

**Budyko framework  
towards non-steady state conditions**

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# 1        **Budyko framework; towards non-steady state conditions**

## 2        **Abstract**

3        The Budyko framework was first developed to estimate actual evaporation as a function of  
4        precipitation and the aridity index at steady state conditions. Based on this framework, the  
5        water storage change in the watershed is assumed to be negligible at large spatial and  
6        temporal scales. However, steady state conditions are not valid for many watersheds  
7        worldwide or at finer temporal or spatial scales. Accordingly, the application of the Budyko  
8        framework has become challenging for these situations. Therefore, many researchers have  
9        tried to extend the Budyko framework for non-steady state conditions. The aim of this  
10       study is to provide a review of the extended equations and to discuss about using the  
11       Budyko framework in a changing world. While the extended equations are more complex  
12       than the original ones, they require less data. Thus, the Budyko framework, either the  
13       original or the extended can be a very useful tool for hydrological modeling with lots of  
14       applications, especially in data scarce regions.

## 15       **Keywords**

16       Budyko, Aridity index, Hydrological Modeling, Anthropogenic Activities, Non-steady  
17       state conditions.

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## 18 1-Introduction

19 Estimating water balance components is an important part of hydrological modeling. The  
20 relationship between mean annual precipitation, actual and potential evaporation and  
21 runoff at watershed scale was explained by several physical, empirical and statistical  
22 hydrological models (Budyko, 1974, 1958; Fu, 1981; Gerrits et al., 2009; Mezentsev, 1955;  
23 Porporato et al., 2004; Yang et al., 2008). Hydrological models can be classified into  
24 lumped and distributed models, where lumped models are often simpler in favor or less  
25 computation time in comparison to distributed models. In spite of considerable progress in  
26 technology and computational power, the calibration of fully distributed models with many  
27 parameters is still a challenging issue with the problems of equifinality (Beven, 1996,  
28 1993).

29 The Budyko framework can be considered as a lumped model and is a quick first-order  
30 estimate of precipitation partitioning into evaporation and runoff. It is simple and has little  
31 input requirements compared to complex hydrological models, such as the semi-distributed  
32 SWAT (Arnold et al., 1998) or the fully-distributed model AFFDEF (Moretti and  
33 Montanari, 2007). Next to giving a first-order estimate of evaporation (Gerrits et al., 2009;  
34 Tekleab et al., 2011; Zhang et al., 2008), the Budyko framework is also used for studying  
35 the sensitivity of runoff to changes in climate variables and characteristics of the  
36 catchments (Liu et al., 2013; Sankarasubramanian and Vogel, 2002, 2001; Sun et al., 2014;  
37 Yang et al., 2014), investigate the impact of climate change on the hydrological response  
38 of catchments and long-term water availability for water resources management (Donohue  
39 et al., 2007; Liu and Yang, 2010; Mcvicar et al., 2007; Teng et al., 2012), and separating

40 the impact of natural climate change and direct human activities on the change in mean  
41 annual runoff (Jiang et al., 2015; Roderick and Farquhar, 2011; Wang and Hejazi, 2011).

42 While the origins of the Budyko framework are ranging back to the beginning of the 20th  
43 century (Ol'dekop, 1911; Schreiber, 1904), the framework was firstly developed by  
44 Budyko (1958), who introduced a simple relationship between mean annual actual  
45 evaporation, mean annual precipitation and aridity index at the watershed scale, known as  
46 the Budyko curve. He assumed that mean annual evaporation is controlled by water  
47 availability, approximated by precipitation and atmospheric demand, represented by net  
48 radiation. In very dry regions of the world with sufficient energy available for evaporation,  
49 annual evaporation may approach annual precipitation (water limitation). On the contrary,  
50 in very wet regions, annual evaporation may approach atmospheric demand or potential  
51 evaporation (energy limitation). Depending on the dryness of the region, the available  
52 water or the available energy limits evaporation as expressed by the following equations  
53 (Budyko, 1958):

$$\frac{E}{P} \rightarrow 1 \text{ when } \frac{R_n}{P} \rightarrow \infty \text{ (very dry conditions)} \quad (1)$$

54

$$E \rightarrow R_n \text{ when } \frac{R_n}{P} \rightarrow 0 \text{ (very wet conditions)} \quad (2)$$

55 in which,  $E$ ,  $P$ , and  $R_n$  are mean annual evaporation, mean annual precipitation and net  
56 radiation. The Budyko framework is obtained based on the water and energy balance, as  
57 described by Arora (2002):

$$\frac{dS}{dt} = P - Q - E \quad (3)$$

58

$$R_n = \rho\lambda E + H + G \quad (4)$$

59 where  $dS$  is the water storage change over time  $dt$ ,  $Q$  is the catchment runoff,  $\lambda$  is the latent  
60 heat of vaporization,  $\rho$  is the density of water,  $H$  the sensible heat flux, and  $G$  the ground  
61 heat flux. At mean annual scale, the water storage change over time ( $dS/dt$ ) and net ground  
62 heat flux ( $G$ ) is assumed to be negligible. Furthermore, it is assumed that the sensible heat  
63 flux is positive. Dividing equation 4 by  $P$ , the following equation is obtained:

$$\frac{R_n}{P} = \frac{\rho\lambda E}{P} + \frac{H}{P} \quad (5)$$

64 By considering  $R_n = \rho\lambda E_p$  and  $B_r = \frac{H}{\rho\lambda E}$  ( $B_r$ : Bowen ratio), equation 5 can be rewritten  
65 as:

$$\frac{E_p}{P} = \frac{E}{P} + \frac{B_r E}{P} = \phi = \frac{E}{P} (1 + B_r) \quad (6)$$

66 The Bowen ratio is a function of the aridity index ( $\phi = \frac{E_p}{P}$ ). Therefore, by rearranging  
67 equation 6, the general Budyko equation is obtained:

$$\frac{E}{P} = \frac{\phi}{1 + f(\phi)} = F(\phi) = F\left(\frac{E_p}{P}\right) \quad (7)$$

68 Equation 7 is the so-called Budyko hypothesis, which was first introduced by Schreiber  
69 (1904) and written in this form by Arora (2002). This equation indicates that the water  
70 balance is mainly controlled by the macro-climate of the catchment. However, several  
71 researchers suggested that the water balance is also controlled by dynamic interactions  
72 between climate, soil and vegetation characteristics (Donohue et al., 2007; Li et al., 2013;  
73 Milly, 1994; Padrón et al., 2017; Potter et al., 2005; Williams et al., 2012; Xu et al., 2013)  
74 and hence some different curves were provided accordingly. Additionally, the Budyko

75 framework was firstly developed for the steady state conditions in the catchments. In these  
76 conditions, the watershed must be natural, closed and the only source of available water  
77 for evaporation is the local precipitation (Du et al., 2016). Furthermore, the water storage  
78 change in the watershed is assumed to be negligible at large spatial and temporal scales.  
79 However, for many watersheds worldwide or at finer temporal or spatial scales, the steady  
80 state conditions are not valid. Many previous studies showed that hydrological processes  
81 are under influence of natural and anthropogenic change (Frans et al., 2013; Istanbuluoglu  
82 et al., 2012; Li et al., 2014; Vogel et al., 2011; Zhang and Schilling, 2006). The human  
83 interference with nature such as urbanization, groundwater withdrawal, deforestation, and  
84 land cover alteration caused significant changes in the natural hydrological cycle and water  
85 balance of most catchments worldwide. For example, transferring water from another basin  
86 through the inter-basin water transfer projects (Bonacci and Andri, 2010) or applying water  
87 as irrigation for the water requirement of the crops in dry regions (Gordon et al., 2005)  
88 would increase water availability for evaporation. Such situations caused a new concept to  
89 be emerged in the context of hydrology: socio-hydrology (Sivapalan et al., 2012), in which  
90 human activities are taking into account as a central part of hydrological modeling.  
91 Furthermore, at finer temporal scales, high variability of the water storage content becomes  
92 an important issue of the water balance in the Budyko framework (Wang et al., 2009;  
93 Yokoo et al., 2008; Zhang et al., 2008). Therefore, most watersheds are under non-steady  
94 state conditions, for which the application of the original Budyko framework has become  
95 challenging. As a consequence, many researchers have tried to extend the Budyko  
96 framework to be applicable for non-steady state conditions.

97 An extensive review of the advances in hydrological modeling with the Budyko framework  
98 has been provided by Wang et al. (2016) mainly for steady state conditions with little focus  
99 on non-steady state conditions. Therefore, in this paper, we focus on the advances in the  
100 Budyko framework for non-steady state conditions. However, for better understanding the  
101 non-steady state conditions, we first provide a short history of the Budyko curves for steady  
102 state conditions in Section 2. Both parametric and non-parametric equations will be  
103 discussed and then the non-steady state equations will be provided in Section 3. In Section  
104 4, we discuss the way the Budyko framework may be matured and converted to a robust  
105 tool in prediction processes.

106

## 107 **2-Budyko framework under steady state conditions: a short overview**

### 108 **2-1-Non-parametric equations**

109 Schreiber (1904) developed the first Budyko equation to model annual flow, without any  
110 explicit knowledge about the physical base of the framework:

$$\frac{Q}{P} = \exp\left(-\frac{k}{P}\right) \quad (8)$$

111 where  $k$  is an empirical constant. Ol'dekop (1911) rewrote Schreiber's equation by  
112 replacing the empirical constant by long-term average potential evaporation and proposed  
113 the following equation, which is a function of the aridity (Andréassian et al., 2016):

$$\frac{E}{P} = 1 - \exp\left(-\frac{E_p}{P}\right) = 1 - \exp(-\phi) \quad (9)$$

114 This equation shows that evaporation depends on the available water ( $P$ ) and the potential  
115 evaporation ( $E_p$ ). Afterward, by analyzing the data in some catchments in Russia, Ol'dekop  
116 (1911) found that the evaporation ratio could be better described by a hyperbolic tangent -

117 function instead of an exponential one. He suggested that the curve must have “a slope of  
 118 45° for the tangent at the origin, [and] the slope must then decrease until finally, the curve  
 119 turns parallel to the abscissa axis” (Andréassian et al., 2016; Ol’dekop, 1911). Then, based  
 120 on the data from several catchments, he found that the hyperbolic tangent is the most  
 121 suitable function and thus, he provided the following equation:

$$\frac{E}{P} = \phi \tanh\left(\frac{1}{\phi}\right) = \frac{E_p}{P} \tanh\left(\frac{P}{E_p}\right) \quad (10)$$

122 Further, based on empirical evidence, Budyko (1948) found that the data lay between the  
 123 curves of Schreiber (1904) and Ol’dekop (1911) and, therefore, he suggested a new  
 124 equation which was the geometrically the mean of those two equations.

$$\frac{E}{P} = \left(\frac{E_p}{P} \tanh\left(\frac{P}{E_p}\right) (1 - \exp(-\frac{E_p}{P}))\right)^{0.5} \quad (11)$$

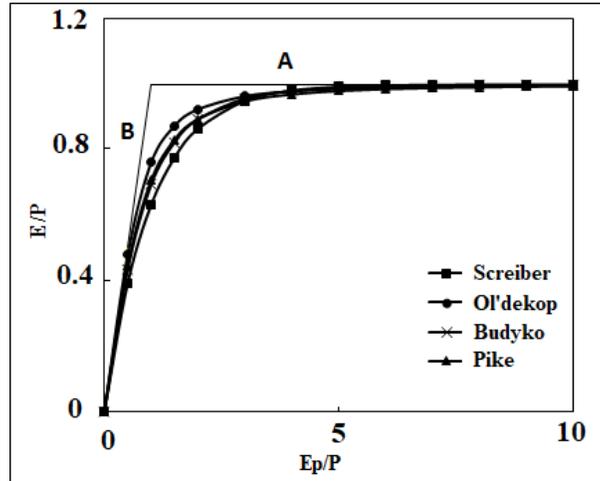
125 Based on more data, Budyko (1951) and Budyko and Zubenok (1961) found that the  
 126 proposed curve was applicable for large basins at the long-term mean annual time scale.  
 127 Afterwards other researchers developed new equations in various forms within the Budyko  
 128 framework. For example, based on new data and considering the constraints of water and  
 129 energy availability (Andreassian and Sari, 2019), Turc (1954) empirically proposed, the  
 130 following equation:

$$\frac{E}{P} = \frac{1}{\sqrt{0.9 + \left(\frac{1}{\phi}\right)^2}} = \frac{1}{\sqrt{0.9 + \left(\frac{P}{E_p}\right)^2}} \quad (12)$$

131 This equation was updated by Pike (1964), who found that replacing 0.9 by 1 in equation  
 132 12 gave better results. The new equation was named as Turc-Pike equation. The equations

133 mentioned above (equations 9-12) have a numerical behavior in a similar manner (Fig. 1)  
 134 (Arora, 2002).

135



136

137 **Figure 1- The non-parametric Budyko curves. “A” and “B” are asymptotes representing the water-**  
 138 **limited and energy-limited lines, respectively.**

139 **2-2- Parametric equations**

140 Some researchers attempted to feed the equations by more physics and provide theoretical  
 141 and physical support for the Budyko framework. A summary of these attempts is provided  
 142 in Table 1. Accordingly, Fu (1981) developed a new analytical model based on  
 143 phenomenological considerations with dimensional analysis and mathematical reasoning.

144 The new model is expressed as follows (Zhang et al., 2004):

$$\frac{E}{P} = 1 + \frac{E_p}{P} - \left[ 1 + \left( \frac{E_p}{P} \right)^\omega \right]^{\frac{1}{\omega}} \quad (13)$$

145 In this equation,  $\omega$  is the model parameter representing the catchment characteristics ( $\omega \in$   
 146  $[1, \infty)$ ).

147

148 By assuming that the potential evaporation rate is constant, the arrival of precipitation  
149 events has a Poisson distribution, the events are instantaneous, and that the storm depths  
150 are independent with an exponential distribution, Milly (1993) developed the following  
151 equation:

$$\frac{E}{P} = \frac{\exp\left[\alpha\left(1 - \frac{P}{E_p}\right)\right] - 1}{\exp\left[\alpha\left(1 - \frac{P}{E_p}\right)\right] - \frac{P}{E_p}} \quad (14)$$

152 with  $\alpha$  the ratio of soil water holding capacity to the mean storm depth. Milly's work  
153 indicated that the storage capacity of the root zone has an important role in controlling  
154 evaporation.

155

156 Later, Milly (1994) indicated that for a constant climate (no seasonality), evaporation is  
157 equal to the maximum of precipitation or potential evaporation. It can be stated that when  
158 precipitation and potential evaporation are in phase (out of phase), the catchments plot  
159 closer to (away from) the asymptotes (Budyko and Zubenok, 1961). Milly (1994)  
160 mentioned that other reasons for this deviation are the water-holding capacity of the root  
161 zone, infiltration capacity of the soil, and the rate of water flow toward the plant roots. He  
162 further proposed and tested a supply–demand-storage hypothesis, in which the long-term  
163 water balance is determined only by the interaction between local precipitation (as supply)  
164 and potential evaporation (as demand), mediated by soil water storage. According to his  
165 proposed hypothesis, the partitioning of mean annual precipitation into runoff and  
166 evaporation is under the influence of seven dimensionless variables.

167

168 Choudhury (1999) attempted to assess if the non-parametric empirical equations are  
 169 independent of the spatial scale. For this purpose, he investigated the effects of spatial  
 170 variations of precipitation and net radiation ( $R_n$ ) on evaporation using a generalized form  
 171 of the empirical equation of Pike (1964). Choudhury (1999) added an adjustable parameter  
 172  $a$  which is related to the characteristics of soil, topography, and vegetation of the catchment  
 173 (Xu et al., 2014) and changes between spatial scales of micrometeorological measurements  
 174 (areas ca. 1 km<sup>2</sup>) and large river basins (areas ca. 10<sup>6</sup> km<sup>2</sup>).

$$\frac{E}{P} = \frac{1}{\left(1 + \left(\frac{P}{R_n}\right)^a\right)^{\frac{1}{a}}} \quad (15)$$

175  
 176 Zhang et al. (2001) found that plant-available water coefficient ( $w$ ), which is representative  
 177 of the type of vegetation, has an important role on partitioning precipitation into  
 178 evaporation and runoff and proposed the following equation:

$$\frac{E}{P} = \frac{1 + w \frac{E_p}{P}}{1 + w \frac{E_p}{P} + \left(\frac{E_p}{P}\right)^{-1}} \quad (16)$$

179 Sankarasubramanian and Vogel (2002) used the “abcd” model and developed an  
 180 expression for evaporation ratio ( $\frac{E}{P}$ ) according to a new soil moisture storage index ( $\gamma$ ),  
 181 with better fitting and fitted better to the observations than the Budyko-type equations  
 182 (Schreiber, Ol’dekop, Turc-Pike):

$$\frac{E}{P} = \frac{1}{2} \{1 + \gamma(1 - R) - [1 - 2\gamma(1 - R) + \gamma^2(1 - 2R + R^2)]^{0.5}\} \quad (17)$$

183 In this equation,  $\gamma = b/P$ , ( $b$  is the model parameter),  $R = \exp(-\phi/\gamma)$  and  $\phi = \frac{E_p}{P}$ . They  
 184 mentioned that the abcd model contains a soil moisture accounting component and  
 185 therefore equation 17 could incorporate the impact of soil moisture changes for the long-  
 186 term water balance of the catchment.

187 Considering the effect of both the frequency and depth of the rainfall events on the soil  
 188 water balance and incorporating the soil properties (i.e., maximum soil water storage  
 189 capacity ( $w_0$ )), Porporato et al. (2004) proposed the following model:

$$\frac{E}{P} = 1 - \frac{\phi q^{\frac{q}{\phi}-1} \exp(-q)}{\Gamma\left(\frac{q}{\phi}\right) - \Gamma\left(\frac{q}{\phi}, q\right)} \quad (18)$$

190 in which,  $\phi = \frac{E_p}{P}$ ,  $q = \frac{w_0}{d}$  and  $d$  is mean depth per storm event. They found that for  $q =$   
 191 5.5, their model reproduces the Budyko (1948) curve very well.

192

193 Finally, Wang and Tang (2014) developed a one-parameter Budyko-type model for the  
 194 mean annual time scale based on a generalization of the proportionality hypothesis of the  
 195 Soil Conservation Service (SCS) model. The new-introduced parameter of their model ( $\varepsilon$ )  
 196 is defined as the ratio of the initial evaporation ratio and Horton index (Wang and Tang,  
 197 2014). The Horton index is the ratio between evaporation and catchment wetting (water  
 198 available for evaporation) (Horton, 1933; Troch et al., 2009), and is relatively constant  
 199 from year-to-year and is controlled by the vegetation properties (Troch et al., 2009; Voepel  
 200 et al., 2011). Accordingly, they provided the following equation:

$$\frac{E}{P} = \frac{1 + \frac{E_p}{P} - \sqrt{\left(1 + \frac{E_p}{P}\right)^2 - 4\varepsilon(2 - \varepsilon)} \frac{E_p}{P}}{2\varepsilon(2 - \varepsilon)} \quad (19)$$

201 Despite the development of several Budyko equations, Zhou et al. (2015) believed that a  
 202 simpler method to generate Budyko functions was needed, which meets the water and  
 203 energy constraints. Thus, they incorporated the complementary relationship. They  
 204 suggested that their complementary relationship could be applied for evaluating impacts of  
 205 change in climate and/or catchment characteristics on hydrological response of the  
 206 catchment. Moreover, their proposed function can be used to develop any number of valid  
 207 Budyko functions and/or to test the validity of the existing functions.

208

209 It should be mentioned that in addition to the studies that developed a new model to take  
 210 different physical factors (such as vegetation, soil moisture, topography, rainfall  
 211 characteristics) into account, many other researchers tried to investigate the effect of these  
 212 factors on the water balance of the catchments, through the Budyko framework (Donohue  
 213 et al., 2010, 2007; Dooge et al., 1999; Feng et al., 2012; Gerrits et al., 2009; Hickel and  
 214 Zhang, 2006; Mianabadi et al., 2019; Ning et al., 2017; Padrón et al., 2017; Potter et al.,  
 215 2005).

216 Table 1- Summary of non-parametric equations at steady state conditions.

Equation	Reference	Parameter	Representative for
			the catchment characteristics
$\frac{E}{P} = 1 + \frac{E_p}{P} - \left[ 1 + \left( \frac{E_p}{P} \right)^\omega \right]^{\frac{1}{\omega}}$	Fu (1981); Zhang et al. (2004)	$\omega$	modifying the partitioning of $P$ between $E$ and $Q$

$\frac{E}{P} = \frac{\exp\left[\alpha\left(1 - \frac{P}{E_p}\right)\right] - 1}{\exp\left[\alpha\left(1 - \frac{P}{E_p}\right)\right] - \frac{P}{E_p}}$	Milly (1993)	$\alpha$	storage capacity of the root zone
$\frac{E}{P} = \frac{1}{\left(1 + \left(\frac{P}{R_n}\right)^\alpha\right)^{\frac{1}{\alpha}}}$	Choudhury (1999)	$\alpha$	characteristics of soil, topography and vegetation of the catchment modifying the partitioning of $P$ between $E$ and $Q$
$\frac{E}{P} = \frac{1 + w \frac{E_p}{P}}{1 + w \frac{E_p}{P} + \left(\frac{E_p}{P}\right)^{-1}}$	Zhang et al. (2001)	$w$	type of vegetation (plant-available water)
$\frac{E}{P} = \frac{1}{2} \{1 + \gamma(1 - R) - [1 - 2\gamma(1 - R) + \gamma^2(1 - 2R + R^2)]^{0.5}\}$	Sankarasubramania n and Vogel (2002)	$\gamma$	soil moisture storage
$\frac{E}{P} = 1 - \frac{\phi q^{\frac{q}{\phi}-1} \exp(-q)}{\Gamma\left(\frac{q}{\phi}\right) - \Gamma\left(\frac{q}{\phi}, q\right)}$	Porporato et al. (2004)	$q$	soil properties and frequency and depth of the rainfall events on the soil water balance

$\frac{E}{P} = \frac{1 + \frac{E_p}{P} - \sqrt{(1 + \frac{E_p}{P})^2 - 4\varepsilon(2 - \varepsilon)\frac{E_p}{P}}}{2\varepsilon(2 - \varepsilon)}$	Wang and Tang (2014)	$\varepsilon$	vegetation properties
---	-------------------------	---------------	--------------------------

217

### 218 **3-Budyko framework under non-steady state conditions**

219 Generally, the Budyko framework is quite an applicable method for estimating the water-  
 220 energy balance of both gauged and ungauged catchments. But an important issue in its  
 221 applicability is that it assumes the catchments are under hydrological steady state  
 222 conditions, which are controlled by macro-climatic factors. This assumption can lead to  
 223 deviations from the observations when the Budyko hypothesis is applied for the finer  
 224 spatial and temporal scales. Thus the Budyko framework should be extended to have a  
 225 more accurate estimation of evaporation and runoff at finer spatial and temporal scales. In  
 226 this section, the Budyko models developed for the non-steady state conditions are  
 227 presented.

228 Han et al. (2011) stated that irrigation can be a large proportion of the lateral water inputs,  
 229 which contributes to the water supply available for evaporation. In their study basin, the  
 230 river water withdrawal is the main source of irrigation. Considering a study period with  
 231 stable annual mean groundwater table depth, Han et al. (2011) contributed irrigation ( $I$ )  
 232 into the water balance of the basin and extended the Fu equation as follows:

$$\frac{E}{P + I} = 1 + \frac{E_P}{P + I} - \left[ 1 + \left( \frac{E_P}{P + I} \right)^\tau \right]^{\frac{1}{\tau}} \quad (20)$$

233 In which,  $\tau$  ( $\in(1, \infty)$ ) (Fu, 1981; Yang et al., 2007) is the model parameter. Based on their  
234 results, the extended Budyko-type model performed well for 26 subregions in the study  
235 basin for estimation of evaporation at mean annual and interannual scales.

236 Wang (2012) mentioned that the extent to which the annual water balance is under the  
237 influence of water storage change is necessary to be examined by water storage data. Thus,  
238 he studied the effect of water storage changes ( $\Delta S_i$ ; including soil moisture, groundwater,  
239 and surface water changes) on the water balance at mean annual and interannual scales. He  
240 considered the total water storage change of a watershed ( $\Delta S_i$ ) as follows:

$$\Delta S_i = \Delta S_{sm,i} + \Delta S_{gw,i} + \Delta S_{sw,i} \quad (21)$$

241 He investigated the impact of water storage change on interannual water balance from 1982  
242 to 2003 water years ( $N = 22$  years). His results showed that the ratio of the annual water  
243 storage change to the annual precipitation is larger than 10% during 40% of the years and  
244 larger than 5% during 70% of the years. Therefore, he concluded that the interannual  
245 storage change cannot be neglected for his case study sites. Since the main land use in his  
246 study watersheds was agricultural land with the least human interferes, the groundwater  
247 withdrawal was mainly used for irrigation. Therefore, the total water supply under non-  
248 steady state conditions included both precipitation and water storage change and it could  
249 be presented as effective precipitation ( $P_i - \Delta S_i$ ). Thus, the evaporation ratio and aridity  
250 index were calculated as  $\frac{E_i}{P_i - \Delta S_i}$  and  $\frac{E_{Pi}}{P_i - \Delta S_i}$ , respectively. Wang (2012) mentioned that  
251 groundwater storage has a more important impact on the annual water balance than the soil  
252 moisture storage during drought years.

253 Chen et al. (2013) examined the Budyko hypothesis at the seasonal and monthly scale  
254 under non-steady state conditions when water storage change was significant. For this  
255 purpose, they defined the monthly and seasonal aridity index and evaporation ratio by  
256 defining effective rainfall as  $P_k - \Delta S_k$ , where  $k$  is the index for the considered time scale  
257 (i.e., monthly, seasonal or annual). With this definition, they modified the Turc-Pike  
258 equation to model seasonal evaporation and storage change and applied the model to 277  
259 watersheds in the United States for 21 years (1983-2003). In dry months, the depletion of  
260 water storage would be added to precipitation and the available water supply includes  
261 precipitation and water storage extraction. In wet months, rainfall infiltrates into the ground  
262 and replenishes the water storage and thus, the available water supply is the subtraction of  
263 water storage from precipitation. Following Wang (2012), Chen et al. (2013) defined the  
264 aridity index ( $\phi_k$ ) as follows:

$$\phi_k = \frac{E_{Pk}}{P_k - \Delta S_k} \quad (22)$$

265 in which  $E_{Pk}$ ,  $P_k$ , and  $\Delta S_k$  are evaporation, precipitation and water storage (both soil water  
266 and groundwater) change, respectively, for  $k$  time scale. Furthermore, Chen et al. (2013)  
267 suggested that, while the lower limit of the seasonal aridity index in the Budyko framework  
268 is zero, it may be positive or even higher than 1 during dry seasons for a given watershed.  
269 Considering the lower bound of the seasonal aridity index for a given watershed and the  
270 differentiation between dry and wet seasons, they extended the Budyko-type model for the  
271 estimation of seasonal evaporation ratio for wet and dry seasons as follows:

$$\frac{E_w}{P_w - \Delta S_w} = \left[ 1 + \left( \frac{E_{Pw}}{P_w - \Delta S_w} - \varphi_w \right)^{-v_w} \right]^{-\frac{1}{v_w}} \quad (23)$$

272

$$\frac{E_d}{P_d - \Delta S_d} = \left[ 1 + \left( \frac{E_{Pd}}{P_d - \Delta S_d} - \varphi_d \right)^{-v_d} \right]^{-\frac{1}{v_d}} \quad (24)$$

273 In these equations,  $v_w$  and  $v_d$  are the Turc-Pike parameters for wet and dry seasons,  
 274 respectively and  $\varphi_w$  and  $\varphi_d$  are the corresponding lower bounds of aridity indices in wet  
 275 and dry seasons, respectively. Their results for 277 watersheds in the United States showed  
 276 that in wet (dry) seasons 99% (90%) of watersheds had Nash-Sutcliffe efficiency  
 277 coefficients larger than 0.5. Chen et al. (2013) showed that in many cases in their study  
 278 watersheds, the evaporation ratio is higher than 1 when precipitation is considered as the  
 279 only source of water supply. They mentioned that the uncertainty of evaporation might be  
 280 a reason for that, but it does not fully explain that behavior in extremely dry years.  
 281 Therefore, they concluded that in addition to precipitation, storage change also should be  
 282 considered in the available water supply. The role of water storage in maintaining  
 283 evaporation is significant especially for extremely dry years with aridity index higher than  
 284 1. Their results showed that, by accurately describing the water and energy supply, the  
 285 Budyko hypothesis could be applied at the interannual scale.

286 Greve et al. (2016) used the formulation introduced by Fu (1981) and Zhang et al. (2004)  
 287 and derived a new two-parameter equation for the non-steady state conditions. As  
 288 mentioned earlier, Fu's equation is subject to two constraints: water-limit and energy-limit  
 289 lines. These two limits show that evaporation is limited by precipitation and potential

290 evaporation. Greve et al. (2016) mentioned that, in addition to water storage change,  
 291 additional water can be available due to human interventions (Milly et al., 2008), landscape  
 292 changes (Jaramillo and Destouni, 2016), water phase changes (Berghuijs et al., 2014;  
 293 Jaramillo and Destouni, 2016) or long-term soil moisture changes due to transient climate  
 294 change (Orlowsky and Seneviratne, 2013; Wang, 2005). While, Zhang et al. (2008), Han  
 295 et al. (2011), Wang (2012) and Chen et al. (2013) investigated the limitation of the Budyko  
 296 framework and extended the Budyko hypothesis for the conditions when evaporation  
 297 exceeds precipitation, Greve et al. (2016) modified the Fu equation analytically using basic  
 298 phenomenological assumptions, as made by Zhang et al. (2004) and provided the following  
 299 equation:

$$\frac{E}{P} = F(\phi, k, y_0) = 1 + \phi - (1 + (1 - y_0)^{k-1} \phi^k)^{\frac{1}{k}} \quad (25)$$

300 In this equation,  $k$ , like  $\omega$ , is the parameter representing the watershed characteristics. The  
 301 new parameter ( $y_0$ ) represents the new boundary condition and has a physical interpretation  
 302 related to the additional water supply for evaporation. If  $k = 2.6$  and  $y_0 = 0$ , the Greve  
 303 equation corresponds to the Budyko (1948) curve. Greve et al. (2016) used their equation  
 304 globally at monthly time scale and showed that the evaporation ratio estimated by the new  
 305 model showed a good correlation with the observed evaporation ratio.

306 Although some previous studies incorporated the water storage effects into the Budyko  
 307 framework, Wang and Zhou (2016) claimed that the role of groundwater-dependent  
 308 evaporation was not yet evaluated. Both soil water and groundwater changes may be the  
 309 cause of evaporation ratio higher than one. Wang (2012) reported that during drought year

310 1988, the evaporation ratio was about 1.1 in two watersheds in Illinois, United States, in  
311 which about 100 mm soil water and about 200 mm of groundwater storage was depleted.  
312 It showed that the contribution of groundwater was more significant than soil storage. As  
313 mentioned by Chen and Hu (2004), the effect of groundwater on surface evaporation  
314 depends on the groundwater table depth; a groundwater table near the surface has a  
315 significant effect on evaporation. Therefore, shallow groundwater would increase the  
316 occurrence of the cases with an evaporation ratio higher than 1 (Chen et al., 2020; Wang  
317 and Zhou, 2016). Therefore, Wang and Zhou (2016) developed a method to incorporate  
318 the groundwater-dependent evaporation into the annual water balance in the standard  
319 Budyko framework. For analyzing the method, they modified the “abcd” model (Thomas,  
320 1981) to incorporate the groundwater-dependent evaporation and then the modified model  
321 was applied in the study catchments to estimate the actual evaporation. Using the estimated  
322 evaporation by the modified “abcd” model, the interannual water balance for the period of  
323 1957-2010 in the standard and modified Budyko framework were analyzed. Their study  
324 area was located in the Erdos Plateau in northern central China, in the middle part of the  
325 Yellow River basin with a semiarid to arid climate.

326 Wang and Zhou (2016) plotted for the average of six catchments the annual  $\frac{P-Q}{P}$  versus the  
327 aridity index during 1957-1978 and concluded that the long-term water balance of the  
328 catchments follows the original Budyko framework under steady-state conditions. In  
329 contrast, their results for some individual catchments showed that the annual  $\frac{P-Q}{P}$  versus  
330 the aridity index had a negative relation and did not follow the Budyko framework. For  
331 some other catchments, the relation was positive but still did not follow the original Budyko

332 framework. Such an abnormal relation was also highlighted by Istanbuluoglu et al. (2012)  
 333 in the North Loup River basin, Nebraska, USA. Istanbuluoglu et al. (2012) concluded that  
 334 it occurred by ignoring the water storage change in the catchment. Therefore, they replaced  
 335 the  $\frac{P-Q}{P}$  with  $\frac{P-Q-\Delta S_{gw}}{P}$  ( $\Delta S_{gw}$ : the interannual groundwater storage change), and found that  
 336 the equation followed the Zhang et al. (2001)'s curve for their study catchment. However,  
 337 they did not take the groundwater-dependent evaporation into account.

338 Wang and Zhou (2016) mentioned that there is no long-term groundwater-level monitoring  
 339 data in their study catchments. Furthermore, the  $\frac{P-Q-\Delta S_{gw}}{P}$  approach causes the interannual  
 340 soil moisture storage change to be ignored. Therefore, they estimated the storage change  
 341 from the monthly baseflow data using the modified “abcd” model. To analyze their method,  
 342 they divided the study catchments into two zones: Zone-1 with deep groundwater and  
 343 Zone-2 with shallow groundwater. In Zone-1, the evaporation ratio was smaller than 1  
 344 (below the water-limit line) for the whole range of the aridity indices, while for Zone-2 the  
 345 relation between the evaporation ratio and aridity index did not follow the original Budyko  
 346 framework and the evaporation ratio was higher than 1. They concluded that the  
 347 groundwater-dependent evaporation was the reason for this behavior. Generally, they  
 348 proposed that the evaporation ratio for the whole catchment can be estimated as follows:

$$\frac{E}{P} = (1 - r) \left[ 1 + \emptyset - (1 + \emptyset^\pi)^{\frac{1}{\pi}} \right] + r g G_a \emptyset \quad (26)$$

349 where  $r$  is the ratio of the Zone-2 area to the whole catchment area,  $\emptyset$  is aridity index,  $\pi$  is  
 350 the parameter representing the catchment characteristics,  $g$  is the parameter controlling the  
 351 intensity of groundwater-dependent evaporation and  $G_a$  is the annual groundwater storage.

352 Wang and Zhou (2016) mentioned that the water supply in the original Budyko framework  
353 (e.g., precipitation) for the steady state condition is not dependent on both evaporation and  
354 runoff and thus, the aridity index is an independent variable. However, effective  
355 precipitation ( $P - \Delta S$ ) as defined by Wang (2012) and Chen et al. (2013), is under the  
356 influence of the feedback mechanism between evaporation and runoff. The  
357 interdependency between water supply and evaporation limits the application of the  
358 modified Budyko framework in assessing the shift in annual water balance. Therefore, they  
359 suggested that the extended formula for annual water balance in the standard Budyko  
360 framework, such as their proposed equation (equation 26), is a more efficient and  
361 straightforward approach and can keep the aridity index as an independent index for the  
362 climatic conditions.

363 Du et al. (2016) mentioned that in addition to groundwater and soil water storage, the water  
364 transfer from other basins in unclosed basins is another important source of water that is  
365 available for evaporation. Considering this issue, they investigated the applicability of the  
366 Budyko hypothesis for the Heihe River basin in China at the non-steady state condition  
367 and then they improved the original Budyko framework based on the basins' water balance.

368

$$\frac{E}{P_e} = 1 + \frac{E_p}{P_e} - \left[ 1 + \left( \frac{E_p}{P_e} \right)^\mu + C \right]^{\frac{1}{\mu}} \quad (27)$$

369 where  $\mu$  and  $C$  are two dimensionless fitting parameters.  $\mu$  ( $\in(1, \infty)$ ) (Fu, 1981; Yang et  
370 al., 2007) is a well-known parameter representing the watershed characteristics.  $P_e$  is

371 equivalent precipitation which includes the channel inflow coming from the upper basin  
372 and/or inter-basin water transfer ( $Q_{in}$ ) and the soil moisture (root zone water) change  
373 ( $\Delta S_{sm}$ ) ( $P_e = P + Q_{in} - \Delta S_{sm}$ ). They did not include the groundwater storage change in  
374 their model since they believed that it is the result of the groundwater-baseflow exchange  
375 and therefore, does not have direct interaction with evaporation. To test the new Budyko-  
376 type curve, Du et al. (2016) used the “abcd” model (Thomas, 1981) to obtain the required  
377 data (e.g., soil water storage and actual evaporation) at the monthly scale. Their results  
378 showed that due to the impact of water transfer and soil water storage change, the original  
379 Budyko framework is not applicable for their study basin. Furthermore, they found that at  
380 the annual time scale their new equation performed more or less similar to Fu’s equation.  
381 At the monthly scale, their proposed model performed better than the original Fu equation  
382 for the defined evaporation ratio less than 1 ( $\frac{E}{P_e} < 1$ ), and performed the same for  
383 evaporation ratios close to 1 ( $\frac{E}{P_e} \approx 1$ ). They suggested that their new equation could be  
384 applied for water balance interpretations over extremely dry regions with non-steady state  
385 conditions.

386 Considering water storage changes in the watershed, Moussa and Lhomme (2016)  
387 proposed a new physically based formulation by introducing the parameter of  $H_E =$   
388  $-\Delta S/E_p$ , which represents the variable  $\Delta S$  in a dimensionless form. Their equation can be  
389 applied under non-steady state conditions at any time scale with various Budyko functions.  
390 Using the Fu-Zhang equation, the new formulation was similar to the equation of Greve et  
391 al. (2016) for  $\Delta S \leq 0$  in the standard Budyko space ( $E/P, E_p/P$ ). Moreover, they extended  
392 the new formulation in the space of  $E/(P - \Delta S), E_p/(P - \Delta S)$ . Comparing the new

393 equation to the formulations of Chen et al. (2013) and Du et al. (2016), they found that the  
 394 upper limit of all formulations was similar, while the lower limit was different. They  
 395 presented their formulation in both Budyko ( $\emptyset = E_p/P, E/P$ ) and Turc ( $\emptyset^{-1} =$   
 396  $P/E_p, E/E_p$ ) space as defined by Andréassian et al. (2016). In this paper, only the  
 397 formulation in the Budyko space is presented:

$$\frac{E}{P} = B_1[(1 - H_E)\emptyset] + H_E\emptyset \quad \text{for } \Delta S \leq 0 \quad (28)$$

$$\frac{E}{P} = (1 + H_E\emptyset)B_1\left(\frac{\emptyset}{1 + H_E\emptyset}\right) \quad \text{for } \Delta S \geq 0 \quad (29)$$

398 In these equations,  $B_1$  is representative of any Budyko function. Equations 28 and 29 are  
 399 presented for the standard Budyko space. In the extended space,  
 400  $(E/(P - \Delta S), E_p/(P - \Delta S))$ , the equations are defined as follows:

$$\frac{E}{P - \Delta S} = \frac{1}{1 + H_E\emptyset} \{B_1[(1 - H_E)\emptyset] + H_E\emptyset\} \quad \text{for } \Delta S \leq 0 \quad (30)$$

401

$$\frac{E}{P - \Delta S} = \frac{1}{1 + H_E\emptyset} \left\{ (1 + H_E\emptyset)B_1\left(\frac{\emptyset}{1 + H_E\emptyset}\right) \right\} \quad \text{for } \Delta S \geq 0 \quad (31)$$

402 Equation 31 can be written as  $\frac{E}{P - \Delta S} = B_1(\emptyset') = B_1\left(\frac{E_p}{P - \Delta S}\right)$ . Therefore, Moussa and Lhomme  
 403 (2016) mentioned that for  $\Delta S \geq 0$ ,  $\frac{E}{P - \Delta S}$  is independent of  $H_E$  and is similar to the steady  
 404 state conditions. It should be mentioned that instead of  $H_E$ , another dimensionless

405 parameter,  $H_p = -\Delta S/P$ , can be included in the new formulation of Moussa and Lhomme  
 406 (2016), yielding another form of the equations.

407 Tang et al. (2017) extended the one-parameter equation developed by Wang and Tang  
 408 (2014) to reconstruct annual terrestrial water storage change ( $\Delta S$ ) and groundwater storage  
 409 change ( $\Delta S_{gw}$ ) in the large-scale irrigated region in Punjab, Pakistan. Following the method  
 410 of Chen et al. (2013), the new 2-parameter model was developed as follows:

$$\frac{E}{P_e} = \frac{1 + \left(\frac{E_p}{P_e} - \varphi\right) - \sqrt{\left(1 + \frac{E_p}{P_e} - \varphi\right)^2 - 4\epsilon(2 - \epsilon)\left(\frac{E_p}{P_e} - \varphi\right)}}{2\epsilon(2 - \epsilon)} \quad (32)$$

411 in which,  $P_e$  is defined as  $P - \Delta S$ ,  $\varphi$  is the lower bound of the annual aridity index and  $\epsilon$   
 412 is the model parameter interpreted as the ratio between initial evaporation and total  
 413 evaporation. Tang et al. (2017) concluded that their new proposed Budyko-type equation  
 414 integrated with GRACE data would result in a useful method for assessing the long-term  
 415 groundwater storage change in the regions with large-scale irrigation.

416 Despite developing the new Budyko equations, Condon and Maxwell (2017) suggested  
 417 that the ability to estimate or measure groundwater storage changes is limited and therefore,  
 418 the implication of the modified Budyko approaches should be more evaluated. For this  
 419 purpose, they investigated the effect of storage change on the Budyko hypothesis using the  
 420 evaporation ratio estimated by three common approaches: 1) direct evaporation quantified  
 421 from field observations divided by precipitation,  $\left(\frac{E}{P}\right)$ , 2) evaporation calculated from  
 422 precipitation and surface runoff divided by precipitation,  $\left(\frac{P-Q}{P}\right)$ , and 3) direct evaporation

423 divided by effective precipitation, by taking groundwater contribution ( $G$ ) into account,  
424  $(\frac{E}{p-G})$  when groundwater-surface water exchanges are occurring. Their results for 25,000  
425 nested watersheds (100-3,000,000 km<sup>2</sup>) showed that the groundwater storage would shift  
426 the Budyko curve, depending on the approach to estimate the evaporation ratio. As  
427 expected, for the first approach  $(\frac{E}{p})$ , some points fell above the water-limit line with  
428 evaporation ratio higher than 1. This is explained by the fact that, in this condition, the  
429 partitioning occurs between evaporation and runoff plus groundwater storage change,  
430 instead of precipitation and runoff only. Their results also showed that in the case with  $G =$   
431 0 (i.e. storage change negligible), the three approaches were equivalent.

432 A comparison among the developed model at non-steady state conditions is provided in  
433 Table 3. As shown in the table, most of the studies are developed for arid and semi-arid  
434 regions, where precipitation is not enough for meeting the water demand of the watersheds  
435 and thus, water is provided through groundwater depletion or inter-basin transfer, which  
436 increases the available water of the watersheds, leading to a deviation from the original  
437 Budyko framework.

438 Table 2- A comparison among developed equations at non-steady state conditions.

Equation	Reference	Extra water available	Country	Climatic conditions
$\frac{E}{P+I} = 1 + \frac{E_p}{P+I} - \left[ 1 + \left( \frac{E_p}{P+I} \right)^\tau \right]^{\frac{1}{\tau}}$	Han et al. (2011)	irrigation	China	extremely arid
$\frac{E}{P-\Delta S} = \left[ 1 + \left( \frac{E_p}{P-\Delta S} - \phi \right)^{-v} \right]^{\frac{1}{v}}$	Chen et al. (2013) following Wang (2012)	groundwater and soil storage change	U.S	277 watersheds with different climatic conditions (from dry only to wet only)

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$\frac{E}{P} = F(\phi, k, y_0) = 1 + \phi - (1 + (1 - y_0)^{k-1} \phi^k)^{\frac{1}{k}}$	Greve et al. (2016)	all kind of additional water (water storage change,  additional water can be available due to human interventions, landscape changes, water phase changes, long-term soil moisture changes due to transient climate change	Global	different climatic conditions
$\frac{E}{P} = (1 - r) \left[ 1 + \phi - (1 + \phi^\pi)^{\frac{1}{\pi}} \right] + rgG_a \phi$	Wang and Zhou (2016)	shallow groundwater	China	semiarid to arid
$\frac{E}{P_e} = 1 + \frac{E_p}{P_e} - \left[ 1 + \left( \frac{E_p}{P_e} \right)^\mu + C \right]^{\frac{1}{\mu}}$	Du et al. (2016)	water transfer from other basins	China	dry
$\frac{E}{P - \Delta S} = \frac{1}{1 + H_E \phi} \{ B_1 [(1 - H_E) \phi] + H_E \phi \}$ <i>for <math>\Delta S \leq 0</math></i>	Moussa and Lhomme (2016)	water storage change	--	--

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$$\frac{E}{P - \Delta S} = \frac{1}{1 + H_E \phi} \left\{ (1 + H_E \phi) B_1 \left( \frac{\phi}{1 + H_E \phi} \right) \right\} \quad \text{for } \Delta S$$

$$\geq 0$$

$$\frac{E}{P_e}$$

Tang et al.

$$= \frac{1 + \left( \frac{E_P}{P_e} - \phi \right) - \sqrt{\left( 1 + \frac{E_P}{P_e} - \phi \right)^2 - 4\epsilon(2 - \epsilon) \left( \frac{E_P}{P_e} - \phi \right)}}{2\epsilon(2 - \epsilon)} \quad (2017)$$

water storage change                      Pakistan      semi-arid

---

440 **4-On the value of Budyko framework for future hydrological studies**

441 Although several attempts to apply the Budyko framework under non-steady state  
442 conditions resulted in more complexity in the framework, its simplicity and accuracy are  
443 still enough to be widely applied. The framework is nowadays still highly valuable. Maybe  
444 not for studying the process of evaporation in detail, therefore the framework is too  
445 simplistic, but it can serve purposes like:

446 **Validation of remote sensing data:** The Budyko framework can be used for validation of  
447 remote sensing data of precipitation and evaporation as done by Koppa and Gebremichael  
448 (2017). They used Fu's equation and showed that, in comparison to the complex distributed  
449 hydrological models, the simple Budyko curves can be applied effectively for validation  
450 of observational data.

451 **Down sampling of remote sensing data:** Rouholahnejad Freund and Kirchner (2017)  
452 applied the Budyko curves to derive a simple sub-grid closure relation that estimates how  
453 spatial heterogeneity and lateral moisture redistribution affects average evaporation as seen  
454 from the atmosphere. They mentioned that they used the Budyko curve as a simple model  
455 to find how the supply of available water and evaporative demand controls evaporation.  
456 They believed that the Budyko framework can be applied instead of complex  
457 ecohydrological models, which obey the same energy and water constraints and their  
458 behavior is not greatly different from the Budyko curves. The Budyko curves estimate  
459 evaporation as a function of its main drivers (e.g., precipitation and potential evaporation)  
460 allowing a general analytical derivation, which might be difficultly derived from the

461 complex models. However, their finding could be compared by further analysis through  
462 physically distributed models with high-resolution data.

463 **Constraining (hydrological) models:** Evaporation estimates obtained from the Budyko  
464 framework, may constrain the parameter search space significantly. For example, besides  
465 two daily and eight-daily remote sensing products (LSA-SAF and MOD16), Nijzink et al.  
466 (2018) applied the analytical Budyko framework to obtain a long-term estimate of  
467 evaporation as the constraint of five rainfall-runoff models. Their results showed that the  
468 Budyko framework was helpful with strong improvements in model calibration and  
469 performance.

470 **Quantification of the relative impacts of climate variability and direct human**  
471 **activities on mean annual runoff:** In continuation of Fu's equation application, Mo et al.  
472 (2018) found that the effect of human activities on decline in mean annual runoff is more  
473 considerable than climate change in the Bahe river in China.

474 **Identifying the main source of uncertainty in a complex hydrological model using**  
475 **Budyko coefficients:** Malago et al. (2018) stated that when the simulated data derived  
476 from SWAT are too far from the Budyko curves in wet conditions, it could be related to  
477 the uncertainties of the model parameterization. This research tried to use the Budyko curve  
478 as a criterion for model calibration so that significant departure from the curve is interpreted  
479 as high potential inconsistency of model parameterization.

480 **Determining the crop coefficient:** One of the works in applying Budyko curves for its  
481 simplicity is the work done by Zhang et al. (2017), who determined the crop coefficient

482 under non-standard conditions by integrating the Budyko framework (under both steady  
483 state and non-steady state conditions) into the traditional crop coefficient approach to  
484 assess the volume of agricultural virtual water content by minimum data. They showed that  
485 despite using less data, their model calculated virtual water content in a good agreement  
486 with some previous research studies.

487 While the above-mentioned studies show that the original Budyko framework performs  
488 reasonably well for their given aims, they suggested that the framework is still limited for  
489 some cases and the extended framework can be used for dealing with these limitations. For  
490 example, Koppa and Gebremichael (2017) mentioned that Fu's equation is limited to  
491 consider the catchment storage at long-term temporal scale, and therefore, the developed  
492 error metric characterizes the bias in precipitation and evaporation datasets and not the  
493 variance. Thus, they suggested using the extended Budyko curves under non-steady state  
494 conditions (for example the equation of Greve et al. (2016)) to validate remotely sensed  
495 precipitation and evaporation at monthly and daily time scales or at the catchments with  
496 considerable long-term water storage changes. Moreover, Mo et al. (2018) suggested that  
497 more details on runoff change could be revealed using the extended Budyko curves at inter-  
498 and intra-annual scales (e.g., non-steady state conditions). Malago et al. (2018) also noted  
499 that, in their study, the points above the water-limit line can indicate the non-steady state  
500 conditions in the catchments rather than the uncertainties and therefore, the extended  
501 Budyko curves should be considered.

502 Accordingly, in spite of being more complex than the original framework, using the  
503 extended Budyko framework under non-steady state conditions for different purposes of

504 hydrological modeling, would lead to more accurate and reliable results. It is a great  
505 advance in hydrological modeling because most of the watersheds worldwide are  
506 nowadays under the influence of human interventions and are not steady and natural any  
507 longer. Such situations mostly occur in developing countries with insufficient data  
508 availability, which limits using complex hydrological models. The contribution of runoff  
509 and evaporation into the water balance of each catchment is influenced by human activities  
510 and this changes the water cycle of the catchments, leading to the need for a deeper  
511 understanding of the human-water system interactions. Moreover, model calibration as the  
512 most important part of the hydrological modeling should consider the interactions between  
513 human and water systems. Therefore, traditional calibration makes the results less reliable.  
514 To take into account the role of human activities in hydrological modeling, the Budyko  
515 framework at non-steady state conditions would be a very functional approach, which can  
516 efficiently model and assess water balance components, especially at large-scale modeling.  
517 For example, recently Lei et al. (2018) presented a new-type Budyko model which is  
518 potentially a generalized constraint in water resources system models, simplifying the  
519 structure of the current hydrological models to develop new models for the non-steady state  
520 conditions. These new models can be applied for the prediction of future human  
521 interventions in the water balance of the catchments, especially for large-scale spatial and  
522 temporal modeling. According to these studies, the extended Budyko framework is an  
523 efficient alternative that can be used instead of the original Budyko framework and  
524 complex hydrological models. However, this requires more reliable data such as irrigation  
525 and available soil water.

526 Additionally, a novel issue that may take advantage of the Budyko framework is the design  
527 of an efficient water resources planning strategy with improvement in runoff estimation as  
528 inflow to dam reservoirs especially in arid regions with high complexity in groundwater  
529 modeling. This may be proposed as future contributions in hydrology and water resources  
530 context.

531 Moreover, the Budyko framework can be used in hydrological modeling for partitioning  
532 total evaporation into interception, soil evaporation and transpiration (e.g., Gerrits et al.,  
533 2009; Mianabadi et al., 2019) or for evaluation of evaporation fluxes estimated by the new  
534 proposed hydrological or Land Surface Models. For example, while Good et al. (2017) by  
535 using field studies and remotely sensed estimates found that the ratio of transpiration to  
536 precipitation has a unimodal distribution, their finding was also identified by Porporato et  
537 al. (2004)'s model (equation 18) within the Budyko framework. Furthermore, they applied  
538 the Porporato's model to partition actual evaporation into interception, ground surface  
539 evaporation and transpiration relative to precipitation. However, they mentioned the  
540 appropriate application of the Budyko framework for the steady state conditions. Thus,  
541 future studies can focus on the way of applying the Budyko framework for partitioning  
542 evaporation at non-steady state conditions.

#### 543 **5- Perspectives of Budyko framework**

544 Generally, in spite of some limitations of the Budyko framework, it is expected that the  
545 natural and anthropogenic changes such as climate change, land use alteration, and inter-  
546 basin water transfer can increase the contribution of the Budyko framework in hydrological  
547 modeling. Thus, attempts for applying the framework in a changing world with an

548 increasing role of human activities in the hydrological cycle of catchments might be helpful  
549 for hydrological modeling in the future. However, it is not completely clear how the  
550 Budyko framework can contribute in the future hydrological modeling, especially under  
551 non-steady state conditions. For example, the relationship between land cover change and  
552 evaporation in the future with considering the climate change effects has important impacts  
553 on catchment hydrology and might be potentially investigated by the Budyko framework  
554 as it is slightly discussed by Ning et al. (2020) at steady state conditions. Response to the  
555 question on how such issues could be investigated under non-steady state conditions needs  
556 efficient solutions with considering the extended Budyko equations. For this purpose,  
557 taking advantage of the time series technique (Fathi et al., 2019) and modification of the  
558 line integral-based method (Zheng, 2019) can be suggested for non-steady state conditions.  
559 It may need meta-research or meta-analysis of the previous researches to predict the future  
560 of hydrological modeling based on the Budyko framework.

561

562 Meanwhile, there are still some other important unsolved questions involved with Budyko.  
563 One question is how the relationship between model parameters and catchment properties  
564 would change at non-steady state conditions. For example, while the Greve's model (Greve  
565 et al., 2016) has been analytically derived from the Fu equation (Fu, 1981), their parameters  
566 are differently related to the catchment properties at steady and non-steady state conditions.  
567 Moreover, due to human interference, the water systems have become more complex with  
568 increasing interaction and co-evolution of the different processes affecting the water  
569 balance. Accordingly, the Budyko framework might be widely used to capture the overall  
570 behaviour of the catchment (Zhang et al., 2008). It is believed that the vegetation-landscape

571 co-evolution can help a given watershed not to deviate from the Budyko framework if it  
572 encounters with any possible climatic changes; however, the results showed that climate  
573 change can change the Budyko curve (van der Velde et al., 2014) through changing the  
574 interaction and co-evolution between climate and catchment properties (Wang et al., 2016).  
575 Thus, another question is how the extended Budyko framework can help with this issue.

576 One issue that can also be considered is that more attempts have to be conducted for  
577 improving the Budyko framework at smaller temporal scale with diversity controlling  
578 factors (e.g., Bai et al., 2020). Therefore, calibration of major important factors through the  
579 intelligence search method in future studies can be more conducted on the application of  
580 the Budyko hypothesis for smaller catchments and even for hydrological response units  
581 (HRUs) in a catchment. However, one important question is how the interactions among  
582 the key processes affecting the catchment response would be changing at smaller temporal/  
583 spatial scales.

584 Last but not the least question might be the role of virtual water (the amount of water  
585 needed to produce commodities, which is then transported to other places for consumptions  
586 (Chapagain et al., 2006; Mekonnen and Hoekstra, 2010)) in hydrological modeling. As  
587 Sivapalan et al. (2012) suggested that socio-hydrology might address the virtual water  
588 trade, the question might be that if it is possible to apply the holistic view of the Budyko  
589 framework to help the experts of the socio-hydrology to deal with this challenge.

## 590 **6-Conclusion**

591 The Budyko framework is a useful and more convenient tool which, in some cases, can be  
592 used instead of distributed hydrological models, which are complex and time consuming  
593 with lots of data requirements and large uncertainties in the input data, model structure,  
594 and parameterization. Since it is firstly developed for spatially large- scale catchment with  
595 low complexity of real-world processes, this may be known as the most important  
596 limitation of the Budyko approach. But it is still an effective tool for assessing the impacts  
597 of climate factors and catchment properties on the water-energy balance and the interaction  
598 among them. Therefore, the co-evolution of the hydrological processes makes it possible  
599 to use the simple Budyko framework to identify the overall behavior of the catchment on  
600 the whole.

601 In some ungauged catchments, especially in developing countries, the data is not  
602 sufficiently provided (or if provided, is inaccurate or publicly restricted) to be used as input  
603 to the complex models and this can lead to large uncertainty in the model results. In spite  
604 of simplicity, the Budyko framework can lead us to identify if our results are reasonable or  
605 not. Even if the extended Budyko curves are not directly applicable for catchments with  
606 insufficient data, the original Budyko framework can help the researcher to determine that  
607 abnormal behavior of the catchments is arising from the catchment characteristics or from  
608 the uncertainty of the data. For example, when a data point is located above the water-limit  
609 line, it shows that either the input data are uncertain or the catchment is under non-steady  
610 state conditions. Such a finding cannot be obtained by complex hydrological models.

611 On the other hand, in a changing world with human interferes in the hydrologic cycle of  
612 water systems (e.g., groundwater withdrawal, inter-basin water transfer, etc.), some

613 watersheds are under non-steady state conditions and the water balance of the watersheds  
614 does not follow the original Budyko framework any longer. Furthermore, since the original  
615 Budyko framework was developed for long-term temporal and large spatial scales, its  
616 application at finer scales, where the water storage change is an important component of  
617 the water balance, is challenging. In such situations, the extended Budyko curves have to  
618 be used. These extended Budyko equations can enhance our understanding of the overall  
619 behavior of eco-hydrological processes, which are valuable for practical applications.  
620 While the extended equations are more complex than the original ones, they still are  
621 simpler with less data requirements than the complex distributed models. In developing  
622 countries in which the hydrological cycle of the catchments is considerably under the  
623 influence of anthropogenic activities, the application of the original Budyko framework is  
624 limited. On the other hand, in these countries applying complex models is also limited due  
625 to unavailable or insufficient data. Therefore, the extended Budyko equations are useful  
626 tools for the estimation of evaporation in these regions.

627 However, in spite of all the advantages provided by the Budyko framework, it is likely still  
628 too simple to represent the full complexity of real-world processes and thus, might be  
629 subject to over-interpretations leading to flawed and false conclusions. Several studies  
630 show that using Budyko equations, especially the parametric equations, result in  
631 inconclusive and sometimes potentially contradicting outcomes (Padrón et al., 2017; G.  
632 Zhou et al., 2015). Nonetheless, extending the Budyko framework, at both temporal and  
633 spatial scales might be helpful for some watershed with less complexity, for evaluating the  
634 complex models or for the situations in which very accurate estimations are not needed.  
635 Accordingly, the next generation of the hydrological modeling may need to go toward the

636 applying the Budyko framework to estimate the hydrological components at steady and  
637 non-steady state conditions in a changing world. Some questions within the Budyko  
638 framework remain unsolved, like the interactions among the key processes affecting the  
639 catchment response at different temporal/spatial time scales, the relationship between land  
640 cover change and evaporation in the future, the relationship between model parameters and  
641 catchment properties at non-steady state conditions, using extended Budyko framework to  
642 capture the overall behaviour of the catchment considering the co-evolution of the  
643 processes, and the role of virtual water in hydrological modeling.

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