\right)^2} - \frac{2a}{1-\psi} \Phi_{sc}}{a} \quad (35)$$

Figure 5 plots equation (35) for $\psi = 0, 0.4, \text{ and } 0.6$ when $a = 0.6$ and 1.8 . As we can see, $\frac{W}{P}$ increases with a for given values of ψ and Φ_{sc} ; and $\frac{W}{P}$ decreases with ψ for given values of a and Φ_{sc} , which is consistent with the VIC model and implicates that soil wetting ratio decreases with the degree of initial saturation under a storage index. As shown in Figure 5, equation (35) satisfies the lower boundary of SCS-CN method and the upper boundary of the VIC model. Specifically, equation (35) satisfies the following boundary conditions (see Appendix C for details) shown in Table 1:

$$\lim_{\Phi_{sc} \rightarrow 0} \frac{W}{P} = 0 \quad (36-1)$$

$$\lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = \frac{\sqrt{(m+1)^2 - 2am} + a - m - 1}{a\sqrt{(m+1)^2 - 2am}} \quad (36-2)$$

When the effect of initial storage is negligible (i.e., $\psi = 0$), $\frac{S_b}{P} = \Phi_{sc}$ from equation (17) and $m = 0$ from equation (30). Then, equation (35) becomes:

$$\frac{W}{P} = \frac{1 + \frac{S_b}{P} - \sqrt{\left(1 + \frac{S_b}{P}\right)^2 - 2a\frac{S_b}{P}}}{a} \quad (37)$$

Equation (37) is same as equation (12) with $a = 2\varepsilon(2 - \varepsilon)$. We can obtain the following equation from equation (37) (see Appendix D for detailed derivation):

$$\frac{Q}{P - \varepsilon W} = \frac{W - \varepsilon W}{S_b - \varepsilon W} \quad (38)$$

where εW is defined as initial abstraction (W_i) in the SCS-CN method. Since $S_b = S_p$ when $\psi = 0$, equation (38) is same as equation (2), i.e., the proportionality relationship of SCS-CN method.



300 Equation (35) is derived from the VIC type model by using equation (26) to describe the
301 spatial distribution of soil water storage capacity. From this perspective, equation (35) is a
302 saturation excess runoff model. Since equation (35) becomes the SCS-CN method when initial
303 storage is negligible, equation (35) is the modified SCS-CN method which considers the effect of
304 initial storage on runoff generation explicitly. Therefore, the new distribution function
305 represented by equation (26) unifies the SCS-CN method and VIC type of model.

306 *Bartlett et al.* [2016a] developed an event-based probabilistic storage framework
307 including a spatial description of “prethreshold” and “threshold-excess” runoff; and the
308 framework has been utilized for unifying TOPMODEL, VIC and SCS-CN [*Bartlett et al.*, 2016b].
309 The extended SCS-CN method (SCS-CN_x) from the probabilistic storage framework is derived
310 given the following assumptions: 1) the spatial distribution of rainfall is exponential; 2) the
311 spatial distribution of soil moisture deficit is uniform; and 3) the spatial distribution of storage
312 capacity is exponential. When “prethreshold” runoff is zero (i.e., there is only threshold-excess
313 or saturation excess runoff), the SCS-CN_x method leads to the SCS-CN method without the
314 initial abstraction term (i.e., there is no εW term in equation (38)). In this paper, the new
315 probability distribution function is used for storage capacity in the VIC model in which the
316 spatial distribution of precipitation is assumed to be uniform. The obtained equation for
317 saturation excess runoff leads to the exact SCS-CN method as shown in equation (38).

318 **5.3. Surface runoff of unified SCS-CN and VIC model**

319 From the unified SCS-CN and VIC model (i.e., equation (34)), surface runoff (Q) can be
320 computed as:

$$321 \quad Q = \frac{(a-1)P - S_b \sqrt{(m+1)^2 - 2am} + \sqrt{[P + (m+1)S_b]^2 - 2amS_b^2 - 2aS_bP}}{a} \quad (39)$$



322 The parameter m is computed by equation (30) as a function of ψ and a . Equation (39)
323 represents surface runoff as a function of precipitation (P), average soil water storage capacity
324 (S_b), shape parameter of storage capacity distribution (a), and initial soil moisture (ψ). Figure 6
325 plots equation (39) under different values of P , S_b , a , and ψ . Figure 6a shows the effects of S_b
326 and ψ on rainfall-runoff relationship with given shape parameter of $a=1.9$. The solid lines show
327 the rainfall-runoff relations with zero initial storage ($\psi=0$); and the dashed lines show the
328 rainfall-runoff relations with $\psi=0.2$. Given the same amount of precipitation and storage
329 capacity, wetter soil ($\psi=0.2$) generates more surface runoff than drier soil ($\psi=0$); and the
330 difference of runoff is higher for watersheds with larger average storage capacity. Figure 6b
331 shows the effects of S_b and a on rainfall-runoff relationship with given initial soil moisture
332 ($\psi=0.2$). The solid lines show the rainfall-runoff relations for $a=1.9$; and the dashed lines show
333 the rainfall-runoff relations for $a=1.2$. As we can see, the shape parameter affects the runoff
334 generation significantly for watersheds with larger average storage capacity.

335 In the SCS-CN method, surface runoff is computed as $Q = \frac{(P-0.2S_b)^2}{P+0.8S_b}$. The effect of
336 initial soil moisture on runoff is considered implicitly by varying the curve number for normal,
337 dry and wet conditions depending on the antecedent moisture condition. In the unified SCS-CN
338 model shown in equation (39), the effect of initial soil moisture is explicitly included through ψ ,
339 which is the ratio between average initial water storage and average storage capacity. In the
340 SCS-CN method, the value of initial abstraction W_i is parameterized as a function of average
341 storage capacity, i.e., $W_i = 0.2S_b$. In the unified SCS-CN model shown in equation (39), W_i is
342 dependent on the shape parameter a . Therefore, the unified SCS-CN model extends the original
343 SCS-CN method for including the effect of initial soil moisture explicitly and estimating the
344 parameter for initial abstraction.



345 6. Conclusions

346 In this paper, the SCS-CN method and the saturation excess runoff models based on distribution
347 functions (e.g., VIC model) are presented in terms of soil wetting (i.e., infiltration). Like the
348 Budyko framework, the relationship between soil wetting ratio and soil storage index is obtained
349 for the SCS-CN method and the VIC type of model. It is found that the boundary conditions for
350 the obtained functions do not fully match. For the SCS-CN method, soil wetting ratio
351 approaches 1 when soil storage index approaches infinity, and this is due to the limitation of the
352 SCS-CN method, i.e. the initial soil moisture condition is not explicitly represented in the
353 proportionality relationship. However, for the VIC type of model, soil wetting ratio equals soil
354 storage index when soil storage index is lower than a certain value, and this is due to the finite
355 bound of the distribution function of storage capacity.

356 In this paper, a new distribution function, which is supported by $x \in [0, \infty)$ instead of a
357 finite upper bound, is proposed for describing the spatial distribution of soil water storage
358 capacity. From this new distribution function, an equation is derived for the relationship
359 between soil wetting ratio and storage index, and this equation satisfies the following boundary
360 conditions: when storage index approaches zero, soil wetting ratio approaches zero; when
361 storage index approaches infinity, soil wetting ratio approaches a certain value (≤ 1) depending
362 on the initial storage. Meanwhile, the model becomes the exact SCS-CN method when initial
363 storage is negligible. Therefore, the new distribution function for soil water storage capacity
364 explains the SCS-CN method as a saturation excess runoff model, and unifies the SCS-CN
365 method and the VIC type of model for surface runoff modeling.

366 Future potential work could test the performance of the proposed new distribution
367 function for quantifying the spatial distribution of storage capacity by analyzing the spatially



368 distributed soil data. On one hand, the distribution functions of probability distributed model
 369 [Moore, 1985], VIC model, and Xinanjiang model could be replaced by the new distribution
 370 function and the model performance would be further evaluated. On the other hand, the
 371 extended SCS-CN method (i.e., equation (35)), which includes initial storage explicitly, could be
 372 used for surface runoff modeling in SWAT model, and the model performance would be
 373 evaluated.

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 377 sabbatical leave. This paper is theoretical and does not contain any supplementary data.

378

379 **Appendix A**

380 The following equation is obtained by dividing P on both sides of equation (21):

$$381 \quad \frac{W}{P} = \frac{S_b - S_0}{P} - \frac{S_b}{P} \left(1 - \frac{P + C_0}{C_m} \right)^{\beta + 1} \quad (\text{A1})$$

382 Substituting $\frac{C_0}{C_m} = 1 - \left(1 - \frac{S_0}{S_b} \right)^{\frac{1}{\beta + 1}}$ into equation (A1), we obtain:

$$383 \quad \frac{W}{P} = \frac{S_b - S_0}{P} - \frac{S_b}{P} \left(1 - \frac{P}{C_m} - \left[1 - \left(1 - \frac{S_0}{S_b} \right)^{\frac{1}{\beta + 1}} \right] \right)^{\beta + 1} \quad (\text{A2})$$

384 Substituting equation (14) into equation (A2),

$$385 \quad \frac{W}{P} = \frac{S_b - S_0}{P} - \left(\left(\frac{S_b - S_0}{P} \right)^{\frac{1}{\beta + 1}} - \frac{\left(\frac{S_b}{P} \right)^{\frac{\beta}{\beta + 1}}}{\beta + 1} \right)^{\beta + 1} \quad (\text{A3})$$

386 Substituting equations (5) and (17) into (A3), we obtain:



$$387 \quad \frac{W}{P} = \Phi_{sc} - \left(\Phi_{sc}^{\frac{1}{\beta+1}} - \frac{(\frac{\Phi_{sc}}{1-\psi})^{-\frac{\beta}{\beta+1}}}{\beta+1} \right)^{\beta+1} \quad (A4)$$

388 which leads to:

$$389 \quad \frac{W}{P} = \Phi_{sc} \left[1 - (1 - b\Phi_{sc}^{-1})^{\beta+1} \right] \quad (A5)$$

390 where b is defined in equation (18).

391

392 Appendix B

$$393 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = \lim_{\Phi_{sc} \rightarrow \infty} \Phi_{sc} \left[1 - (1 - b\Phi_{sc}^{-1})^{\beta+1} \right] \quad (B1)$$

394 The right hand side of equation (B1) is re-written as:

$$395 \quad \lim_{\Phi_{sc} \rightarrow \infty} \Phi_{sc} \left[1 - (1 - b\Phi_{sc}^{-1})^{\beta+1} \right] = \lim_{\Phi_{sc} \rightarrow \infty} \frac{1 - (1 - b\Phi_{sc}^{-1})^{\beta+1}}{\Phi_{sc}^{-1}} \quad (B2)$$

396 Since $\lim_{\Phi_{sc} \rightarrow \infty} 1 - (1 - b\Phi_{sc}^{-1})^{\beta+1} = 0$ and $\lim_{\Phi_{sc} \rightarrow \infty} \Phi_{sc}^{-1} = 0$, we apply the L'Hospital's Rule,

$$397 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{[1 - (1 - b\Phi_{sc}^{-1})^{\beta+1}]'}{(\Phi_{sc}^{-1})'} = \lim_{\Phi_{sc} \rightarrow \infty} b(\beta + 1)(1 - b\Phi_{sc}^{-1})^{\beta} \quad (B3)$$

398 Since $\lim_{\Phi_{sc} \rightarrow \infty} (1 - b\Phi_{sc}^{-1})^{\beta} = 1$, the limit for $\frac{W}{P}$ is obtained:

$$399 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = b(\beta + 1) \quad (B4)$$

400 Substituting equation (18) into (B4), we obtain:

$$401 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = (1 - \psi)^{\frac{\beta}{\beta+1}} \quad (B5)$$

402

403 Appendix C



$$404 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = \lim_{\Phi_{sc} \rightarrow \infty} \frac{1 + \frac{\sqrt{(m+1)^2 - 2am}}{1-\psi} \Phi_{sc} - \sqrt{\left(1 + \frac{m+1}{1-\psi} \Phi_{sc}\right)^2 - 2am \left(\frac{\Phi_{sc}}{1-\psi}\right)^2 - \frac{2a}{1-\psi} \Phi_{sc}}}{a} \quad (C1)$$

405 Multiplying $1 + \frac{\sqrt{(m+1)^2 - 2am}}{1-\psi} \Phi_{sc} + \sqrt{\left(1 + \frac{m+1}{1-\psi} \Phi_{sc}\right)^2 - 2am \left(\frac{\Phi_{sc}}{1-\psi}\right)^2 - \frac{2a}{1-\psi} \Phi_{sc}}$ to the
 406 denominator and numerator of the right hand side, equation (C1) leads to:

$$407 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = \frac{1}{a} \lim_{\Phi_{sc} \rightarrow \infty} \frac{\frac{2\sqrt{(m+1)^2 - 2am}}{1-\psi} \Phi_{sc} - \frac{2(m+1)}{1-\psi} \Phi_{sc} + \frac{2a}{1-\psi} \Phi_{sc}}{1 + \frac{\sqrt{(m+1)^2 - 2am}}{1-\psi} \Phi_{sc} + \sqrt{\left(1 + \frac{m+1}{1-\psi} \Phi_{sc}\right)^2 - 2am \left(\frac{\Phi_{sc}}{1-\psi}\right)^2 - \frac{2a}{1-\psi} \Phi_{sc}}} \quad (C2)$$

408 Dividing Φ_{sc} in the denominator and numerator, we obtain:

$$409 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = \frac{1}{a(1-\psi)} \lim_{\Phi_{sc} \rightarrow \infty} \frac{2\sqrt{(m+1)^2 - 2am} - 2(m+1) + 2a}{\frac{1}{\Phi_{sc}} + \frac{\sqrt{(m+1)^2 - 2am}}{1-\psi} + \sqrt{\left(\frac{1}{\Phi_{sc}} + \frac{m+1}{1-\psi}\right)^2 - 2am \left(\frac{1}{1-\psi}\right)^2 - \frac{2a}{(1-\psi)\Phi_{sc}}} \quad (C3)$$

410 Therefore, the limit of $\frac{W}{P}$ as $\Phi_{sc} \rightarrow \infty$ is:

$$411 \quad \lim_{\Phi_{sc} \rightarrow \infty} \frac{W}{P} = \frac{\sqrt{(m+1)^2 - 2am} + a - m - 1}{a\sqrt{(m+1)^2 - 2am}} \quad (C4)$$

412

413 Appendix D

414 Substituting $a = 2\varepsilon(2 - \varepsilon)$ into equation (37), one can obtain:

$$415 \quad \frac{W}{P} = \frac{1 + \frac{S_b}{P} - \sqrt{\left(1 + \frac{S_b}{P}\right)^2 - 4\varepsilon(2-\varepsilon)\frac{S_b}{P}}}{2\varepsilon(2-\varepsilon)} \quad (D1)$$

416 Equation (D1) is the solution of the following quadratic function:

$$417 \quad \varepsilon(2 - \varepsilon) \left(\frac{W}{P}\right)^2 - \left(1 + \frac{S_b}{P}\right) \frac{W}{P} + \frac{S_b}{P} = 0 \quad (D2)$$

418 Multiplying P^2 at the both-hand sides of equation (D2), equation (D2) becomes:

$$419 \quad \varepsilon(2 - \varepsilon)W^2 - (P + S_b)W + S_bP = 0 \quad (D3)$$

420 Equation (D3) can be written as the following one:

$$421 \quad \frac{P-W}{P-\varepsilon W} = \frac{W-\varepsilon W}{S_b-\varepsilon W} \quad (D4)$$



422 Substituting $Q = P - W$ into equation (D4), we obtain the proportionality relationship of SCS-
423 CN method:

$$424 \quad \frac{Q}{P - \varepsilon W} = \frac{W - \varepsilon W}{S_b - \varepsilon W} \quad (D5)$$

425

426

427

428

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- 493



494 **Figure captions:**

495 Figure 1: Wetting ratio $\left(\frac{W}{P}\right)$ versus soil storage index $\left(\frac{S_p}{P}\right)$ from the SCS-CN method based on
496 two parameterization schemes: $\lambda = \frac{W_i}{S_p - W_i}$ (scheme 1) and $\varepsilon = \frac{W_i}{W}$ (scheme 2).

497 Figure 2: The impact of β and the degree of initial storage ($\psi = S_0/S_b$) on soil wetting ratio
498 (W/P) .

499 Figure 3: The probability density functions (PDF) with different parameter values: (a) the
500 proposed PDF represented by equation (24); and (b) the power distribution of VIC model, i.e.,
501 equation (25).

502 Figure 4: The cumulative distribution functions (CDF) with different parameter values: (a) the
503 proposed distribution function represented by equation (26); and (b) the power distribution of
504 VIC model represented by equation (13).

505 Figure 5: The effects of the degree of initial storage ($\psi=0, 0.4, \text{ and } 0.6$) and shape parameter
506 ($\alpha=0.6 \text{ and } 1.8$) on soil wetting in the modified SCS-CN method derived from the proposed
507 distribution function for soil water storage capacity.

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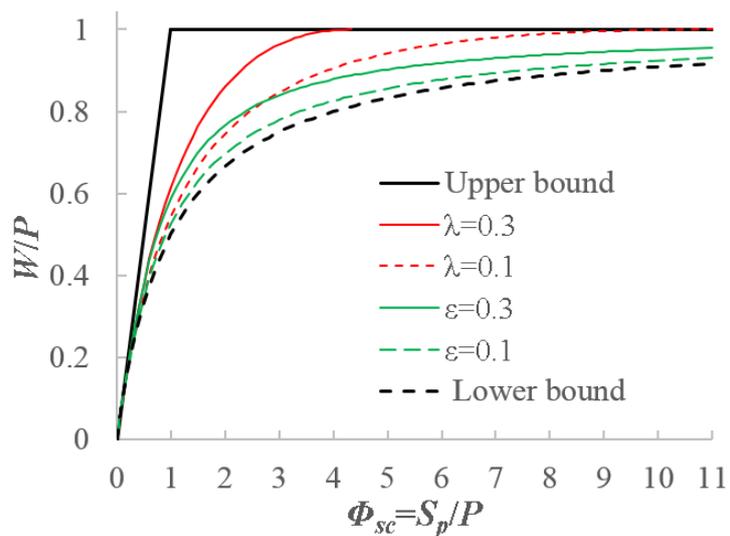


509 Table 1: The boundary conditions of the functions for relating wetting ratio $\left(\frac{W}{P}\right)$ to soil storage
 510 index (Φ_{sc}): 1) the SCS-CN method; 2) the VIC type of model; and 3) the modified SCS-CN
 511 method based on the proposed new distribution for VIC type of model.

Event Scale Model	Lower Boundary Condition	Upper Boundary Condition
SCS-CN, parameterization of initial wetting, $\varepsilon = \frac{W_i}{W}$	$\frac{W}{P} \rightarrow 0$ as $\Phi_{sc} \rightarrow 0$	$\frac{W}{P} \rightarrow 1$ as $\Phi_{sc} \rightarrow \infty$
Power function for storage capacity distribution (VIC type of model)	$\frac{W}{P} = \Phi_{sc}$ when $\Phi_{sc} \leq a$	$\frac{W}{P} \rightarrow (1 - \psi)^{\frac{\beta}{\beta+1}}$ as $\Phi_{sc} \rightarrow \infty$
Modified SCS-CN method based on the proposed distribution for storage capacity	$\frac{W}{P} \rightarrow 0$ as $\Phi_{sc} \rightarrow 0$	$\frac{W}{P} \rightarrow \frac{\sqrt{(m+1)^2 - 2am} + a - m - 1}{a\sqrt{(m+1)^2 - 2am}}$ as $\Phi_{sc} \rightarrow \infty$

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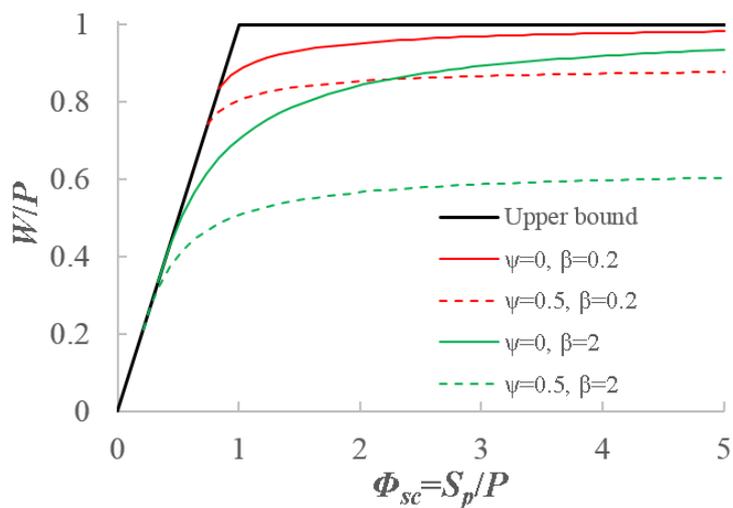


514

515 Figure 1: Wetting ratio $\left(\frac{W}{P}\right)$ versus soil storage index $\left(\frac{S_p}{P}\right)$ from the SCS-CN method based on
516 two parameterization schemes: $\lambda = \frac{W_i}{S_p - W_i}$ (scheme 1) and $\varepsilon = \frac{W_i}{W}$ (scheme 2).

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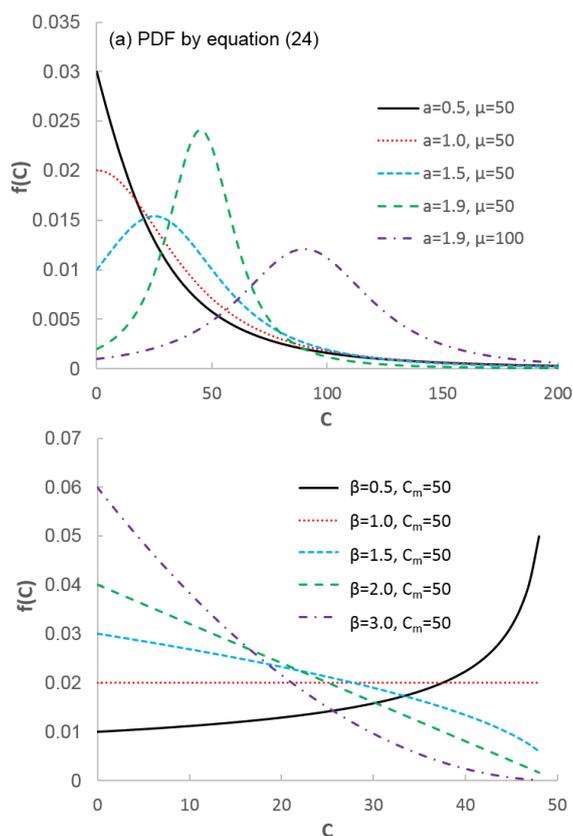


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520 Figure 2: The impact of β and the degree of initial storage ($\psi = S_0/S_b$) on soil wetting ratio
521 (W/P).

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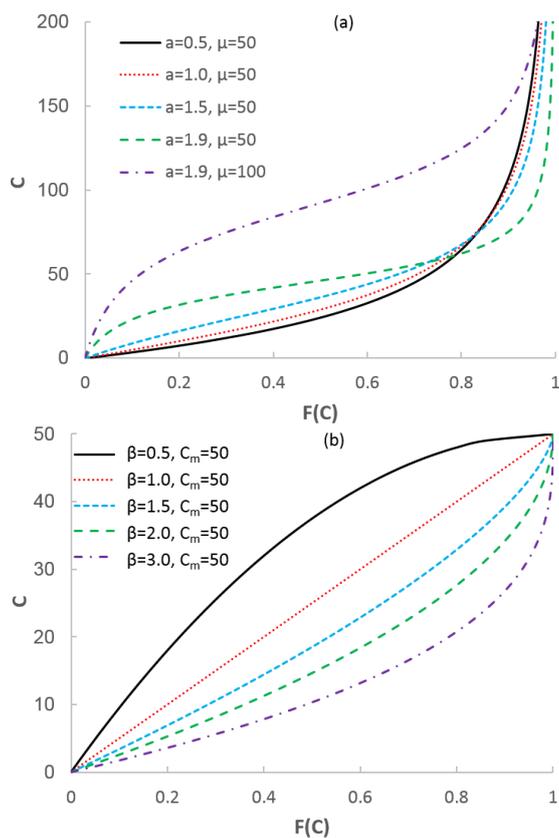
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526 Figure 3: The probability density functions (PDF) with different parameter values: (a) the
527 proposed PDF represented by equation (24); and (b) the power distribution of VIC model, i.e.,
528 equation (25).

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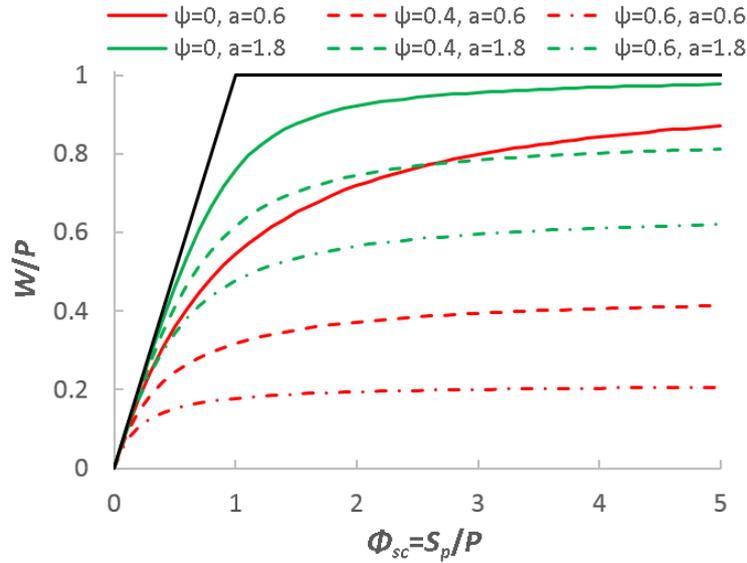
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534 proposed distribution function represented by equation (26); and (b) the power distribution of
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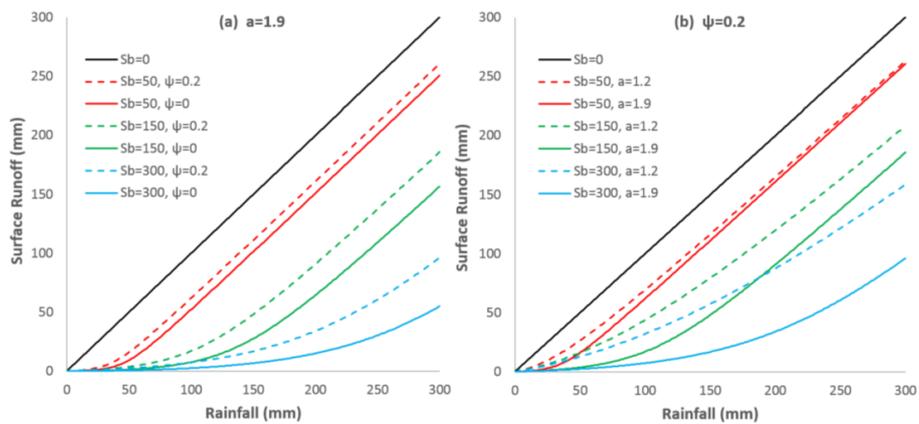
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538 Figure 5: The effects of the degree of initial storage ($\psi=0, 0.4,$ and 0.6) and shape parameter
 539 ($a=0.6$ and 1.8) on soil wetting in the modified SCS-CN method derived from the proposed
 540 distribution function for soil water storage capacity.

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542

543



544

545 Figure 6: (a) The effects of average storage capacity and initial storage on rainfall-runoff relation;
 546 and (b) The effects of average storage capacity and shape parameter on rainfall-runoff relation.