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# Correlation and causation in tree-ring based reconstruction of paleohydrology in cold semi-arid regions

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## Abstract

This paper discusses ways in which the tree-ring based reconstruction of paleohydrology can be better understood and better utilized to support water resource management, especially in cold semi-arid regions. The relationships between tree growth, as represented by tree-ring chronologies (*TRCs*), runoff (*Q*), precipitation (*P*), and evapotranspiration (*ET*) are discussed and analyzed within both statistical and hydrological contexts. Data from the Oldman River Basin (OMRB), Alberta, Canada, are used to demonstrate the relevant issues.. Instrumental records of *Q* and *P* data were available while actual *ET* was estimated using a lumped conceptual hydrological model developed in this study. Correlation analysis was conducted to explore the relationships between *TRCs* and each of *Q*, *P*, and *ET* over the entire historical record (globally) as well as locally in time within the wet and dry subperiods. Global and local correlation strengths and linear relationships appear to be substantially different. This outcome particularly affects tree-ring based inferences about the hydrology of wet and dry episodes when reconstructions are made using regression models. Important findings include: (i) reconstruction of paleo*Q* may not be as credible as paleo*P* and paleo*ET*; (ii) a moving average window of *P* and *ET* larger than one year might be necessary for reconstruction of these variables; and (iii) the long term mean of reconstructed *P*, *Q*, and *ET* leads us to conclude that there is uncertainty about the past climate. And finally, we suggest using the topographic index to pre-judge site suitability for dendrohydrological analysis.

**Keywords:** dendrohydrology; moving average; semi-arid regions; reconstructing evapotranspiration; reconstructing precipitation.

26

## 27 **1. Introduction**

28 Hydrology, as a natural science, has flourished and made significant advancements based on  
29 observations and empirical evidence derived from the relatively short instrumental record  
30 available. Hydrological processes exhibit different behaviors at different spatial and temporal  
31 scales, hence providing differences in information for scientific study (e.g. Sawicz et al., 2011;  
32 Singh et al., 2015). Such behavior, as expected, is yet to be fully understood given the high  
33 complexity and heterogeneity of hydrological systems, which has been a consistent challenge for  
34 hydrological modeling and prediction, as well as for water resources planning and management  
35 (McDonnell et al., 2007; Wagener et al., 2010). As a pragmatic solution, hydrologists rely on  
36 data for conceptualizing the functionality of hydrological systems, developing theory, and  
37 building both mechanistic and data driven models. However, records of hydrometeorological  
38 observations and measurements are usually too short to contain sufficient hydrological  
39 variability for long-term water management. In some parts of the globe the instrumental period  
40 extends to about a century, but in other regions it is considerably shorter. These short records not  
41 only limit the extractable knowledge but also affect our perception and definition of important  
42 hydrological principles, such as stationarity, change, and return periods of low frequency events  
43 (Hirsch, 2011; Kundzewicz, 2011; Salas et al., 2012; Sawicz et al., 2014; Razavi et al., 2015;  
44 Alam and Elshorbagy, 2015).

45 One of the solutions to the problem of limited hydrological records is extending such records  
46 using proxy data. Records extended in this manner can span over long periods, including  
47 episodes of wet and dry conditions of various lengths, thus providing water resources planners  
48 and managers with a means to develop more robust water policies. Such paleohydrological data

49 series provide the potential for a valuable expansion of hydrological knowledge. Tree-rings  
50 (dendrohydrology) can be considered superior proxies of paleohydrology, compared to other  
51 natural proxy records, because of their ability to represent hydro-climatic behavior at a relatively  
52 fine temporal resolution – yearly and perhaps even sub-yearly (Crawford et al., 2015). Tree-ring  
53 proxy data are available in many regions in the world, including Britain (Jones et al., 1984),  
54 Chile (Urrutia et al., 2011), Canada (Boucher et al., 2011; Sauchyn et al., 2011), China (Gou et  
55 al., 2007), Morocco (Till and Guiot, 1990), and the United States (e.g., Cleaveland and Duvick,  
56 1992; Gray and McCabe, 2010; Maxwell et al., 2011; Woodhouse and Lukas, 2006). Tree-ring  
57 data have been used to reconstruct the time series of various variables, including precipitation  
58 (Blasing et al., 1988; O'Donnell et al., 2015), temperature (Briffa et al., 1992; Fritts and Lough,  
59 1985; Dorado Liñán et al., 2015), runoff (Meko et al., 2012; Axelson et al., 2009; Cleaveland  
60 and Stahle, 1989; Razavi et al., 2016), and drought index (Cook et al., 2004; Cleaveland and  
61 Duvick, 1992; Blasing et al., 1988; Tei et al., 2015).

62 Considerable success in reconstructing paleohydrology has been achieved; however, several  
63 unaddressed challenges, unresolved issues, and unexplored opportunities remain (Cook and  
64 Pederson, 2010); which limits their use by water resource managers. Investigating and  
65 understanding such challenges and opportunities, centered around the dynamics of tree growth  
66 and water uptake, and its relationship with other hydrological processes, is of fundamental  
67 importance for water resources planners and managers. The aim of this paper is to highlight  
68 some of the issues pertinent to the use of dendrohydrology for water resources planning and  
69 management purposes, particularly in semi-arid regions, and demonstrate them through a  
70 Canadian case study. In particular, differentiating between statistical correlation and physical and  
71 hydrological causation is the overarching objective. The next section of this paper provides a

72 brief description of dendrohydrology and the main controls on tree growth, followed by  
73 discussions of some of the challenges of dendrohydrological reconstructions and their conceptual  
74 reliability. A description of the data and case study used in this paper for demonstrative purposes  
75 is given in Section 4. The methods and analysis approach is then explained in Section 5,  
76 followed by results and findings in Section 6. The paper ends with a brief section of conclusions.

77

## 78 **2. A brief review of dendrohydrology**

79 Thorough dendrohydrological investigations require understanding of both interactions between  
80 tree stands and surrounding hydroclimatic conditions, as well as ecological conditions, which  
81 include diseases and insect pests, soil fertility and erosion, plant competition, wildfire, and  
82 various sources of environmental pollution. These ecological conditions, affect the biological  
83 response of trees to climate and water availability (Loaiciga et al., 1993). However, they have  
84 received less attention due to the large uncertainty in quantifying their effects, owing to lack of  
85 data and the variability of response among individual trees. In the literature, the role of  
86 hydroclimatic conditions has been discerned from that of the ecological conditions by  
87 investigating tree populations and spatially-aggregated tree-ring chronologies rather than  
88 chronologies of individual trees (e.g., Breitenmoser et al., 2014; Ogle et al., 2015).

89 The major hydroclimatic controls (or limitations) on monthly tree growth, imprinted in tree-ring  
90 widths, are moisture, temperature, and solar radiation (Breitenmoser et al., 2014). For example, if  
91 temperature and radiation are not limiting, such as the case in low mid latitudes (e.g.,  
92 southwestern USA), tree growth might be a function of moisture availability (Woodhouse et al.,  
93 2016). Therefore, (monthly) growth is assumed to be the minimum of the growth responses to  
94 temperature ( $g_T$ ) and moisture ( $g_M$ ), modulated by the response to insolation ( $g_E$ ) (Breitenmoser

95 et al., 2014). Annual ring width ( $G$ ) is then defined as the sum of the monthly growth increments.  
96 The value of  $g_E$  depends on the mean monthly daytime length relative to that in the summer  
97 solstice month, which depends on the latitude of the site under consideration (Breitenmoser et  
98 al., 2014). The growth response values ( $g_M$  and  $g_T$ ) can be scaled between zero and one to  
99 correspond to onset values of moisture and temperature ( $M_1$  and  $T_1$ ) and upper threshold values  
100 of  $M_2$  and  $T_2$ , respectively. Tree growth is inhibited at values lower than  $M_1$  and  $T_1$ , and  
101 insensitive to values higher than  $M_2$  and  $T_2$  (Figure 1). In a global dendrohydrological study  
102 (Breitenmoser et al., 2014), the values of  $T_1$  ( $^{\circ}\text{C}$ ),  $T_2$  ( $^{\circ}\text{C}$ ),  $M_1$  (v/v), and  $M_2$  (v/v) were found to  
103 be within the ranges of (1.74 – 8.41), (10.14 – 22.80), (0.019 – 0.025), and (0.11 – 0.64),  
104 respectively, where v/v refers to volume of soil moisture per unit volume of soil.

105 From a hydroclimatic point of view, moisture is the limiting factor; i.e.,  $g_M < g_T$ , to tree growth  
106 in warm arid and semi-arid regions, such as the southwestern area of the United States. Such  
107 sites can be considered moisture-limiting sites. In cold regions such as the Canadian prairies and  
108 Rocky Mountains, temperature can be the limiting factor on the *annual* basis, causing a short  
109 temperature-permitting growing season (May – September). However, during the growing  
110 season, moisture becomes the limiting factor in the Canadian prairies and lower elevations of the  
111 Rocky Mountains. The insolation factor ( $g_E$ ) plays a more important role at latitudes far away  
112 from the Equator in northern and southern hemispheres. In light of such understanding of the  
113 limiting factors for tree growth in a region, it is indeed sensible to focus reconstruction attempts  
114 on the limiting hydroclimatic variables (Breitenmoser et al., 2014).

115 A wealth of dendrohydrology studies, starting from the late 1960s (Fritts et al., 1971) and  
116 continuing to date (Gangopadhyay et al., 2015; Razavi et al., 2016), investigate long-term  
117 hydrological phenomena. Reconstruction of hydrological variables like runoff or precipitation is

118 sought based on finding significant correlations between the variable and the tree-ring  
119 chronology, which is then used to develop data driven, mainly regression models (Loaiciga et al.,  
120 1993). However, maximizing correlation statistically, without much physical underpinning of the  
121 choices made, is not uncommon. Choices include (i) identifying the start and end of the water  
122 year that best correlates with the chronologies under consideration – July of the previous year to  
123 June of the current year (e.g., Gray and McCabe, 2010); August to July (e.g., Cleaveland and  
124 Duvick, 1992); or October to September (e.g., Till and Guiot, 1990); (ii) correlating chronologies  
125 with only particular month(s) of the year (e.g., Lutz et al., 2012); (iii) conducting principal  
126 component analysis and canonical correlation analysis (Fritts et al., 1971) to remove  
127 multicollinearity of inputs (chronology sites) and output (e.g., precipitation gauges) and to  
128 strengthen model predictive power (Axelson et al., 2009); and (iv) removing autocorrelation of  
129 tree-ring series (Starheim et al., 2013; Wise, 2010) and even the hydrological time series (Meko  
130 et al., 2011; Cleaveland and Stahle, 1989). Investigating the hydrological relationships that  
131 position dendrohydrology explicitly within the hydrological cycle can link statistical correlation  
132 with physical causation, and thus, maximize the utility of dendrohydrology for water resources  
133 planning and management.

134

### 135 **3. Challenges and opportunities**

#### 136 ***3.1 Uncertainty and inaccuracy of dendrohydrological reconstructions***

137 A common practice in dendrohydrology is the development of a statistical regression model that  
138 links a hydrological variable; e.g., runoff, to one or multiple tree-ring chronologies (*TRCs*).  
139 Using the available long record of *TRCs*, a corresponding long record of runoff can then be  
140 reconstructed. Some of the challenges facing dendrohydrology include the widely acknowledged

141 uncertainty and inaccuracy with respect to these reconstructions (Cook and Pederson, 2010). It is  
142 common to reconstruct long records of runoff, or other variables, from proxy variables that  
143 account for less than 50% of their variability (Graumlich et al., 2003; Axelson et al., 2009). In  
144 fact, some published reconstructions account for as little as 35% (Gedalof et al., 2004), 37%  
145 (Axelson et al., 2009), and 38% (Watson et al., 2009) of hydrologic variability. Such limited  
146 explanatory power has been attributed to the limited representativeness of the sampled tree sites  
147 for the water balance of the larger catchment (Axelson et al., 2009), while the presence of other  
148 complex non-climate and biological factors that affect the response of trees as living objects  
149 might also play a role (Cook and Pederson, 2010).

150

### 151 ***3.2. Selection of hydrological variables for reconstruction***

152 Another important challenge emphasized here is the selection of the hydrological variable to  
153 reconstruct in the first place. It is intuitive to hypothesize that evapotranspiration is the most  
154 relevant hydrological process, and thus, most correlated with tree growth, as represented by the  
155 tree-ring chronology (*TRC*). Through transpiration, trees fix CO<sub>2</sub> into organic compounds that  
156 form the plant's structural biomass. The reason for correlating other hydrological variables (e.g.,  
157 precipitation, runoff) to *TRCs* is the availability of reasonably long records through direct  
158 measurement, while ET is generally an estimate itself. Both runoff and evapotranspiration are  
159 correlated with *TRCs* through a state variable, namely soil moisture. With respect to cause-effect  
160 relationships in the hydrological cycle, precipitation is the cause (independent variable) while  
161 runoff, evapotranspiration, and, thus, *TRC*, are effects (dependent variables) of a system  
162 experiencing a certain weather regime. One of the reasons for the nonlinearity of the  
163 relationships among the variables is soil moisture storage, which plays a central role in these



164 relationships. The storage effect on the correlation coefficient can be substantial, and therefore, it  
165 can be further hypothesized that the storage medium leaves its signature on all variables that are  
166 dependent on it.

167 Ignoring the groundwater flow in a simplified annual water balance, where change in water  
168 storage in the basin is typically considered negligible if starting and ending at times with similar  
169 wetness stages, can be mathematically represented by

$$170 \text{ Precipitation } (P) = \text{Evapotranspiration } (ET) + \text{Runoff } (Q) \quad (1)$$

171 Building a statistical relationship between runoff ( $Q$ ) and  $TRC$ , the latter being related to  $ET$ ,  
172 conceptually entails both statistical and physical problems. Physically,  $ET$  and  $Q$  are  
173 complementary variables that combine to close the water balance with  $P$ , assuming insignificant  
174 change in storage (which is a common practice for annual water balance). An increase in one  
175 does not necessarily mean an increase in the other, especially at certain time scales. This is  
176 particularly obvious in semi-arid regions where annual potential evapotranspiration ( $PET$ )  
177 exceeds annual values of  $P$ , leaving smaller amounts exiting the watershed in the form of  $Q$  after  
178 most of the  $P$  is depleted by  $ET$  during the growing season. For example, in Canadian semi-arid  
179 regions such as the Oldman River Basin in southern Alberta, runoff is snowmelt-dominated and  
180 peaks before  $ET$  climbs to its maximum rate in the summer. Runoff might peak when  
181 temperature is the limiting factor for tree growth, rendering a statistical relationship between tree  
182 growth and  $Q$  unreliable. This is typical in many northern watersheds.

183 Figure 2 presents the average monthly  $P$ ,  $Q$ , and  $PET$  for the Oldman River Basin in western  
184 Canada.  $PET$  peaks in July concurrent with a decline in both  $P$  and  $Q$ . This time period also  
185 exhibits the highest values of actual evapotranspiration ( $ET$ ) in the region, as indicated by a

186 dense canopy and high leaf area index (tree growth) as well as measurements of *ET* using eddy  
187 covariance towers (Brown et al., 2014). The factual out-of-phase seasonality between *ET* and *Q*  
188 makes it difficult to argue in support of a causal relationship between *Q* and *ET* (effectively *Q*  
189 and *TRC*). The reason that predicted *ET* looks in phase with *P* and *Q* in Figure 2 will be  
190 discussed in Section 6.2. Indeed, striking isotopic evidence provided by Evaristo et al. (2015)  
191 and Brooks et al. (2010) show two almost separate “worlds or pools of water” contributing to  
192 runoff and evapotranspiration; specifically, runoff tends to be “new and mobile” water whereas  
193 tree water tends to come from older, tightly bound water in the soil. However, smoothing out the  
194 seasonal variability by considering the annual values, as typically done in dendrohydrology, can  
195 create a somewhat artificial correlation between *Q* and *ET*, especially in light of the fact that both  
196 water exits are modulated through the same filter, namely soil storage (Rinaldo et al., 2015).  
197 When causation is absent, the presence of statistical correlation should be treated with caution.

198 Statistically, constructing a predictive model for runoff based on a tree-ring chronology  
199 encompasses a risk of establishing a spurious relationship; that is, the correlation between the  
200 variables *Q* and *TRC* (or *ET*) is due, at least partially, to ignoring the confounding factor: *P*. A  
201 confounding factor is one that is driving or affecting each of the independent and dependent  
202 variables (Greenland et al., 2009). This can lead to epistemic and unquantifiable uncertainty as  
203 the established relationship may not work properly at times when moisture levels are insufficient  
204 to generate runoff, but sufficient for average tree growth. Not surprisingly, many  
205 dendrohydrologists have documented the under-predicting high runoff volume (e.g., Wise, 2010;  
206 Axelson et al., 2009).

207 In the previous discussion, a few open issues in dendrohydrology have been identified. In the  
208 remainder of this paper we will pursue the idea of establishing an association between *TRCs* and

209 actual evapotranspiration (*ET*), thus, shedding some light on the association between *TRCs* and  
210 both *P* and *Q*. Only recently, dendrohydrologists started to attempt quantifying the relationships  
211 between *TRCs* and *ET* (Gangopadhyay et al., 2015) as well as soil water storage (Creutzfeldt et  
212 al., 2015).

213

#### 214 **4. Study region and data**

215 The Oldman River Basin in southern Alberta, Canada, is presented as a case study. It is located  
216 in a suitable area (Figure 3) to discuss some of the issues highlighted above, as it is a semi-arid  
217 region with annual potential evapotranspiration exceeding annual precipitation (Figure 2). The  
218 tree-ring chronologies of the OMRB have been studied by Razavi et al. (2015, 2016), Sauchyn et  
219 al. (2015), and Axelson et al. (2009). The basin has a drainage area of approximately 26,700 km<sup>2</sup>  
220 (Alberta Environment, 2014) covering three natural regions: the Rocky Mountains, Foothills, and  
221 Grassland. The average annual precipitation in the OMRB is 488 mm (AMEC, 2009). In the  
222 warm months of May through August, precipitation is less than evapotranspiration and, hence,  
223 most agricultural areas rely on irrigation. The average annual natural flow of the Oldman River  
224 at the headwaters is 56 m<sup>3</sup>/s, and peak runoff typically occurs in June (Figure 2). The headwaters  
225 include the Oldman, the Castle, and the Crowsnest Rivers, which join together in the Oldman  
226 River Reservoir. The St. Mary, Belly, and Waterton Rivers are the southern tributaries and  
227 originate from the state of Montana in the USA.

228 There are reasonably extensive records of *TRCs* of moisture-sensitive trees at various sites close  
229 to the headwaters of the Saskatchewan River Basin (SaskRB) in general, and the OMRB in  
230 particular. The longest records available date back to 1370 A.D., while the shortest record begins

231 at 1750 A.D. Efforts have been made to reconstruct the annual runoff for different tributaries of  
232 the SaskRB (Axelson et al., 2009; Case and MacDonald, 2003; Sauchyn et al., 2011, 2015).  
233 Further, Fleming and Sauchyn (2013) analyzed previously reconstructed runoff time series of  
234 two major tributaries of the SaskRB to study the shifts and variance in water availability.

235 The *TRC* data of 16 sites in the OMRB were provided by the tree-ring lab at the University of  
236 Regina (<http://www.parc.ca/urtreelab/>) and are listed in Table 1 and shown in Figure 3. The  
237 length of the tree-ring records at different chronology sites varies considerably. Tree-rings were  
238 measured to within 0.001 mm from high-resolution images of polished wood samples using a  
239 semi-automated image analysis system (WinDendro Density). The measured tree-ring series  
240 were standardized using the program ARSTAN (Cook, 1985). Conservative detrending by a  
241 negative exponential curve was used to remove the juvenile biological growth trends in the tree-  
242 ring series. The standardized ring-width series were averaged for each site, using a mean value  
243 function that minimizes the effects of outliers.

244 A naturalized runoff, which is measure streamflow processed to remove the effects of flow  
245 regulation and water abstractions, time series for the period 1912-2001 at the watershed outlet  
246 (Figure 3) generated by Alberta Environment and Sustainable Resource Development was used  
247 to represent the basin runoff ( $Q$ ). Daily meteorological variables (1953-2004), including air  
248 temperature ( $^{\circ}\text{C}$ ), relative humidity, wind speed (m/s), and vapor pressure (kPa), were obtained  
249 from Environment Canada and processed to produce monthly values. The *Second Generation of*  
250 *Daily Adjusted Precipitation for Canada* (Mekis and Vincent, 2011) product was used as the  
251 source of precipitation data. Precipitation records for the cities of Lethbridge and Medicine Hat  
252 and towns of Pincher Creek and Vauxhall (1936-2005) were considered and investigated for  
253 their completeness and correlation with the *TRCs* and runoff. The individual and spatial averages

254 were considered, and the precipitation measured at Lethbridge was concluded to be the most  
255 suitable.

256

## 257 **5. Methods and analysis approach**

### 258 ***5.1 Topographical analysis to quantify site suitability***

259 A common observation in dendrohydrology is that *TRCs* from different sites have different  
260 correlation strengths with hydrological variables, even for sites with the same tree species.

261 Dendrohydrologists follow a purposeful approach to site selection, targeting sites with the oldest  
262 trees and confining sampling to sites where soil moisture is a limiting growth factor (i.e., the  
263 upper parts of slopes and those slopes that face south and west and are thus usually dry).

264 However, a more systematic approach to select appropriate sites for dendrohydrological  
265 reconstruction is still needed. The intuitive approach is to attempt to investigate the role of  
266 topography in a systematic and explicit way, as topography is a major controller of hydrological  
267 conditions (Sørensen et al., 2006). In this study, the topographic index (*TI*), originally developed  
268 by Beven and Kirkby (1979) and defined as  $\ln(a / \tan \beta)$ , was calculated for the entire OMRB.

269 The *TI* captures the two important elements that determine the wetness of an area: the upslope  
270 contributing area per contour length (*a*) and the local slope ( $\tan \beta$ ) (Hornberger et al., 1998). *TI*  
271 was calculated for each cell of the basin using a digital elevation model (DEM), with 90m  
272 resolution, and ArcGIS. The objective of this step was to investigate the relationship between the  
273 *TI* of a site and the correlation between its *TRCs* and the hydrological variables.

274

### 275 ***5.2 Conceptual hydrological model***

276 A lumped conceptual monthly hydrological model was developed for the OMRB as a way to  
 277 predict the basin-scale actual evapotranspiration (*ET*). Linking *ET* to the *TRCs* is the main reason  
 278 for developing this model and, therefore, a monthly temporal resolution was selected as an  
 279 appropriate modeling time step. This step size is coarse enough to filter out processes occurring  
 280 at finer temporal resolution, which may not be of direct relevance in this study, but also fine  
 281 enough to represent the process seasonality. The monthly precipitation was considered to be rain  
 282 or snow based on the average monthly temperature relative to 0.0 °C. *PET* values were estimated  
 283 using the Penman-Monteith equation (ASCE, 2005) typically adopted by Alberta Agriculture for  
 284 reference evapotranspiration:

$$285 \quad PET = \frac{(0.408 \times \Delta \times (R_n - G)) + \gamma \times \left( \frac{1600}{T_{Mean} + 273} \right) \times u_2 \times (e_s - e_a)}{\Delta + (\gamma \times (1 + 0.38 \times u_2))} \quad (2)$$

286 where  $\Delta$  is the slope of the saturation vapor pressure-temperature curve (kPa/°C),  $R_n$  is net  
 287 radiation (MJ/m<sup>2</sup>/day),  $G$  is soil heat flux (MJ/m<sup>2</sup>/day),  $\gamma$  is a psychrometric constant (kPa/°C),  
 288  $T_{Mean}$  is mean daily temperature (°C),  $u_2$  is wind speed at a height of 2 m (m/s), and  $e_s$  and  $e_a$  are  
 289 the saturated and actual vapor pressure (kPa), respectively. On average,  $G$  is small and assumed  
 290 to be zero, following the recommendation of Alberta Agriculture and Forestry (2015). This  
 291 might lead to some overestimation of *PET* values, but is acceptable for our modeling purposes  
 292 because *PET* was used as an upper limit for the predicted actual evapotranspiration, which is  
 293 always much less than the *PET*.

294 In cold regions hydrology, various processes complicate hydrological modeling, such as snow  
 295 accumulation, relocation and sublimation, snowmelt dependence on soil and air temperature and  
 296 radiation, and infiltration into frozen soil (Pomeroy and Gray, 1995). However, for the monthly

297 lumped model developed here, the question is more one of water balance (bucket approach) and  
 298 translation of water from storage to exit (Rinaldo et al., 2015). It is not possible, nor necessary, to  
 299 simulate local scale snow drifting, realistic instantaneous infiltration, and ponding processes.  
 300 Therefore, the monthly runoff generation was developed using the simple concept of a runoff  
 301 coefficient, combined with a simple form of the interesting concept of dynamic residence time or  
 302 different residence time for different “waters” in the watershed (Rinaldo et al., 2015). This  
 303 *monthly* model distinguishes winter months from spring/summer months in any given year using  
 304 an average monthly air temperature threshold of zero degrees Celsius. The conceptual model  
 305 developed considers three sources of runoff:

306 (i) Baseflow ( $Q_b$ ): This was found through manual calibration to be around 1.7  
 307 mm/month;

308 (ii) Snowmelt ( $Q_s$ ): If the average monthly air temperature ( $T_{Mean}$ , °C) < 0, then no runoff  
 309 is generated, and all precipitation is assumed to be snow and accumulates, as  
 310 cumulative snow water equivalent ( $CSWE$ ) over the number of months for which  
 311  $T_{Mean}$  is less than 0.0 °C, in a virtual tank according to

$$312 \quad CSWE = \sum_{i=1}^w SWE_i \quad (3)$$

313 where  $i$  is a winter month and  $w$  is the total number of winter months. This approach  
 314 makes  $w$  a dynamic variable that changes from one year to another.  $CSWE$  is  
 315 contributing to runoff based on the ratio of the mean monthly temperature ( $T_j$ ) relative  
 316 to the summation of the mean temperature over the spring/summer season,

$$Q_{sj} = c_j \left( \frac{T_j}{T_1 + \dots + T_j + \dots + T_k} \right) \times CSWE \quad (4)$$

317 where  $c_j$  is a coefficient that is distributing the snowpack as a snowmelt component of  
318 the runoff ( $Q_s$ ) in month  $j$  over a  $k$  number of months of the spring and summer  
319 season (e.g., May, June, July) during which  $T_{Mean}$  is higher than 0.0 °C. Both  $c_j$  and  $k$   
320 are calibration parameters.

321 (iii) Summer runoff ( $Q_r$ ): During the spring and summer (e.g., May, June, July, August,  
322 September, October) when the precipitation is in the form of rain ( $R$ ), a portion of the  
323 rain contributes to runoff based on calibration runoff monthly coefficients  $d_1, \dots, d_j, \dots$   
324  $d_k, \dots, d_m$ : where  $m$  is the total number of spring and summer months, and  $j$  and  $k$  as  
325 defined earlier.

$$Q_{rj} = d_j (R_j) \quad (5)$$

326 Other than contributing to runoff, a portion of the melting snowpack contributes  
327 towards evapotranspiration and was estimated to close the water balance. On average,  
328 this was found to be 17% of the total snow. Actual evapotranspiration ( $ET$ ) was  
329 calculated during the spring and summer months ( $1, \dots, m$ ):

$$ET_j = (1 - d_j)R_j \quad (6)$$

330 The total seasonal  $ET$  is calculated based on the cumulative  $ET_j$  from Equation (6)  
331 over  $m$  months plus the contribution of snowmelt to  $ET$ . The model parameters were  
332 calibrated manually using the maximization of Nash-Sutcliffe (NS) efficiency of the  
333 predicted and observed runoff as the objective function. The annual  $ET$  values  
334 (October – September) were investigated with respect to their relationship with the  
335  $TRCs$ .

336



## 337 **6. Results and analysis**

### 338 ***6.1 Topographical analysis results***

339 The topographic index (*TI*) values of the pixels within which the *TRCs* were sampled are  
340 provided in Table 1 and plotted in Figure 4, along with the correlation coefficients between *TRCs*  
341 and each of the yearly precipitation and runoff series. The expected trend is a decrease in  
342 correlation coefficients with increasing *TI* values, as higher *TI* relates to sites that for  
343 topographical reasons are more likely to be wet. Wetter sites obscure a direct (instantaneous)  
344 relationship between meteorological variables and the moisture available for trees. From a  
345 dendrohydrological point of view, higher *TI* adds uncertainty to the moisture response ( $g_M$ ) at  
346 moisture-sensitive sites. Even though the trend presented in Figure 4 is not completely consistent  
347 with this hypothesis, 15 of the 16 sites (except TAB, which was removed from the graph because  
348 it shows substantial deviation from the other sites) support the conclusion with respect to both  
349 runoff and precipitation. Given that these results are based on a coarse resolution (90 m) DEM,  
350 this finding is important as it allows for formalized site selection for the purpose of identifying  
351 moisture-limited *TRCs* that more strongly correlate with hydrological variables.

352

### 353 ***6.2 Hydrological model results***

354 The observed and simulated runoff time series at the outlet of the OMRB are shown in Figure 5.  
355 Two-thirds of the available record (1953-1984) was used for model calibration and one third  
356 (1985-2001) was used for evaluation. The model performance is quite similar over both periods  
357 with Nash-Sutcliffe coefficients of 0.59 and 0.60 for the calibration and evaluation periods,  
358 respectively. Except for the runoff flood event in June 1995, the model captured the runoff

359 pattern reasonably well over the entire simulation period. Other error measures (correlation  
360 coefficient,  $R$ , and root mean squared error, RMSE) are also shown in Figure 5.

361 The calibration parameter  $k$  was found to be equal to 3, i.e., the snowmelt water is contributing to  
362 runoff over a three-month period in the spring, and the time-varying values of  $c$  and  $d$  are  
363 provided in Table 2. The model error (residuals) were found to be independent, with a very small  
364 autocorrelation coefficient of 0.07 and a mean value of -0.80 mm, indicating slight bias  
365 (underprediction). The simulated monthly actual evapotranspiration values ( $ET$ ), shown in Figure  
366 2, were aggregated into annual time series to investigate their correlation with various  $TRCs$ . As  
367 expected,  $ET$  starts to rise in the spring (May and June), benefiting from both rain and snowmelt.  
368 During the summer months (July, August, and September),  $ET$  and  $Q$  together are higher than  
369 incoming rainfall, suggesting that both processes are using water remaining from snowmelt.  
370 During summer, the rate of  $ET$  decline is much smaller than the rate of  $Q$  decline. The predicted  
371  $ET$  shown in Figure 2 peaks in June in response to the moisture availability, as the developed  
372 model, like most available watershed models, may not capture the process of the trees taking up  
373 older water in the soil (Brooks et al., 2010; Ogle et al., 2015). This may not be accurate and other  
374 evidences from the region indicate that  $ET$  typically peaks in July (Brown et al., 2014).

375

### 376 **6.3 Correlation analysis results**

377  $TRCs$  from four sites were selected for further analysis on the basis of their relatively high  
378 correlation coefficient values with the measured  $P$  and  $Q$ . The corresponding correlation values  
379 for all 16 sites are provided in Table S1 as a supplemental material. Interestingly, the concurrent  
380 (annual) correlation coefficient between the  $ET$  series and the  $TRCs$  were found to be as low as  
381 0.44, 0.33, 0.35, and 0.33 for records from BVL, CAB, CAL, and OMR sites, respectively.

382 These are lower values than the correlations between the *TRCs* and both *Q* and *P* (Table 3;  
383 concurrent values are denoted with subscript *t*). Another interesting observation is the weaker  
384 correlation between *TRCs* and precipitation, compared to that with runoff, for three of the four  
385 sites. This issue can be attributed in part to storage (Creutzfeldt et al., 2015). This finding is  
386 supported by the observation that *TRC* signals (time series) and *P* are not consistently in phase,  
387 i.e., years with considerably low precipitation did not cause reduction in the tree growth;  
388 especially when they happen after wet years. The biological carryover phenomenon in tree  
389 growth (Brockway and Bradley, 1995) should be tracked in the correlation, without attempting to  
390 filter it out as it is entangled with the instantaneous climatic signal.

391 The correlation between *TRCs* at year *t* (October of year *t-1* to September of year *t*) and the  
392 running average of *ET* over year *t* and *t-1* (October of year *t-2* to September of year *t*) was  
393 investigated to account for such “carryover” effect, as well as the effect of old water. When the  
394 running average of *ET* is considered, the correlation coefficient notably improves, as shown in  
395 the last two columns of Table 3. Two observations are notable at this point, one hydrological and  
396 one dendrohydrological. First, what is typically modeled as an instantaneous process in  
397 catchment scale hydrology is based on the assumption of complete (Brooks et al., 2010) or  
398 partial mixing of water in a way similar to the conceptual model developed in this study. The  
399 instantaneous value of *ET*, which is water vapor leaving the watershed as a lithospheric sub-  
400 system, can include water that has been stored for a long time – perhaps longer than one year.  
401 This storage can be either within the soil (Brooks et al., 2010; Ogle et al., 2015) or within the  
402 tree itself. Indeed water can be stored within the tree for a short time period (Pfausch et al.,  
403 2015), and there is no evidence to support the idea of much longer within-tree water storage.  
404 Therefore, if the long-term water storage concept is correct, then logically, precipitation should

405 be correlated with *TRCs* in the same fashion, i.e., old water is available to trees over an extended  
406 period average. The first two columns of Table 3 support this hypothesis, as the correlation  
407 coefficients between *TRCs* at year  $t$  and  $P$ -average over two years are higher than for  
408 instantaneous correlations. Second, reconstructing a 2-year running average of  $ET$  and  $P$  from  
409 yearly *TRCs* is more reliable than reconstructing yearly values. This is not only due to  
410 statistically higher correlation values, but also because of the higher confidence in the physics of  
411 the relationships and the tree physiology. In a recent study, Ogle et al. (2015) investigated the  
412 issue of ecological memory and quantified the individual contributions of endogenous effects  
413 (e.g., antecedent tree growth) and exogenous effects (e.g., antecedent precipitation) to current  
414 tree growth. They found that the antecedent precipitation of the previous two years, independent  
415 of the antecedent growth, could affect the current year's tree growth; they attribute this to water  
416 stored in the deep soil for this period of time. Endogenous effects were found to be an inherent  
417 property of individual trees, varying significantly within the population of the same site, whereas  
418 exogenous effects are consistent across the population. Therefore, models operating at the  
419 population level may reliably use the antecedent climate driver (Ogle et al., 2015).

420 The two-year average might include two wet years, two dry years, or one wet and one dry year.  
421 It is argued here that this is what the tree-ring width reflects and what should be modeled. This is  
422 notably different from just considering year  $t+1$  of the *TRC* as an additional independent variable  
423 for predicting  $P$  or  $ET$ . Doing the latter, which is a common practice in dendrohydrology (Meko  
424 et al., 2011; Brockway and Bradley, 1995), might improve the correlation, but is less related to  
425 process understanding. For example, in the case of the BVL site,  $R$  is increased to 0.57, when 2-  
426 year average of *TRC* is considered, from the original value of 0.53, which is quite lower than  
427 0.71 that results from our approach of running average, explained above. From a hydrological

428 point of view, this argument points to the existence of change in storage term in Equation 1, even  
429 for annual water balance. Even though the n-year average window can be taken as a generalized  
430 concept, it is important to note that the two-year average window identified in this study is  
431 region-specific. Other regions might require different window lengths and/or different weight for  
432 each year included in the window.

433 The results provided in Table 3 suggest that the concept of a running average discussed above  
434 does not apply to runoff. In most cases, the instantaneous correlation between  $Q_t$  and the  $TRC_t$  is  
435 stronger than that between  $TRC_t$  and the running average of  $Q$ . This finding is important for this  
436 discussion, and should be understood in light of the water balance discussion of Section 3 and  
437 the concept of residence time and age of runoff (Rinaldo et al., 2015; McDonnell and Beven,  
438 2014). The annual runoff signal reflects the integrated response of the entire watershed that is  
439 impacted by complex storage effects (e.g., delay and attenuation), which can create a similar  
440 effect to the old tree water uptake and, thus, no running average of  $Q$  may be required. In other  
441 words, the effect of the transfer function that relates  $P$  to  $Q$  can have some similarity with that of  
442 the transfer function that relates  $P$  to  $ET$ , although both functions are different in nature. This  
443 argument can be supported quantitatively by the autocorrelation coefficients of all variables  
444 under consideration. While the lag-1 autocorrelation coefficients ( $\rho$ ) of the annual  $ET$  and  $P$   
445 series are -0.12 and -0.03, the value is much higher for  $Q$  (0.23) and closer to that for the BVL  
446  $TRC$  (0.40). The  $Q$  signal carries a memory already without calculating a running average, which  
447 does not exist in the  $P$  and predicted  $ET$  signals. However, the running average process elevates  
448 the lag-1  $\rho$  values of  $ET$  and  $P$  to 0.50 and 0.46, respectively. It is important to note that the  
449 existence of memory in both  $TRC$  and  $Q$  signals can make them statistically correlated even  
450 though the cause of the signal's memory in each case is different.

451 From the discussion above, both causation and correlation are suggested in the case of the  
452 relationship between  $P$  and  $TRCs$  (or  $ET$ ). More precipitation leads to more soil moisture, which  
453 can be instantaneously (within one year) taken up by the plants for use in photosynthesis.  
454 However, when  $P$  is less than the optimal  $ET$  requirements (during dry years), the plant can still  
455 resort to stored old water and resist any immediate dry-conditions effects. Meteorological  
456 drought must persist before resulting in significant soil moisture deficit that leads to  
457 ecological/agricultural drought (Mays, 2011), and it is agricultural drought that leads to slowing  
458 of tree growth. Therefore, instantaneous correlation can occur between  $TRCs$  and high values of  
459  $P$ , but may not be the same between  $TRCs$  and low values of  $P$ . On the other hand, agricultural  
460 drought, when it persists, leads to hydrological drought. Therefore, low values of  $Q$  occur after  
461 the persistence of agricultural drought, which will have already affected tree growth ( $TRCs$ ).  
462 However, even after severe droughts, flash floods or high flow periods can occur (due to sudden  
463 snowmelt or rain on snow); which will be reflected in runoff, but the trees might not have  
464 enough time to recover to full growth rate. So, in the case of runoff, there can be instantaneous  
465 correlation between  $TRCs$  and low values, but not necessarily high values of  $Q$ . Indeed, it is  
466 difficult for  $TRCs$  to instantaneously reflect high runoff signals unless high  $Q$  values persist for  
467 extended periods throughout the year. This analysis provides hydrological explanation for earlier  
468 empirical findings in dendrohydrology literature (Wise, 2010; Axelson et al., 2009).

469 Here, the correlation argument is supported by presentation of correlation coefficient values.  
470 Each of the available records of measured  $P$  (1939-2001) and  $Q$  (1913-2001) was divided based  
471 on the mean of the entire record into wet (above mean) and dry (below mean) subsets. The  
472 correlation with the corresponding  $TRCs$  was calculated based on annual instantaneous values  
473 (Table 4). The findings are important to dendrohydrology in semi-arid regions, as caution must

474 be exercised when making inferences or interpretations based on reconstructed records,  
475 especially interpretation of dry years and wet years based on reconstructed precipitation and  
476 runoff, respectively. The *TRCs* have considerably better instantaneous correlations with *P* in wet  
477 years but very low instantaneous correlation values in dry years. This relationship is exactly the  
478 opposite of that found with *Q*. When developing a model assuming an overall correlation  
479 between two series based on the entire record, similar to the practice of developing regression-  
480 based models using the entire record, model reliability should be challenged when the assumed  
481 relationship is invalid over half of the series.

482

#### 483 ***6.4 The dilemma of reconstruction of hydrological variables***

484 Figure 6 shows 223 years of reconstructed runoff (*Q*) and precipitation (*P*) for four sites. These  
485 simple reconstructions were performed using linear regression with the *TRC* for each site as the  
486 independent variable. The regression models were developed using the available records from  
487 1955-2001. The models were developed using 66% of the record and validated based on the  
488 remaining 34%. *ET* series were reconstructed in a similar way and follow the same pattern, but  
489 are not shown here. Both *P* and *ET* were reconstructed using the 2-year running average of years  
490  $t-1$  and  $t$  of the dependent variable and the annual value of year  $t$  of the independent variable  
491 (*TRC*), following the logical argument provided earlier. Obtaining the annual values of  
492 reconstructed *P* and *ET* is straightforward, as the annual series can be easily obtained from the 2-  
493 year running average series simply by knowing the initial conditions (or the value of a single  
494 year), i.e., knowing the value of the first year of the reconstructed series. The  $R^2$  of the  
495 calibration and the reduction of error (RE) of the validation for the developed models are  
496 provided in Table 5. In this study, we used only one independent variable in the reconstruction

497 models, however, when multiple sites are used in the model, the regression  $R^2$  value did not  
498 increase more than 2%.

499 The obvious and typical reconstruction uncertainty due to the choice of predictors, evident in  
500 Figure 6, is frequently discussed in the dendrohydrology literature (e.g., Gangopadhyay et al.,  
501 2009; Razavi et al. 2016). Even considering the two best and closest models in each case still  
502 reveals obvious uncertainty. Reconstructed 2-year running average precipitation (Figure 6b)  
503 using the BVL and CAL chronologies show differences in patterns during four periods in  
504 particular: 1738-1748, 1760-1772, 1848-1864, 1890-1896, and 1942-1950. Reconstructed annual  
505 runoff using the CAB and OMR chronologies show less obvious differences, however, notable  
506 differences are obvious during the 1760-1772 period. Furthermore other differences exist in  
507 comparison with the other two reconstructions. The differences are in particular important for  
508 inferences with respect to periods of possible droughts, as such paleo-reconstructions are  
509 commonly used for assessing the timing and magnitude of droughts in the period preceding the  
510 observational records. The uncertainty due to the choice of predictors is commonly masked by  
511 including all sites as independent variables (regressors) in the reconstruction model; such  
512 practice might result in improved regression fit (observational period) but less *reliable*  
513 reconstructions (pre-observational period).

514 The important reliability-related shortcomings that are emphasized in this research relate to the  
515 practice of regressing *TRCs* versus hydrological variables. The findings presented in Table 4  
516 clearly indicate possible shortcomings of the conventional regression approach, where different  
517 behaviors are observed in wet and dry years in terms of the relationship of tree growth with  
518 hydrologic variables. Figure 7a, as an example, shows the relationship between annual  
519 precipitation and *TRC* of the OMR site. The overall trend, represented by the black line (slope



520 0.0012), is influenced by the trend (green dashed line, slope 0.0014) for the wet years (green  
521 dots). The dry years (red dots) show almost no trend (red dashed line, slope 0.0003).

522 The process of averaging the precipitation using a running window of two years helps  
523 homogenize the record and makes the slopes of the trend lines of both wet and dry subsets  
524 somewhat similar (at 0.0004 and 0.0010, respectively) and also improves the overall correlation,  
525 as shown earlier. However, it does not solve the problem of the difference between the overall  
526 correlation coefficient and those for the wet and dry subsets (Figure 7b). This finding is  
527 significant from both hydrological and modeling viewpoints. It certainly reiterates our earlier  
528 statement about the inconsistency of inferences, made using regression models, regarding wet  
529 and dry periods (Figure 7a) or even both (Figure 7b). Obviously, if more wet years (expanded  
530 green dots) or dry years (expanded red dots) occur, the slope of the overall trend lines in Figure 7  
531 can change, thus casting more doubt and uncertainty regarding the constancy of the developed  
532 model. Records with longer runs of wet or dry periods than those in the instrumental period  
533 might have existed in the pre-instrumental period. This also helps explain the substantial change  
534 of the correlation coefficient over time, even during the instrumental period. Apparently what  
535 happens is that more wet or dry years are included within the window considered, and thus, the  
536 correlation coefficient changes. Therefore, the reliability of the developed model becomes  
537 conditioned on the observed climatology of the instrumental record. Even though this aspect is  
538 inherent in most hydrological models, it is more critical with data driven models, such as the  
539 regression-based reconstruction models. Indeed, the model structure and parameters are solely  
540 dependent on the data used for development. Other *TRCs* (not shown here) behave similarly, as  
541 indicated by the data in Table 4. However, a reverse pattern occurs with regard to  $Q$ , i.e., the  
542 slope is significant at low  $Q$  values (dry years) and insignificant at high  $Q$  values (wet years).

543 Regression models, frequently used to reconstruct paleohydrology, can still be of use to the water  
544 resources management community. One of the advantages of linear regression is the ability to  
545 produce an unbiased value of the mean of the calibration series. The means of the regression-  
546 based reconstructed records in this study were compared with the instrumental period's mean  
547 values to assess the relative change (Table 6). Two observations can be made with regard to the  
548 results. First, similar to typical projections about future climate by various general circulation  
549 models (GCMs), *TRC*-based reconstructions of paleohydrology also show a range of changes of  
550 the long-term mean, from a 5.3% decrease to 2.7% increase, from a 5.9% decrease to 5.0%  
551 increase, and from a 6.0% decrease to 3.4% increase for *P*, *Q*, and *ET*, respectively, in the  
552 Oldman River Basin. The differences in the estimation of the long-term mean of *P*, *Q*, and *ET*  
553 are due to the use of different *TRC* sites for the reconstruction of past records. Second, given that  
554 the regression models for *P*, *Q*, and *ET* were developed independently based on measured values  
555 of *P* and *Q* and model-based values of *ET* (using only the BVL *TRC*), one can argue that the  
556 values, from a water balance point of view, are reasonably consistent. This reflects well-  
557 estimated long-term water balance from each chronology site, as the relative change in the input  
558 (*P*) is consistent with the relative changes in the outputs (*Q* and *ET*).

559 As expected, the variance (or the standard deviation) of the regression-based values is  
560 considerably less than the variance of the observed records. A summary of the statistical  
561 properties of the observed and modeled records is provided in Table 7. The underestimation of  
562 variance of reconstructed paleohydrology is acknowledged in dendrohydrology, and was  
563 corrected in some cases (Cook et al., 2004). Due to the change in the long-term mean, we  
564 recommend that the coefficient of variation (CV), rather than the variance, be used to inflate the  
565 variance of the reconstructed records.

566

## 567 **7. Conclusions**

568 Precipitation, actual evapotranspiration, and runoff were investigated closely in this paper with  
569 regard to how their interrelations affect dendrohydrology and associated dendrohydrological  
570 reconstructions. Exercising caution is advised when attempting to reconstruct runoff, as  
571 increasing evidence points towards runoff and evapotranspiration (tree water) being drawn from  
572 different pools of water, which affects the reliability of their statistical linkage. Reconstructing  
573 precipitation and evapotranspiration is therefore more intuitive from hydrological and ecological  
574 points of view. Depending on the climatology of the region and how fast the water balance  
575 resets, a moving average of the precipitation and evapotranspiration with window length  
576 exceeding one year might be considered for reconstruction purposes. In the case of the Oldman  
577 River Basin in western Canada, a window length of two years was found to be necessary. This is  
578 important from a water resources management point of view because it increases the reliability  
579 of reconstructed hydrological variables. Furthermore, it is important from a general hydrological  
580 perspective as it indicates the importance of the change in storage even in closing the annual  
581 water budget.

582 Using a linear regression technique, which is common for reconstructing pre-instrumental  
583 hydrological time series, should be challenged and revisited as the correlation between tree-ring  
584 chronologies and the hydrological variables was found to be substantially different during wet  
585 versus dry periods. This difference affects inferences made about past dry or wet episodes using  
586 such regression-based models. However, the ability of the regression models to estimate the  
587 unbiased mean of the series is advantageous and can be used to estimate the relative change in  
588 long-term pre-instrumental record's mean compared to the instrumental period. Assessment of

589 such relative change is useful for water resources planning and management. Using the long-  
590 term mean of the reconstructed runoff, precipitation, and actual evapotranspiration in the Oldman  
591 River Basin leads us to conclude that there is uncertainty about the past climate. This uncertainty  
592 seems to be similar in nature to that typically produced by GCMs about future projections.  
593 Various reconstructions of past hydrological variables in the Oldman River Basin show a range  
594 of possibilities in the long-term mean of runoff, precipitation, and evapotranspiration, from a 6%  
595 decrease to a 5% increase. It will be interesting to conduct a similar study with regard to future  
596 projections to compare the values and assess if past occurrences already contain potential future  
597 variability. The doubts cast in this study about the use of regression models for reconstruction of  
598 paleohydrology suggest a need for and use of local modeling techniques; i.e., multiple local  
599 models parameterized over subsets of the data domain, to capture the pattern of the predictor-  
600 predictand relationships in various sub-regions of the space of the variable under consideration.  
601 Various forms of the *K*-nearest neighbors (*KNN*) technique (Gangopadhyay et al., 2009) are  
602 possibly suitable candidates for this task.

603 This study also points at the importance of the concept of mobile (new) and immobile (old)  
604 waters in the watershed. Even in cases where a coarse annual time scale is used, such as in this  
605 study, the concept is applicable and influential. Serious attempts should be made to include this  
606 concept in watershed models. Dendrohydrologists follow a purposeful approach for selecting the  
607 sites of sampling tree-ring chronologies, and we have shown in this study that using the  
608 topographic index is a good way to quantify the site suitability. Caution must be exercised  
609 regarding the generalization of the findings of this research. We recommend replicating this  
610 study using various sites from other regions of the world to validate or nullify the hypothesis  
611 made in this study.

612

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807 **Table 1. List of chronology sites (TRCs) in the Oldman River Basin, tree species, and data**  
808 **availability. The topographic index reflects the potential wetness of the site, the wetter the site, the**  
809 **higher the index value.**  
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No	Chronology Site Code	Tree Species <sup>a</sup>	Period years	Elevation (m)	Topographic index
1	WCK	PM	1750-2005	1536	9.4
2	CAL	PM	1640-2004	1677	7.5
3	BMN	PF	1580-2007	1297	10.2
4	LBC	PM	1610-2004	1602	6.0
5	WSC	PM	1570-2004	1575	7.4
6	OMR	PM	1370-2007	1331	6.0
7	DCK	PM	1660-2004	1648	6.1
8	BDC	PM	1550-2004	1661	6.0
9	BCK	PM	1660-2006	1592	6.5

10	OMR	PF	1640-2003	1427	4.6
11	OCP	PC	1790-2003	1280	9.7
12	CAB	PM	1440-2004	1395	4.9
13	HEM	PF	1510-2007	1308	6.5
14	ELK	PF	1540-2004	1384	6.1
15	BVL	PM	1730-2004	1567	4.9
16	TAB	LL	1616-2010	1838	4.7

<sup>a</sup>PM, *Pseudotsuga menziesii*; PF, *Pinus flexilis*; PC, *Pinus contorta*; LL, *Larix lyallii*

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814 **Table 2. Values of the calibration parameters of the conceptual model developed.**

$c$	Value	D	value
$c_1^*$	0.40	$d_1^*$	0.40
$c_2$	0.45	$d_2$	0.25
$c_3$	0.45	$d_3$	0.30
		$d_4$	0.20
		$d_5$	0.20
		$d_6^{**}$	0.10

\*The first month in the spring when the average monthly temperature is higher than zero (e.g., April).

\*\*The coefficient value of the sixth month remains unchanged for any subsequent month with temperature higher than zero.

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818 **Table 3. Correlation between TRCs and both instantaneous (t) and 2-year average (“t” + “t+1”)**  
819 **hydrological processes (1953-2001). The concept of 2-year average improves the correlation in case**  
820 **of P and ET.**

Site	Precipitation (P)		Runoff (Q)		Evapotranspiration (ET)	
	$P_t$	$P_t + P_{t-1}$	$Q_t$	$Q_t + Q_{t-1}$	$ET_t$	$ET_t + ET_{t-1}$
<b>CAB<sub>t</sub></b>	0.45	0.62	0.61	0.51	0.33	0.58
CAL <sub>t</sub>	0.45	0.60	0.58	0.60	0.35	0.51
OMR <sub>t</sub>	0.47	0.55	0.61	0.51	0.33	0.49
<b>BVL<sub>t</sub></b>	0.53	0.71	0.47	0.34	0.44	0.71

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825 **Table 4. Instantaneous correlation between TRCs and  $P$  or  $Q$  for wet and dry years. Substantial**  
 826 **correlation exists between TRC and wet precipitation and dry runoff years. Dry precipitation and**  
 827 **wet runoff years do not show similar correlation with TRCs.**

<i>TRC</i> site	Wet $P$ (28 years)	Dry $P$ (34 years)	Wet $Q$ (41 years)	Dry $Q$ (48 years)
BVL	0.27	0.05	-0.10	0.30
CAB	0.55	0.01	0.21	0.43
CAL	0.42	0.13	0.18	0.40
OMR	0.42	0.05	0.16	0.34

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831 **Table 5. Performance measures of the regression-based reconstruction models.  $R^2$  is the coefficient**  
 832 **of determination and RE is the reduction of error statistic.**

<i>TRC</i> site	Precipitation ( $P$ )		Runoff ( $Q$ )	
	$R^2$	RE	$R^2$	RE
BVL	<b>0.50</b>	<b>0.63</b>	0.22	0.20
CAB	0.39	0.52	<b>0.37</b>	<b>0.38</b>
CAL	<b>0.36</b>	<b>0.62</b>	0.34	0.34
OMR	0.30	0.33	<b>0.38</b>	<b>0.51</b>

833 \* Bold numbers represent the best sites.

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838 **Table 6. Reconstructed relative change in the long-term mean of  $P$ ,  $Q$ , and  $ET$  in the OMRB.**  
 839 **Different TRCs lead to different conclusions with regard to the wetness and dryness of the pre-**  
 840 **instrumental period.**

<i>TRC</i> site	Percent change relative to instrumental period		
	$P$	$Q$	$ET$
BVL	-5.30%	-5.90%	-6.00%
CAB	0.80%	2.20%	1.80%
CAL	2.70%	5.00%	3.40%
OMR	-0.80%	0.00%	0.10%

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845 **Table 7. Statistical properties of observed and modeled hydrological variables during the**  
846 **instrumental period.**

	Site	BVL		CAB		CAL		OMR	
		Obs.	Mod.	Obs.	Mod.	Obs.	Mod.	Obs.	Mod.
<b>P</b>	Mean	397	397	397	397	397	397	397	401
	Std.	72	47	72	45	72	43	72	39
	CV	0.18	0.12	0.18	0.11	0.18	0.11	0.18	0.10
	$\rho$	0.56	0.36	0.56	0.30	0.56	0.44	0.56	0.42
<b>Q</b>	Mean	126	126	126	126	126	126	126	126
	Std.	37	17	37	23	37	22	37	23
	CV	0.30	0.14	0.30	0.18	0.30	0.17	0.30	0.18
	$\rho$	0.23	0.37	0.23	0.29	0.23	0.44	0.23	0.41
<b>ET</b>	Mean	260	260	260	260	260	260	260	260
	Std.	51	37	51	30	51	26	51	25
	CV	0.19	0.14	0.19	0.11	0.19	0.10	0.19	0.09
	$\rho$	0.52	0.39	0.52	0.30	0.52	0.44	0.52	0.42

847 Obs.: observed values; Mod.: Based on regression models; Std.: standard deviation; CV: coefficient of variation;  $\rho$ :  
848 autocorrelation coefficient.

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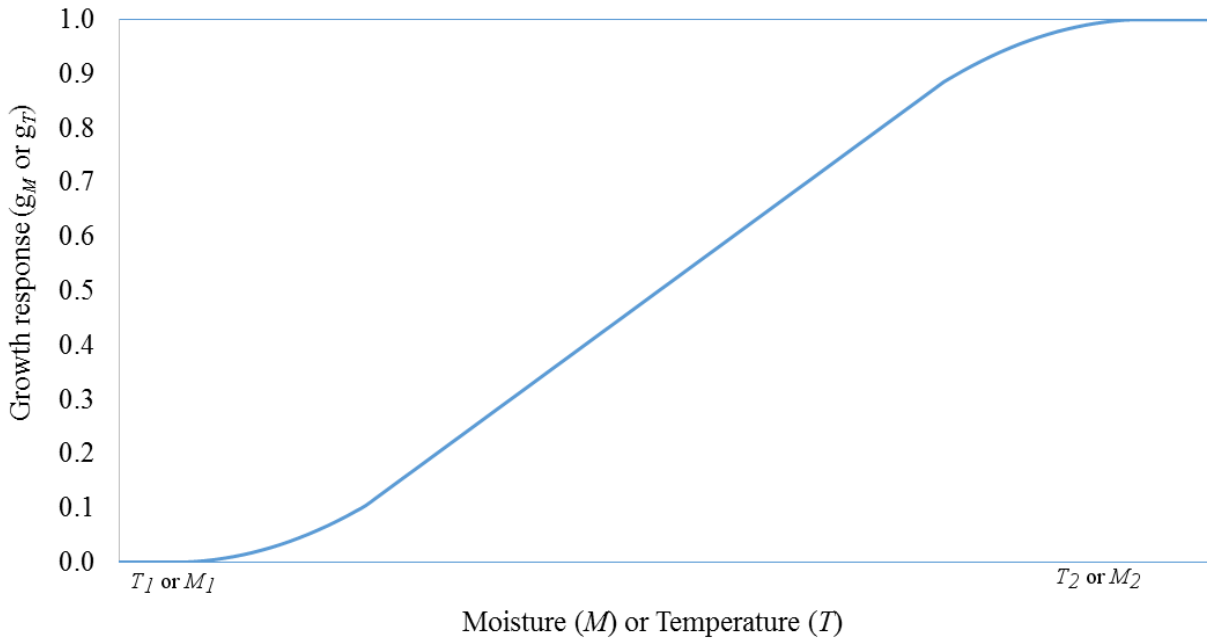
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857 Figure 1. Generic representation of tree growth as a function of moisture (M) and temperature  
 858 (T) thresholds –  $g_M$  and  $g_T$  are growth response to moisture and temperature, respectively, and  $T_1$   
 859 ( $M_1$ ) and  $T_2$  ( $M_2$ ) are the lower and upper temperature (moisture) thresholds, respectively.

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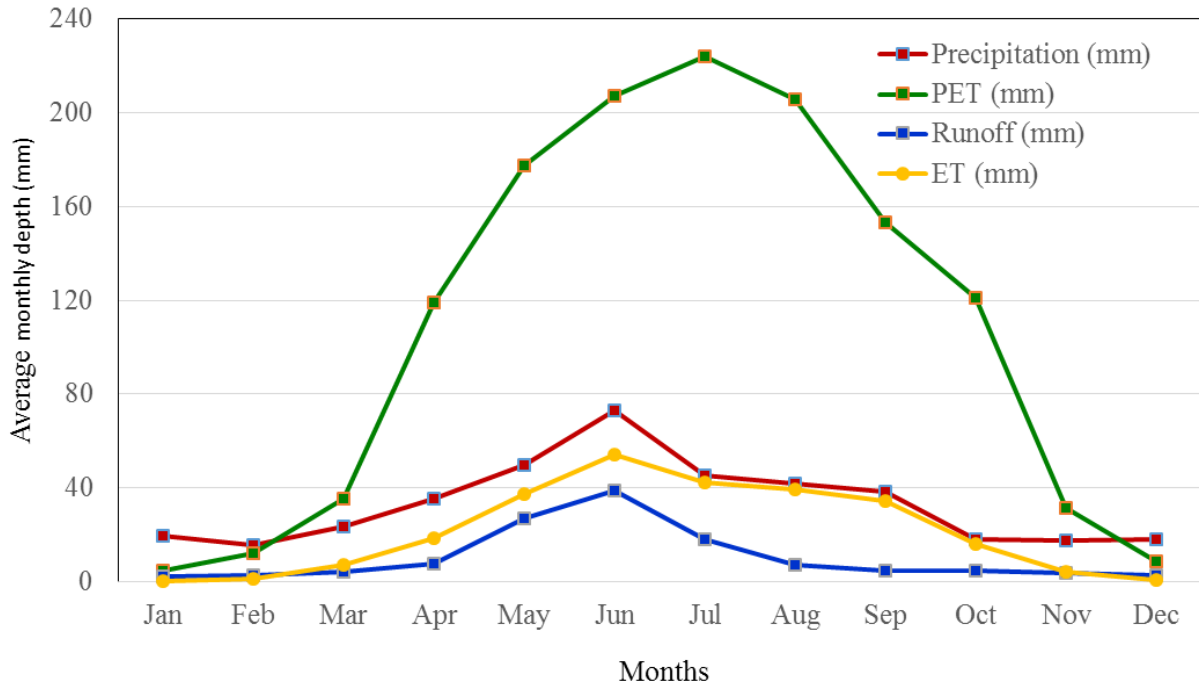
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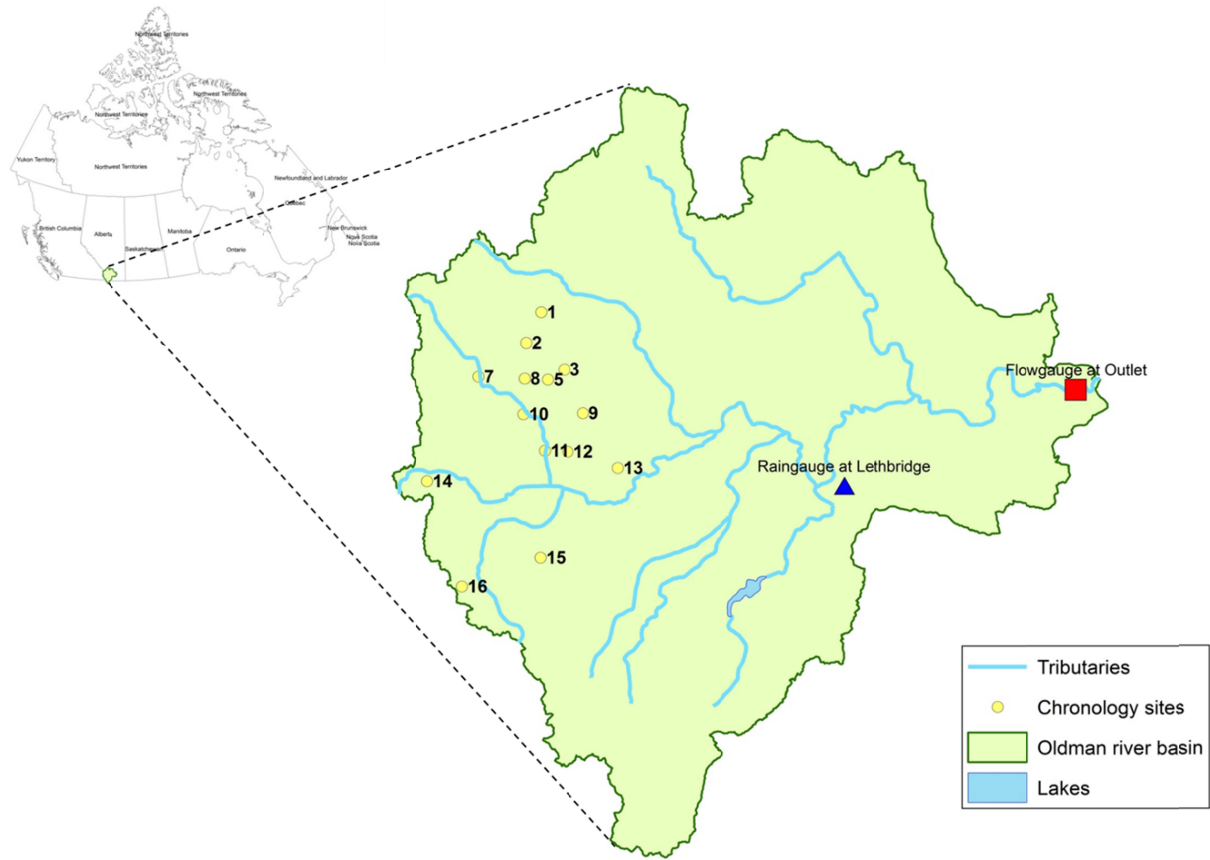
873 Figure 2. Average monthly values of water balance components in the Oldman River Basin  
 874 (1953-2001). Precipitation and runoff are based on measured values; PET is estimated using  
 875 Penman-Monteith method, and actual evapotranspiration (ET) is predicted using the conceptual  
 876 model developed in this study (introduced later in Section 5.2).

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882 Figure 3. The Oldman River Basin in southwestern Alberta, Canada. 16 TRC sites (listed in  
 883 Table 1) are shown along with the Precipitation gauge and the runoff sites. Sites 4, 6, and 8 are in  
 884 the same area but at different elevations.

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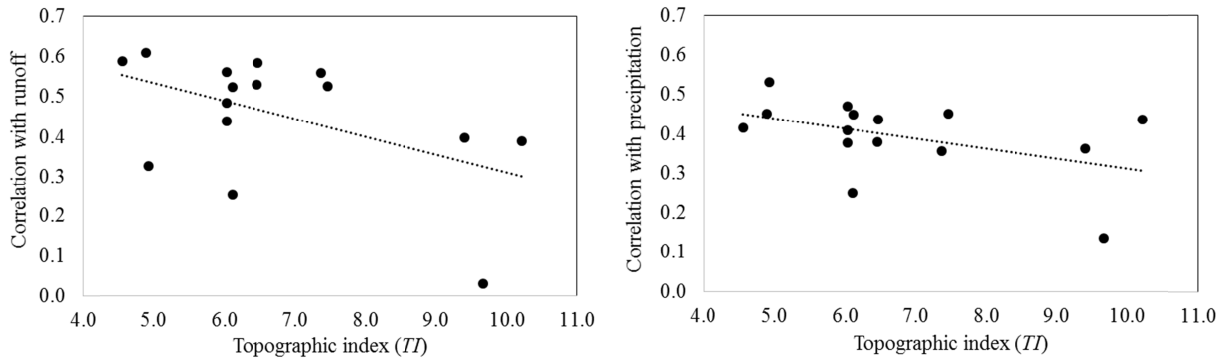
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900 Figure 4. Topographic index and correlation between *TRCs* and hydrological variables at various  
901 sites in the OMRB. There is obvious trends showing that the higher the topographic index values  
902 (potentially wetter sites), the lower the correlation coefficient values between *TRCs* and  
903 hydrological variables.

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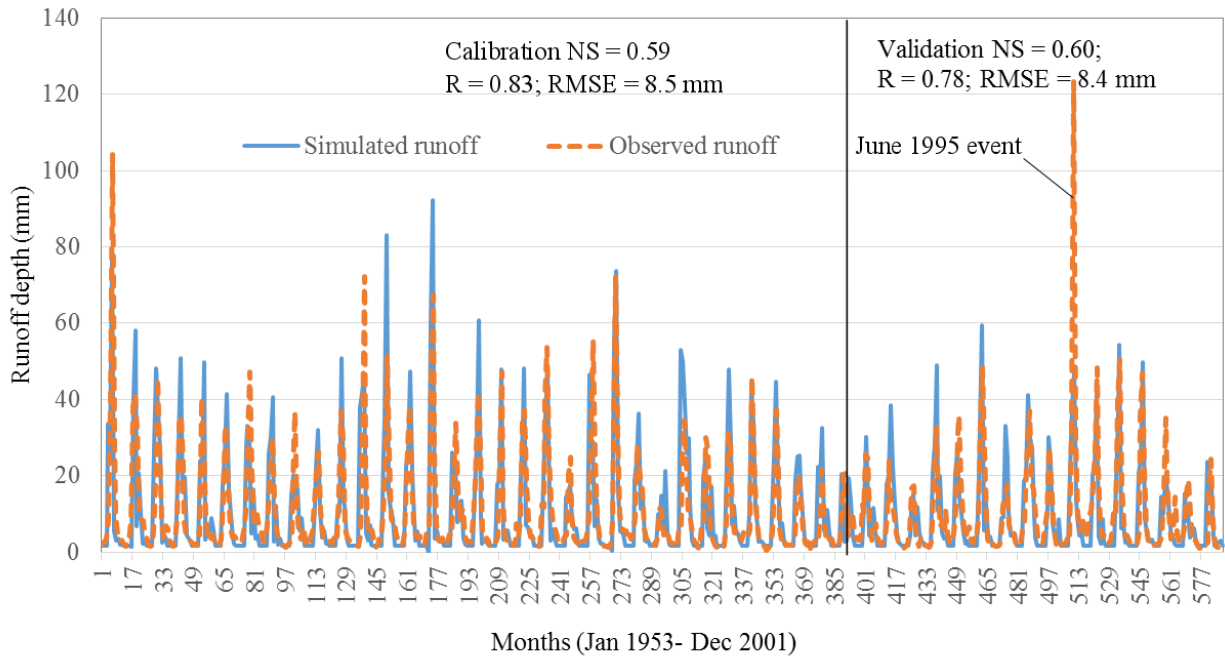
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920 Figure 5. Observed and simulated monthly runoff at the outlet of the OMRB, Alberta, Canada.

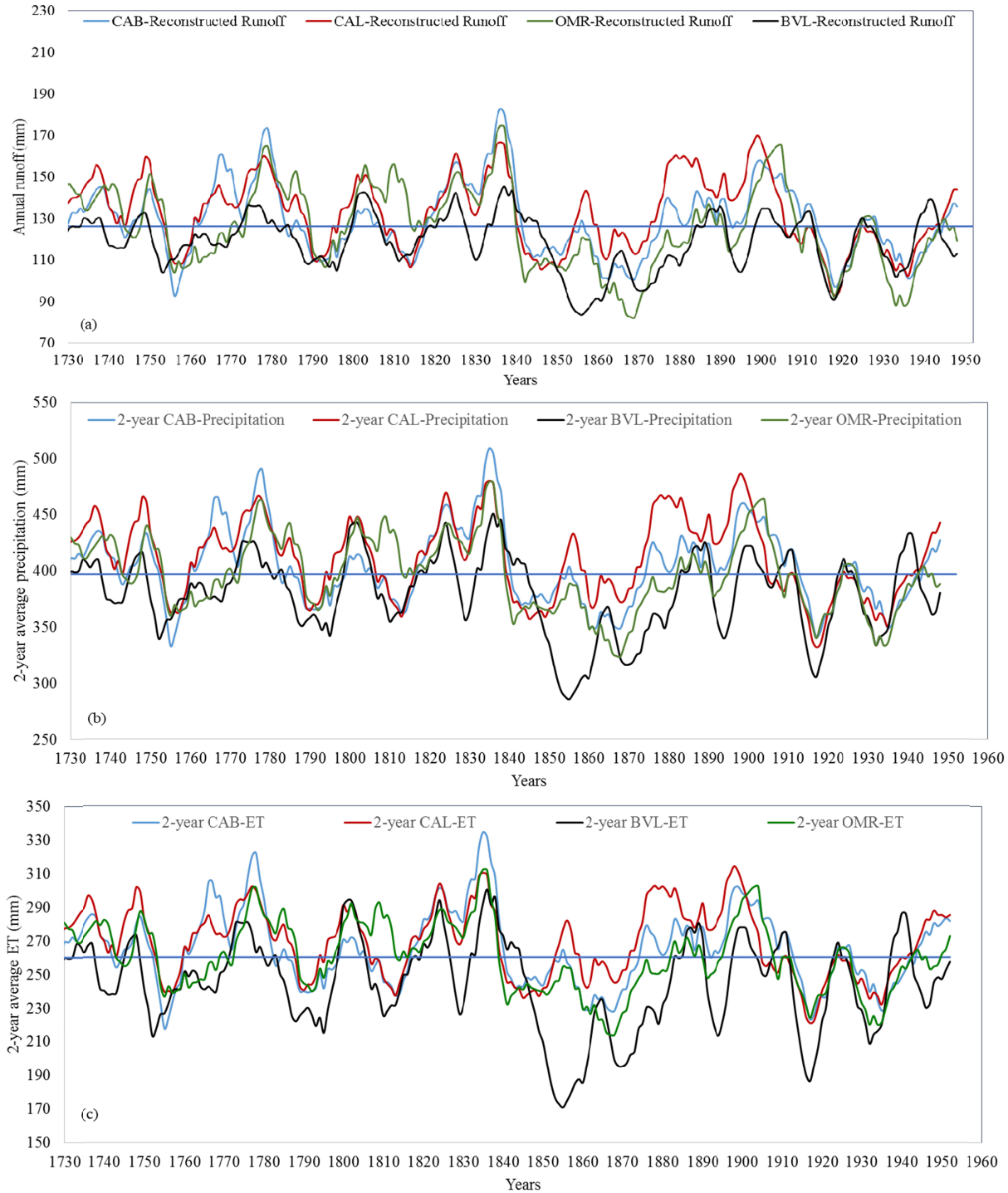
921 The developed conceptual model performs well in predicting the monthly runoff values with

922 Nash-Sutcliffe value of 0.60 and correlation coefficient of 0.78.

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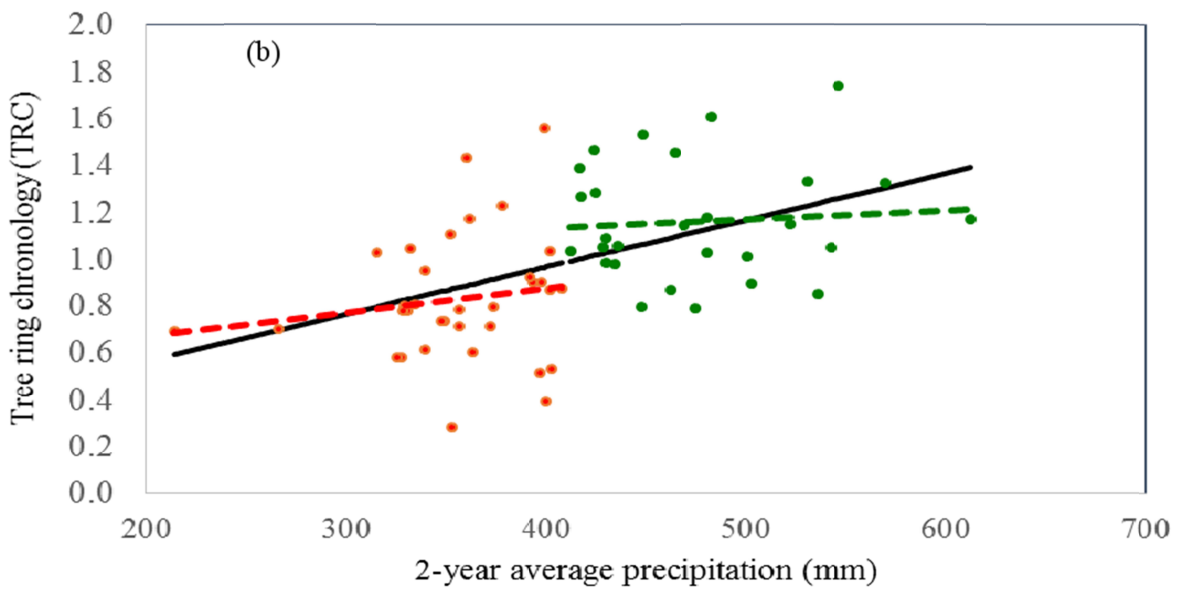
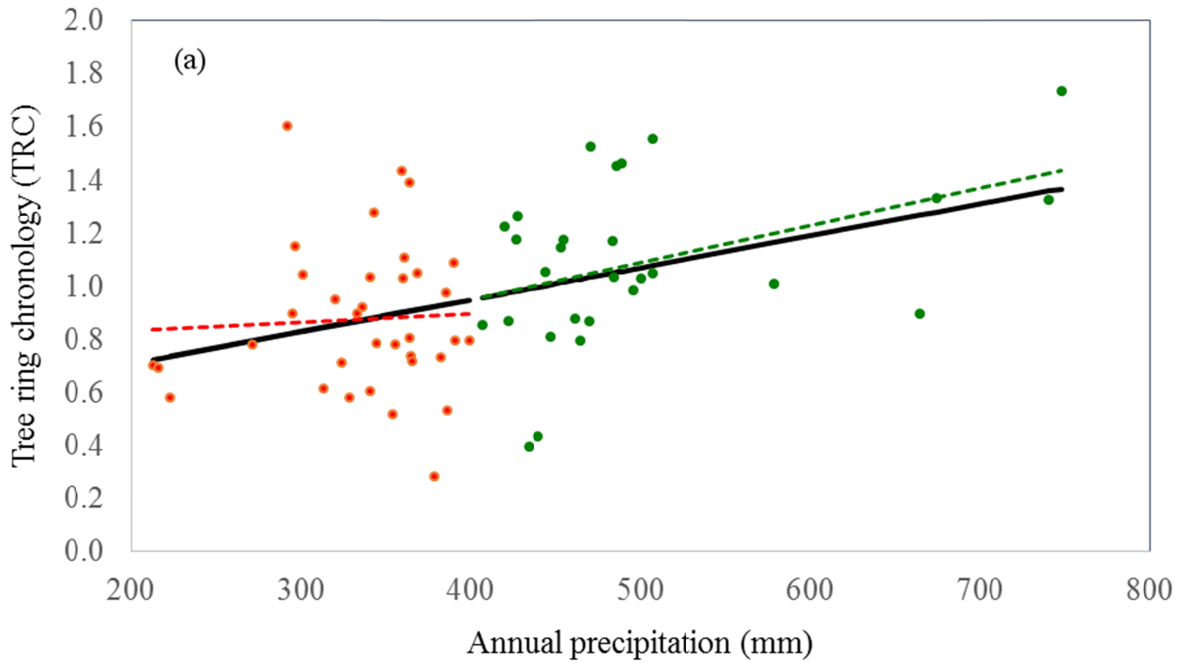


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Figure 6. 5-year running average of (a) reconstructed annual runoff,(b) 2-year average  
 928 precipitation, and (c) 2-year average evapotranspiration for the OMRB. The horizontal line  
 929 shows the mean value based on the instrumental period (1955-2001).

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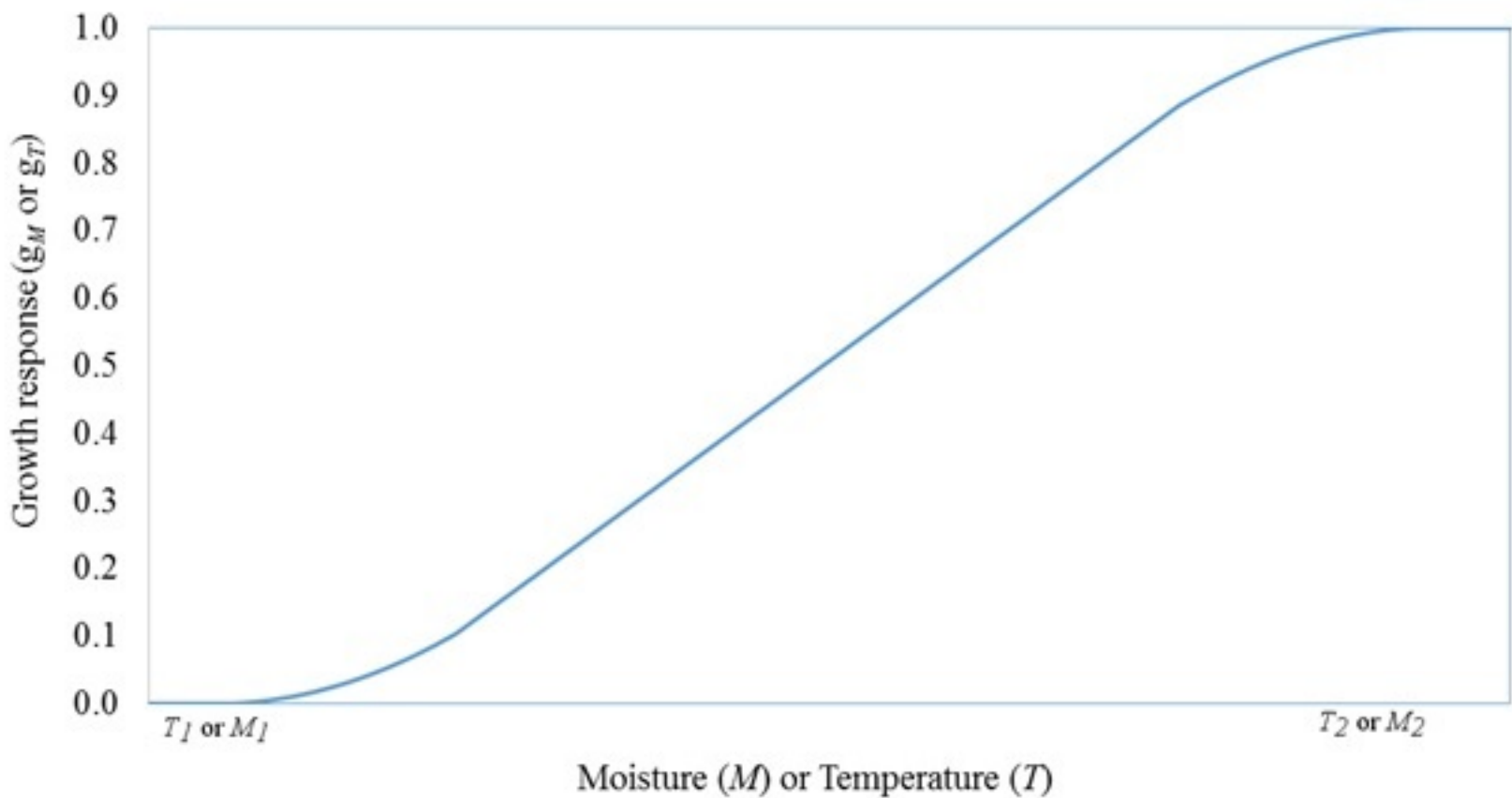


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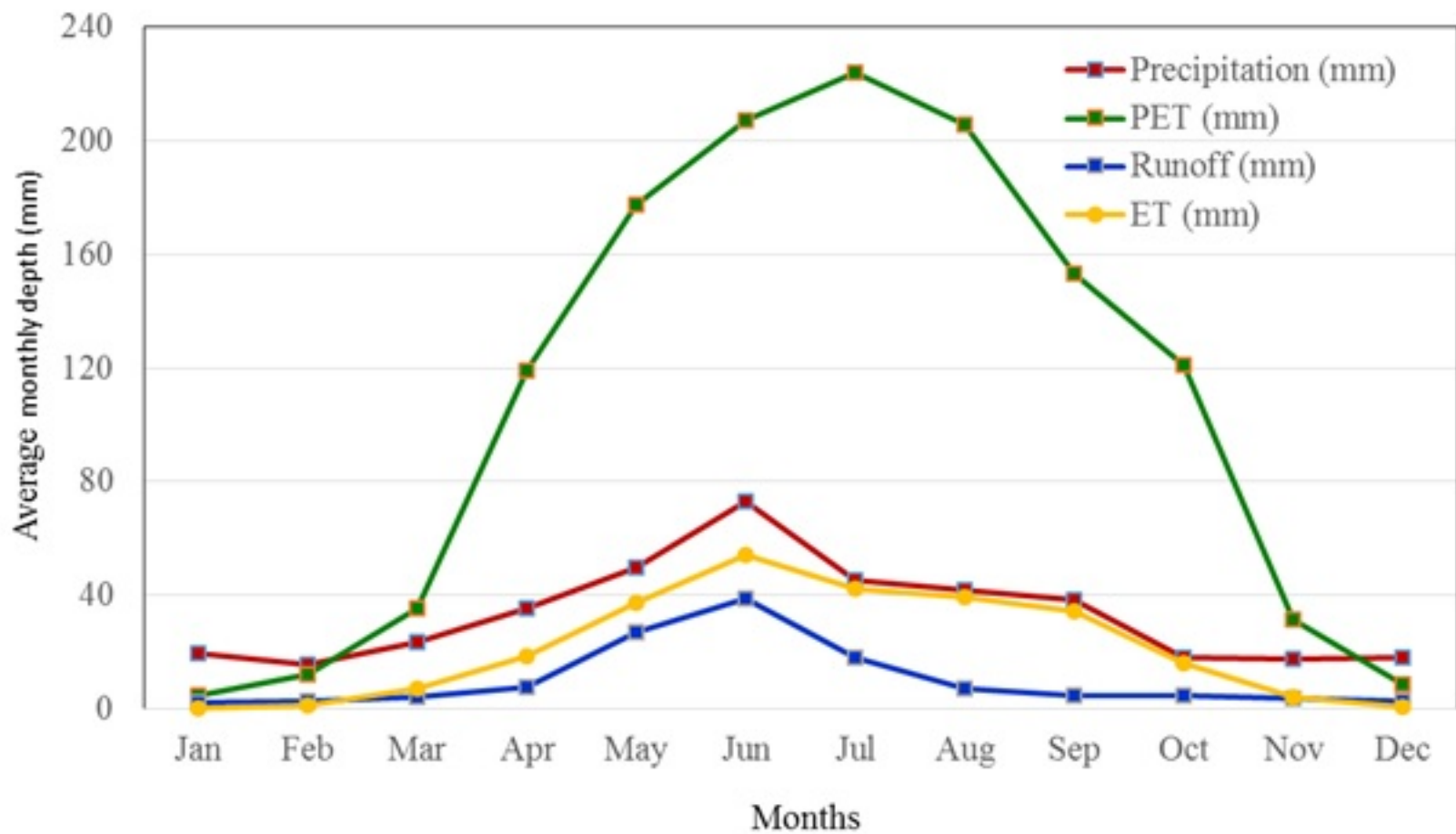
932 Figure 7. Overall trend as well as the trend lines over sub-regions of wet and dry years of (a)  
 933 annual precipitation and (b) 2-year average precipitation with respect to *TRCs* from the OMR  
 934 site. There are obvious differences between the trend based on the entire record and zonal trends  
 935 based on wet and dry years separately.

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**Figure 1. Figure**

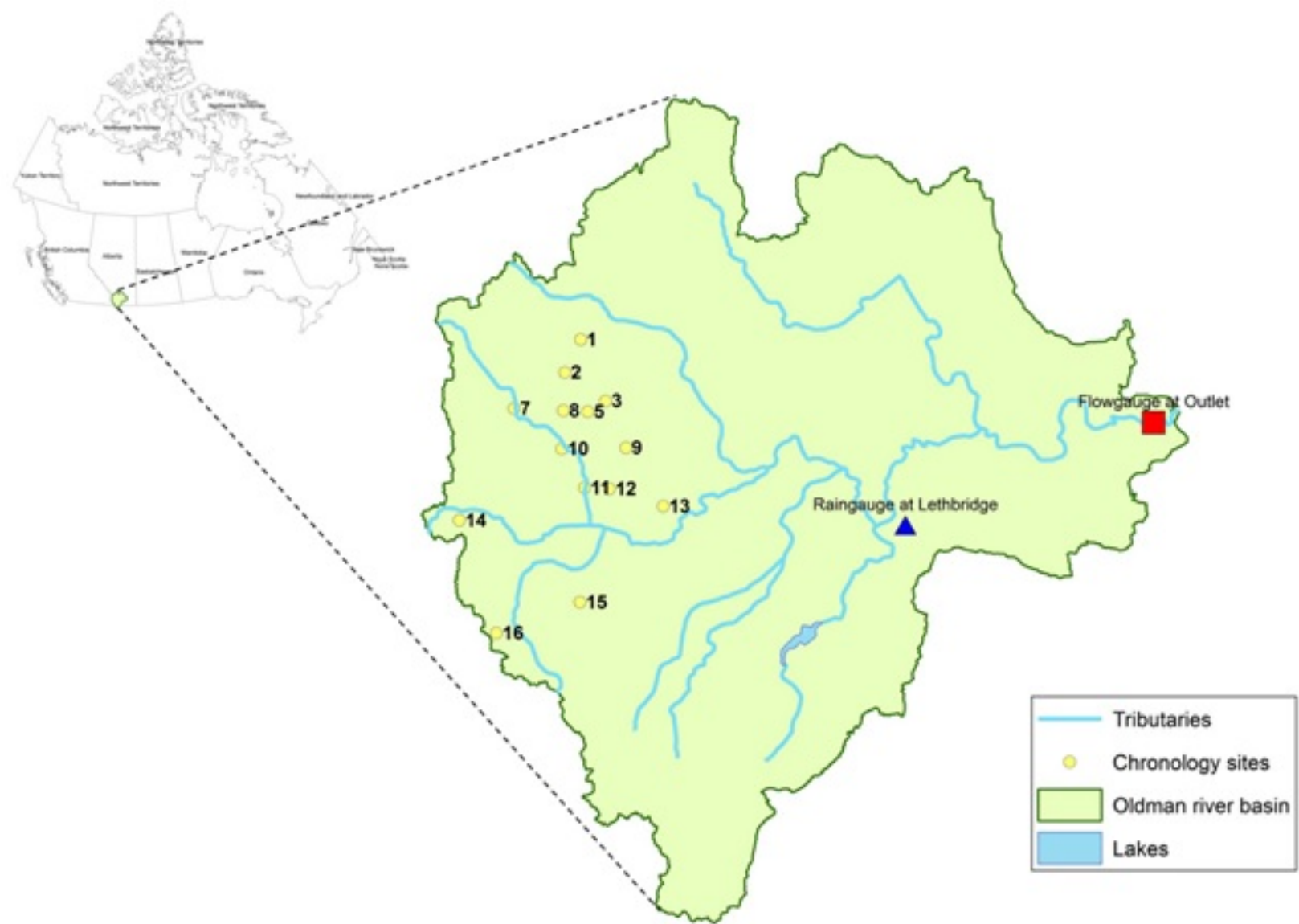


**Figure 2. Figure**

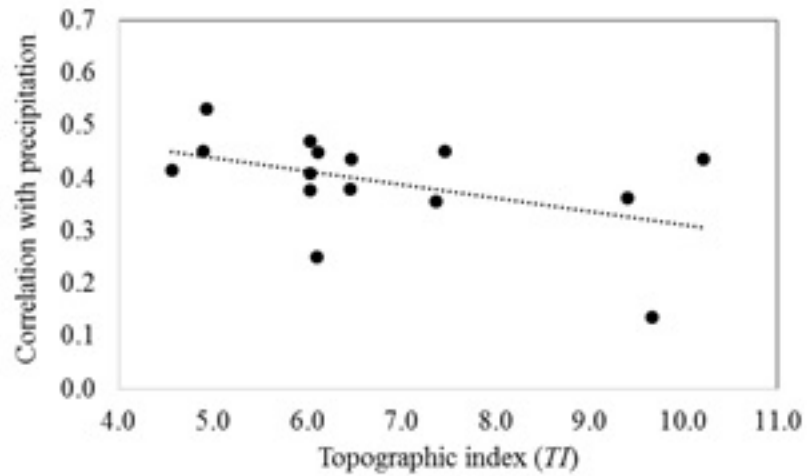
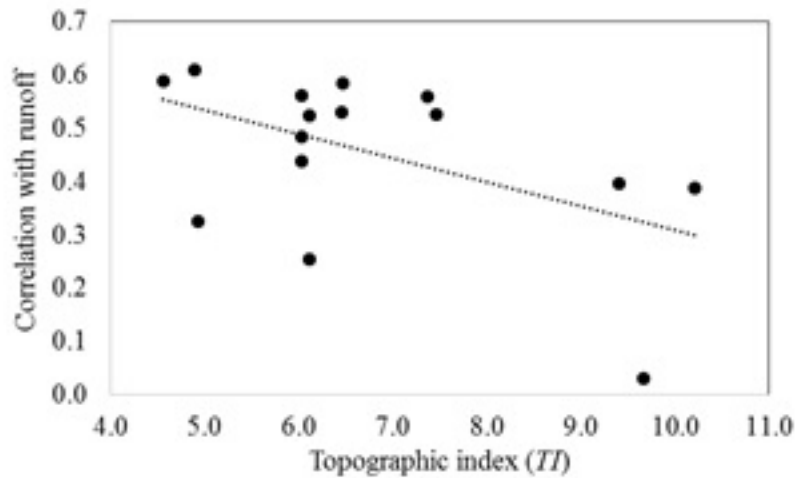




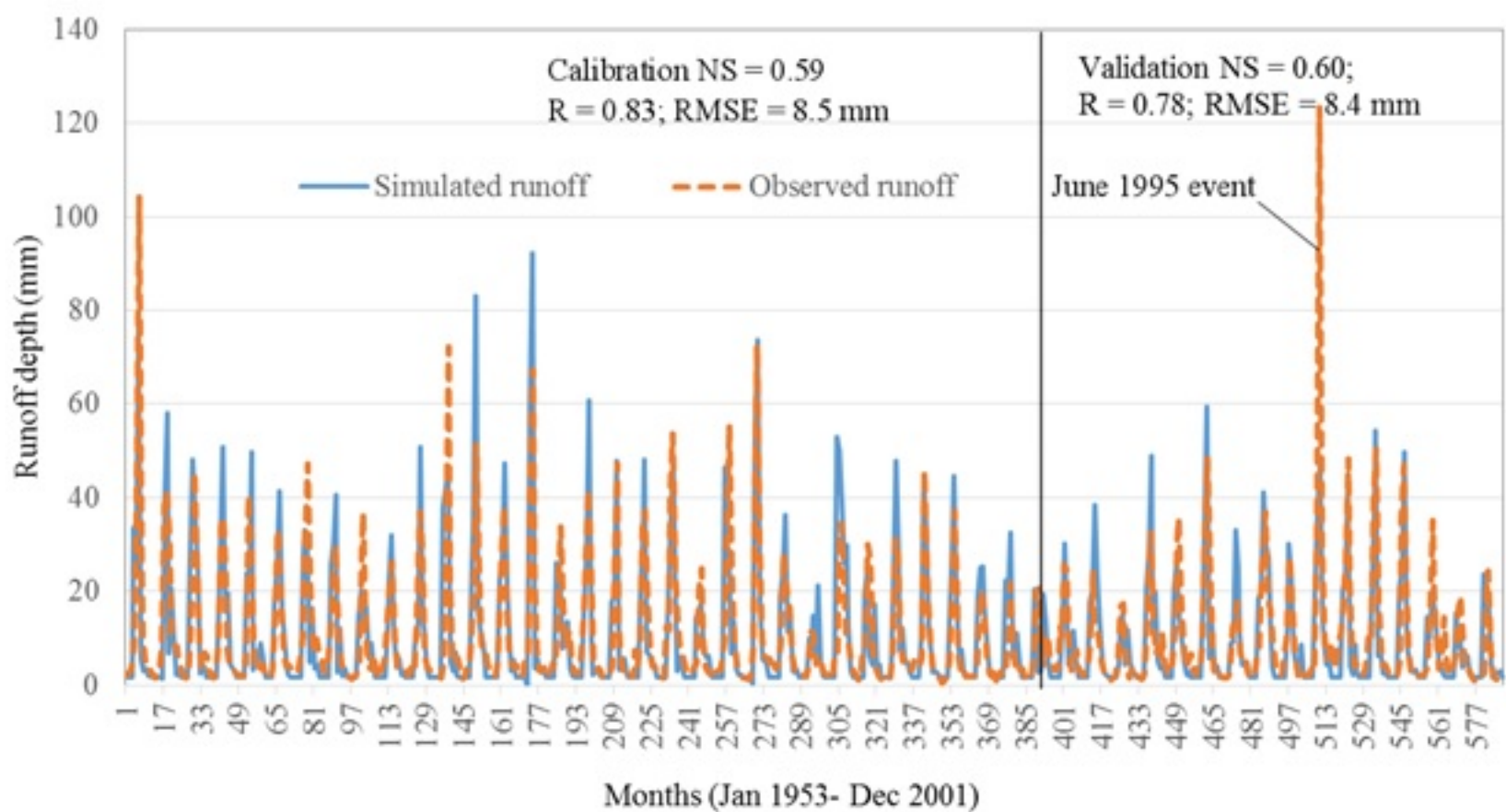
**Figure 3. Figure**



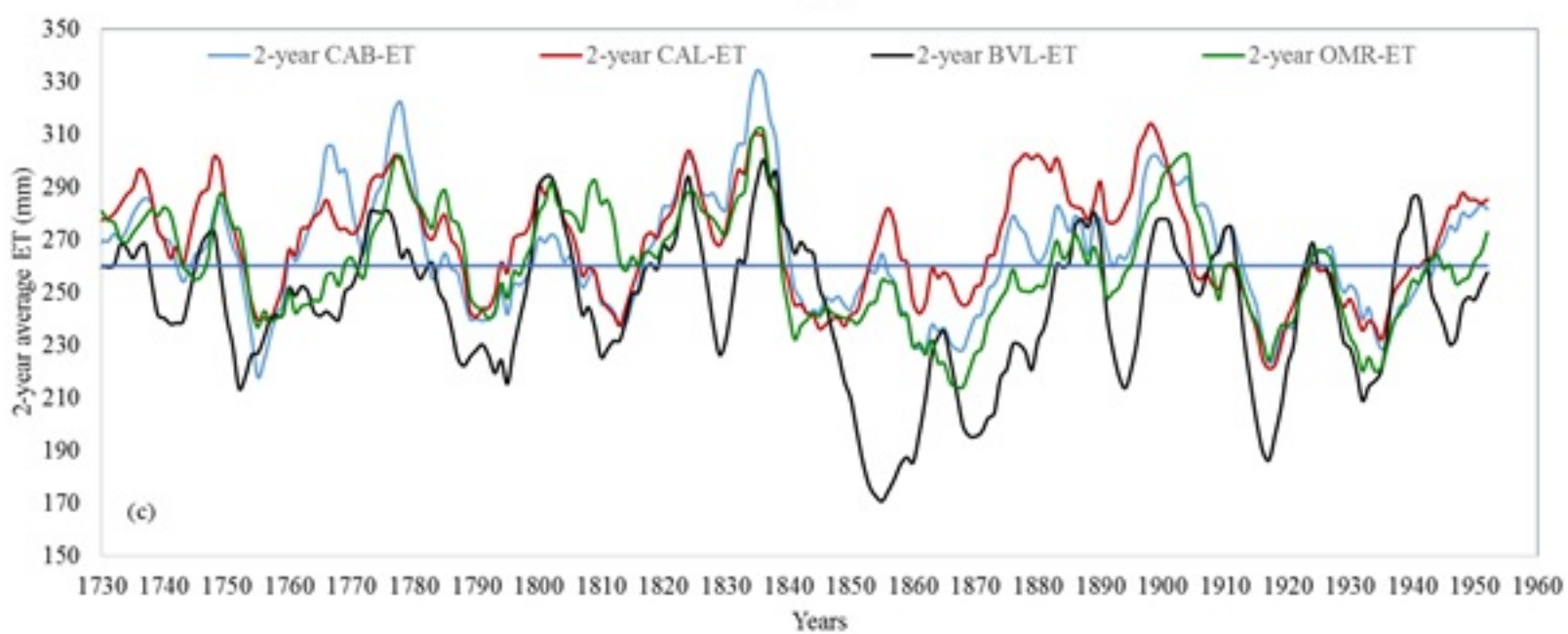
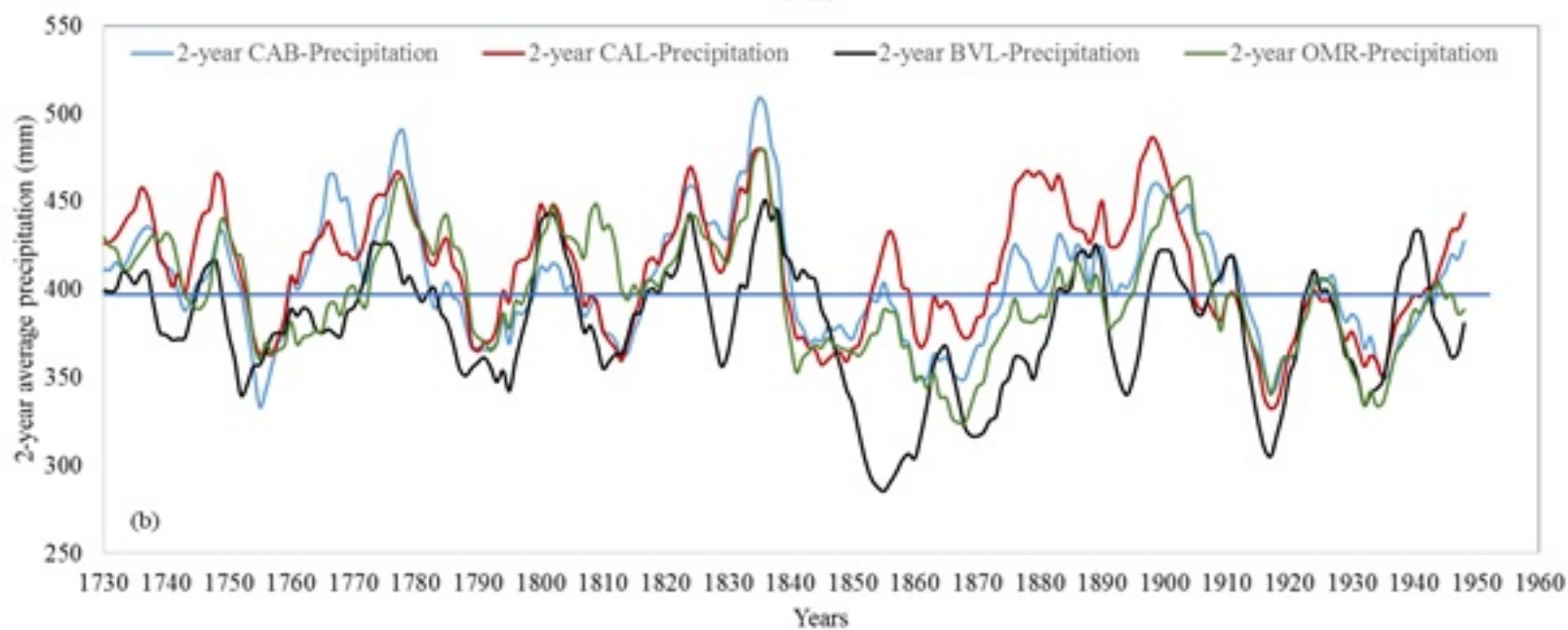
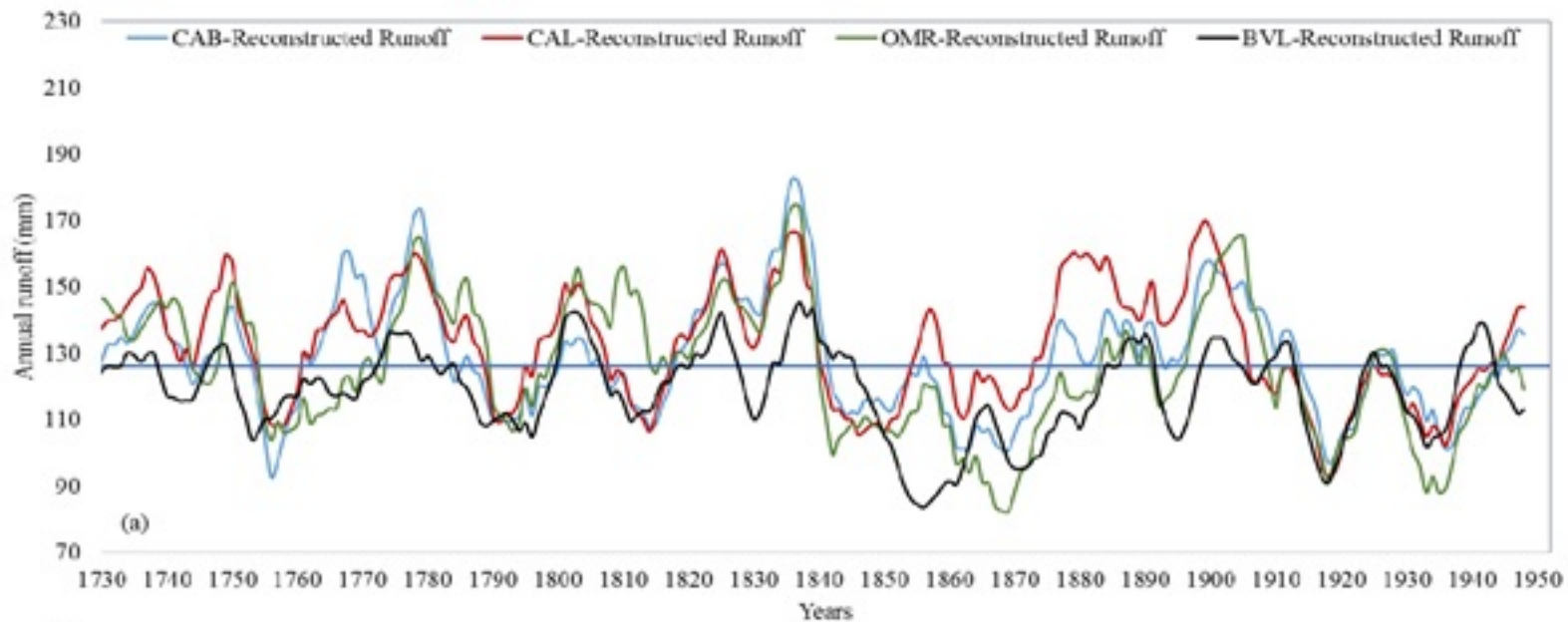
**Figure 4. Figure**



**Figure 5. Figure**



**Figure 6. Figure**





**Figure 7. Figure**

