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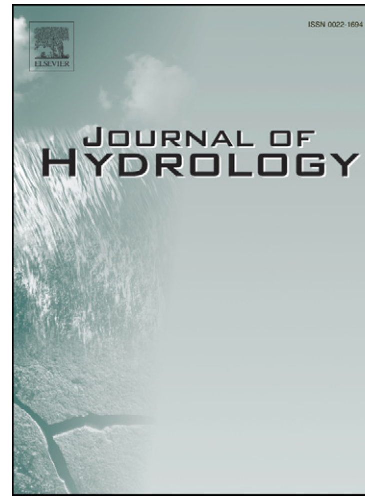

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Height above the Nearest Drainage, a hydrologically relevant new terrain model

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Height Above the Nearest Drainage, a hydrologically relevant new terrain model

Abstract

This paper introduces a new terrain model named HAND, and reports on the calibration and validation of landscape classes representing soil environments in Amazonia, which were derived using it. The HAND model normalizes topography according to the local relative heights found along the drainage network, and in this way, presents the topology of the relative soil gravitational potentials, or local draining potentials. The HAND model has been demonstrated to show a high correlation with the depth of the water table, providing an accurate spatial representation of soil water environments. Normalized draining potentials can be classified according to the relative vertical flowpath-distances to the nearest drainages, defining classes of soil water environments. These classes have been shown to be comparable and have verifiable and reproducible hydrological significance across the studied catchment and for surrounding ungauged catchments. The robust validation of this model over an area of 18,000 km^2 in the lower Rio Negro catchment has demonstrated its capacity to map expansive environments using only remotely acquired topography data as inputs. The classified HAND model has also preliminarily demonstrated robustness when applied to ungauged catchments elsewhere with contrasting geologies, geomorphologies and soil types. The HAND model and the derived soil water maps can help to advance physically based hydrological models and be applied to a host of disciplines that focus on soil moisture and ground water dynamics. As an original assessment of soil water in the landscape, the HAND model explores the synergy between digital topography

data and terrain modeling, presenting an opportunity for solving many difficult problems in hydrology.

Keywords relative height, normalization of topography, gravitational potential, draining potential, flow path, drainage network, Amazonia

1. Introduction

Soil water has been extensively recognized as key parameter in conditioning landscape ecology and, therefore, in regulating land-atmosphere interactions (e.g. Turner, 1989, Entekhabi et al., 1996, Rodriguez-Iturbe, 2000). Elevation is a primary landscape attribute and a fundamental physical parameter defining soil-water gravitational potential energy (Moore et al., 1993). The characteristic water dynamics found on land are conditioned by physical features emerging from the interplay of elevation with geological substrates. Spatial variation of elevations results in gradients of potential energy, which become the main physical driver of water flows on and through emerse terrain, as well as within drainage channels. Digital Elevation Models (DEM) allow us to make calculations to describe, understand and predict water storage and movements on land (Moore et al., 1992). The quantitative analysis of DEMs has led to the development of a number of hydrologically relevant numerical descriptors of landscapes such as catchment area, flow path, accumulated contributing area and drainage networks (e.g. Tarboton, 1997, Curkendall et al., 2003). These topographic descriptors have revolutionized hydrologic modeling (Kalman and Sivapalan, 1995), leading to a growing number of bottom-up distributed physically based models (e.g. TOPOG, O'Loughlin, 1986; SHE, Abbott et al., 1986; IHDM, Beven et al., 1987; DHSVM, Wigmosta et al., 1994; OBJTOP, Wang et al., 2005). These models can simulate hydrological processes at the surface reasonably well and are better suited than lumped conceptual models for the prediction of future hydrological conditions due to climate and land use changes (Wigmosta el al., 2002). However, this advantage over lumped conceptual models (e.g. Wagener et al., 2004, Wagener and Wheater, 2006) has its drawbacks. Distributed physically based models require appropriate parameterization for watershed physical properties, rendering them as difficult to generalize to diverse unknown catchments as the rainfall/runoff models for ungauged catchments (e.g. Beven, 1996).

In spite of this shortcoming, if parameter calibration could somehow be solved for large areas, the capacity to produce a generalized deterministic treatment of surface water dynamics could represent a great advance. Ideally, it would be convenient to use a hydrological model capable of representing the physical processes at one point, on a hill slope or in a small representative area where parameters may be measurable and have a clear physical meaning. Then, using a combination of surface attributes with the structure of the basin (Band and Moore, 1995) or as a regionalization method for transferring information (Flügel, 1995), the behavior in each unit would be aggregated to larger scales. However, a satisfactory (and consensual) methodology has not been developed that allows aggregation of processes on hillslopes and in representative areas (Beven, 1995; Schaake et al., 1996; Sivapalan et al., 2003a; 2003b). Moreover, the integration in time and space of the equations governing the specific hydrological processes demands much information about the three-dimensional heterogeneity of surface geophysical attributes. This information is only available for a few small catchments, limiting the application of such methodology.

Topography has long been known to correlate with soil properties (e.g. Jenny, 1941, Gessler et al., 2000, Hansen et al., 2009) and is recognized as imposing strong controls on soil moisture and ground water dynamics (e.g. Beven and Kirkby, 1979, O'Loughlin, 1986 and 1990; Haitjema and Mitchell-Bruker, 2005; Grabs et al., 2009). Superficial soil moisture conditions define the partitioning and destination of incoming and outgoing water fluxes both in space and time. Spatial patterns of soil moisture induced by topography play important roles in controlling infiltration-recharge/runoff (e.g. Dahl et al., 2007). Zones of convergent flow (concave and low-lying areas, such as valley floors) are typically zones of high soil moisture content. Higher areas in the landscape tend to be progressively drier (Stieglitz et al., 1997, Famiglietti, 1998). There have been a large number of analytical treatments for topography, which attempted to find relevant local physical properties, generalizable to the landscape (e.g. O'Loughlin, 1986, Moore et al., 1993, Thompson, et al., 1997, Gessler et al., 2000, Hjerdt et al., 2004, Lindsay, 2005, Deng, 2007, Miliaresis, 2008). The topographic index for example, also known as the topographic wetness index (TWI, Beven and Kirkby, 1979), has been widely investigated as a topographical descriptor of soil water conditions (e.g. Sørensen et al., 2005, Grabs et al, 2009). However, to our knowledge, no landscape-scale normalization of topography, with relevance to the understanding of soil water dynamics, has been attempted. We aimed at developing a model able to make contrasting catchments, at the hillslope flowpath level, uniformly comparable. In this paper we present a new terrain model called *Height Above the Nearest Drainage* (HAND) that normalizes DEMs according to distributed vertical distances relative to the drainage channels. We classified the HAND model according to soil environments and calibrated the classes for the Asu catchment (Waterloo et al., 2006; Cuartas et al., 2007; Tomasella et al., 2008), mapping soil environments at its small scale (13 km^2). Finally we validated those HAND classes for a larger encompassing region in the lower Rio Negro region of central Amazonia, mapping soil environments at two additional scales (500 km^2 and 18,000 km^2).

2. The HAND model

The HAND model normalizes the topography in respect to the drainage network through two sets of procedures on a DEM. First, it runs a sequence of computations to create a hydrologically coherent DEM, define flow paths and delineate the drainage channels (Figure 1). The correct definition of the stream network is key to the HAND procedure because the elevations of the drainage channel system are used to calculate the normalized terrain heights. Depressions in the DEM data can interfere with the determination of flow directions (e.g. Jensen and Domingue, 1988; Grimaldi et al., 2007). There are a number of well-experimented approaches for dealing with DEM depressions (e.g. O'Callagham and Mark, 1984, Garbrecht and Martz, 1997, Martz and Garbrecht, 1998, Jones, 2002). We picked the breaching method because it fares better for areas with moderate relief (Rieger, 1998; Jones, 2002; Lindsay and Creed, 2005). Flat surfaces in the DEM data can generate uncertainty in the determination of flow directions (Garbrecht and Martz, 1997, Nardi et al, 2008). However, this problem has little consequence for the HAND procedure because horizontal oscillation of a flowpath on a flat surface has no effect on the relative vertical position of surrounding terrain. The flow path network, adjusted to reflect the coherent topology, is the source data for the definition of the drainage network through channel initiation, set by an accumulated area threshold (O'Callaghan and Mark, 1984; Tarboton, 1997). According to Lindsay (2006) this is the most robust method for channel mapping.

The second and original set of procedures uses local drain directions and the drainage network to generate a nearest drainage map, which will ultimately guide the HAND operator spatially in the production of the normalized topology of the HAND model (Figure 2). A detailed description of the algorithm was presented in Rennó et al. (2008).

3. Finding significant HAND classes

Based on the normalized distribution of relative gravitational potentials, we report here the quantitative capacity of the HAND model to reveal and predict hydrologically relevant soil environments. The HAND model output of normalized heights is classified into HAND classes, which are defined based on field data or knowledge of local terrain, thus generating maps of soil environments (Figure 3).

3.1. Study site and methods

The calibration and validation of the HAND classes were done in a large area in central Amazonia (Figure 4, area (a) for calibration, and areas (b) and (c) for validation) with sites to the east of Rio Negro (Cuieiras and the adjacent Tarumã catchments) and to the west (Novo Airão) . Calibration of HAND classes was done in the Igarapé Asu watershed, which is a third-order catchment (13.1 km^2) in a pristine rainforest nested within the larger study area (Figure 5). The Asu area lies within a terra firme terrain at the INPA Cuieiras reservation. Terra firme is generally defined as terrain not seasonally flooded by the Amazon main-stem flood wave (~10 m). Canopy height varies from 20 to 35 m, with heterogeneous forests occurring on diverse terrain types. The landscape in and around the Asu catchment is composed mostly of plateaus (90-105 m asl) incised by a dense drainage network within broad swampy valleys (45-55 m asl). Dominant soil types in a typical catena along the hydrological transect are the clayey *latossolo amarelo álico* (typic Haplorthox or Acrorthox) on the plateaus, transitioning to less clayey *Argissolos Vermelho Amarelo álicos* (Orthoxic Tropohumult or Palehumult) on the slopes and ending with the sandy *Podzóis Hidromórficos* (Tropohumods–Troporthods) on the valley bottoms. A detailed description of this site can be found in Araujo et al. (2002), Waterloo et al. (2006), Cuartas et al. (2007) and Tomasella et al. (2008). Landscape and vegetation of the Igarapé Asu watershed are representative of the larger validation area and of other extensive areas in Amazonia.

To acquire field data for calibration, we visited 120 points in the Asu catchment (Figure 6), and another 90 points were visited for validation in several catchments across the lower Rio Negro region. Stream heads locations were also logged for verification of the calculated drainage network. Forest understory geo positioning (30-m horizontal accuracy) was done with a 12-channel GPS (Garmin GPSMAP 60CSx). Contrasting non-floodable local environments were identified in the field through hydrological data and cues in the topography, vegetation and soils. Soil types were identified by augering. Water table depth in the Asu catchment was obtained from an irregular sampling network of 27 piezometers installed in the valleys, major stream heads, and along the hill slope of the hydrological transect. At validation sites, the water table position criteria (surface, shallow or deep) was inferred from superficial soil saturation levels and the relative position in the local relief.

3.2. Defining soil environments

The hydrological transect (Figure 6, site C1), running orthogonally from the second-order Asu stream to the top of the plateau (Figure 7), represented all of the topographic features in the area, and contained the sampling points for vegetation, soil, soil-water and topography. Four broad and contrasting categories of terrain, or soil environments, were found for this catena: a) near the stream, soils were *waterlogged*, meaning that the water table level is always at, or very close to, the surface, creating an almost permanent swamp; b) moving away from the stream, the ground surface rises gently above the water table over a transition zone, or *ecotone*, where the vadose zone extends up to a depth of approximately 2 m; c) further away from the stream, the landscape rises quickly, forming a steep *slope*, with the vadose layer becoming progressively dominant in the soil environment; d) at the farthest distance from the stream, along the catchment divide, the landscape levels out into a *plateau*, with a vadose layer thicker than 30 m. The seasonal fluctuation of the water table alters the boundaries between zones (a) and (b) considerably, but not between zones (b) and (c).

3.3. Defining HAND classes

A HAND terrain class is here defined as a range of vertical distances to the nearest drainage reference level that bears roughly uniform hydrological relevance. We verified that the terrain variation within each class was considerably smaller than the variation found between contrasting classes.

3.3.1. Calibrating HAND classes

The calibration of HAND classes consisted of matching field-verified environment types with the corresponding distribution of heights in the HAND model (Figure 8). The height distribution for the field verification points in the Asu catchment indicates that the normalized relative gravitational potential in the HAND model is an effective topographical parameter in the separation of local environments, especially for *waterlogged* from *ecotone* and upland classes. Taking these findings and other extensive field experience into account, HAND values of 5 m and 15 m were selected as preliminary best-guess thresholds between the three classes. To optimize this separation (lessen errors in class inclusion), we applied the simplex algorithm (Cormen et al., 2001), finding 5.3 m and 15.0 m as the best thresholds for the set of points available from field verification. However, because the SRTM height data only resolves down to 1 m, the classes can be rounded to the nearest integer.

3.3.2. An auxiliary class

Although the upland class, which encompasses both flat and sloping terrain (*plateau* and *slope*), represented well the soil water condition (well drained, relatively deep water table) and in a relatively homogeneous way in comparison to the other two lowland classes, there are quite significant and distinct hydrological behaviors that set slopes and plateaus apart. Because the obvious separation between slope and plateau is slope angle, we analyzed the relationship between slope angle and the height above the nearest drainage for all four classes (Figure 9). The *waterlogged* and *plateau* classes share lower slope angles, and analogously, *ecotone* and *slope* share higher slope angles. Thus, a slope parameter alone cannot separate *waterlogged* from *plateau* or *ecotone* from *slope*. Here slope angle will be an auxiliary independent separator applied exclusively for the *upland* HAND class. The upland class (HAND >15.0 m) was split on the basis of slope, with the initial threshold value arbitrarily set at a 6.5% (or 3^{o}) and then optimized with the simplex algorithm resulting in a threshold value of 7.6%.

3.3.3. Calibration results

Using these field-optimized thresholds, we classified the HAND model into four classes. The field verification survey was accurate in identifying the local soil environment for each chosen point. Overlaying the field verification points onto the HAND classes (Figure 10) reveals how well the HAND classification fared. For most points, the matching between field environments with HAND-predicted environments was good. This comparison suggests a coherent matching between field-identified local environments, corroborated by groundwater data, with the classified HAND topology. Nevertheless, unavoidable localization errors were responsible for a few mismatches. A few extreme values were found to overlap between classes, but the main reason for this is similar to that found in the calibration process at the hydrological transect: field verification data have a location accuracy of 30 m (GPS), whereas the SRTM data provide an average height for a 90 m pixel. Also, the spatial resolution and sampling density of field verification points is higher than the SRTM-DEM resolution. Another issue is the transition of environments, the foot of the slope for example, which occurred in a narrow band captured by the fine resolution of the field verification, but which could not be observed from the coarser DEM. Misplacement of classes in this case is much more an effect of resolution mismatch than an actual error of classification. However, because no systematic error favoring any HAND class was detected, we are confident for this study that the area estimates for the local environments are sufficiently accurate.

3.4. Height frequency histograms

The third-order Asu catchment shows a multimodal frequency distribution for SRTM-DEM elevations (Figure 11), with the heterogeneous distributions indicating actual topography. Height above sea level frequency distributions for the HAND classes were computed by overlaying the spatial masks for each HAND class (normalized) onto the SRTM-DEM (non-normalized). The overlap of elevations of the four contrasting environments, when seen on the actual topography, explains why height above sea level is unable to discriminate local environments properly. A bimodal frequency distribution for HAND model heights (Figure 12) is evident for the same third-order Asu catchment, with the homogeneous distributions of heights indicating the normalization effect on topography. This analysis reveals that the normalized relative gravitational potential in the HAND model is a good parameter for the definition of relevant and distinct classes of stationary soil water conditions. The non-overlap of contrasting environments in the HAND topology indicates that the HAND classes are able to discriminate local environments properly.

3.5. HAND and the water table

The topology of the water table can often mimic topography (Haitjema and Mitchell-Bruker 2005), which seems to be the case for the second-order Asu catchment. The correlation of water table depths (long-term data from 27 piezometers) with HAND model heights ($y=0.658x - 2.89$ $R2=0.806$) indicates that the water table follows local normalized topography well. In this low order catchment, with relatively low relief, there is also a correlation with SRTM-DEM (y=0.561x - 31.41 R^2=0.674), but if a more mountainous or larger area had been used for this analysis, then the correlation with SRTM-DEM elevations would degrade until becoming irrelevant because, on a larger scale, the depth of the water table is not controlled by height above sea level. To probe the relationship of water table depth with HAND heights beyond the low-density sampling of the piezometer network, we employed a simulated water table generated by Cuartas et al. using the DHSVM hydrological model (2011 *in review*). The model was calibrated and validated for soil moisture (neutron probe), water table depth (piezometers) and stream flow discharge (Doppler profilers). Figure 13 shows the frequency distribution of the simulated water table depth for two dates during the dry (Sep/2003) and wet season (Mar/2004). The distributions are bi-modal, as is the frequency distribution of height above nearest drainage in the HAND model (Figure 12).

4. Validation

To test the robustness of the calibrated HAND classes (i.e., the ability to fit landform patterns with soil water conditions for ungauged catchments) we validated it for distinct terrains. For this study the chosen validation sites fell on similar geology (*Alter-do-Chão* formation) but with contrasting geomorphology between areas both close to (within a 12 km radius) and more distant (within a 120 km radius of the Asu catchment). The landscape type of the Igarapé Asu area, with a wide valley and relatively flat terrain, was the most representative case (absence of steep sided, deep valleys where plateau pixels would edge directly onto drainage pixels) for validation in this study. We used 70 validation points that fell in this category. The quantitative analysis (Figure

14) showed a satisfactorily good validation for the three HAND classes, considering the same class thresholds adjusted in the calibration. This finding indicates that the classified HAND model is able to remotely estimate local environments from SRTM-DEM data with good confidence.

4.1. Large-scale validation through mapping

Mapping terrain using field surveying and point sampling has proved to be an unsatisfactory method to characterize landscape in a quantitative, functional and extensive manner (Crow et al., 2005; Vereecken et al., 2007). As a result, descriptive, observational or landscape-based modeling studies do not employ quantitative terrain maps as effectively as they could. The SRTM and other sources have produced detailed and extensive digital elevation data for all continents. We have applied the classified HAND model using such elevation data for mapping forested areas of central Amazonia, analyzing its capacity to map soil water environments beyond the local scale of the Asu calibration, at two additional scales.

4.1.1. 500 km^2

In the Cuieiras river catchment, which includes the HAND study area, the SRTM DEM (Figure 15) shows major plateaus and etched valleys, also exhibiting the sea-ward topographical gradient across the area. Although it shows many features, such a DEM can only be used quantitatively for geomorphic studies. Soil types, water conditions and landscape processes can only be assessed quantitatively through laborious field surveys and local sampling, the larger-scale extrapolation from which are fraught with errors.

The normalized HAND model of the same area (Figure 16) shows significant changes with respect to the drainage. Lowlands appear similar, with heights fluctuating close to the ground reference level of the drainage network, but it becomes apparent that the topographic gradient towards the sea is entirely missing. The hills bear similarity with the original DEM only within individual overland flow paths. Because drainage has been flattened out, successive flow paths converging along the drainage have now been repositioned vertically, resulting in a deformation of higher relief areas. On the plateaus the flat surfaces of the original DEM have been sculpted into various shapes, reflecting the coherence of basins, their divides and the effects of nearest drainages on the relative positions of flow paths.

The HAND model creates hydrological/terrain homogeneity within and with the drainage network, but it still lacks a useful quantitative description of the landscape. Classifying the HAND model into classes produces a map of terrain/hydrological character that can be used as an accurate and quantitative data source for landscape studies (Figure 17).

Figure 18 shows the frequency histogram of SRTM-DEM elevations and height above sea level of HAND classes for the larger Cuieiras area, computed in the same way as for the Asu area. In the frequency histogram of HAND model (Figure 19), the classes are again completely separated, but in this case the distribution has a right skewed frequency curve (positive skew). This shape confirms that the lowland areas form an increasing large proportion of the area with increasing size of the basin, while there is a decrease in the proportion of slopes.

Besides the geographical location given by the HAND classes map, the respective areas occupied by the terrain types or distinctive soil-water environments can now be accurately accounted for (Table 1). In this terra firme area, it is striking to find that almost half of that terrain consists of lowland (43.1%) characterized by swamps and poorly drained soils.

4.1.2. 18,000 km^2

The green forest carpet, as seen in LANDSAT image of the Rio Negro study (Figure 4), falsely suggests a monotonous terrain. The SRTM-DEM relief for the same area (Figure 20) shows rich regional topographical features that are not visible in passive optical imagery. Topographical sea-bearing gradients can also be seen, with higher plateaus to the NE. However, little terrain/soil-water quantitative information can be extracted from these data other than similarity of the geomorphic features.

For testing the HAND model on this much larger area (Figure 21), we analyzed only terra firme landscape, masking out all floodable areas (igapós) using the JERS-1 floodland map (Melack and Hess 2004). The HAND model runs at the same resolution as the source DEM, and the size of the area to be computed is only limited by computer power.

The classified HAND model reveals an extraordinary richness of local environments (Figure 22). Features that could not be seen in the HAND model alone become apparent, such as the areal extension of particular terrains or mosaic combinations of local environments and even signs of geomorphologic evolution. Variations in the *slope* and *plateau* classes on the opposite banks of the large river reveal interesting patterns. Each of these HAND classes could be further split or aggregated into different classes for different applications. For example, *plateau* could be grouped according to height asl extracted from the original SRTM-DEM, indicating coherent surfaces or distinctive vadose zone thickness. *Slope* could be split into lower slope, where tree roots can reach the water table, and upper slope, where distance to the water table make trees susceptible to drought caused by climate anomalies, such as El Niño. The areal breakdown into the four-class HAND model reveals that in the non-floodable part of the study area, or the terra firme, the swampy and poorly drained lowland terrain occupies an area larger (58.5%) than the well-drained upland terrain (41.5%) (Table 2). It has been assumed that terra firme is entirely upland (well drained soils), but becomes very clear with this analysis that terra firme includes vast areas of swampy lowlands whose importance cannot be ignored.

Figure 23 shows the frequency histogram of SRTM–DEM elevations and height above sea level of HAND classes for the Rio Negro area computed in the same way as for the Asu area. At this larger scale, the overlap of environments remains evident.

In the frequency histogram of the HAND model (Figure 24), the classes are again completely separated. The HAND histograms for the three areas indicate that the larger the area considered, the smoother the distribution.

The HAND model, calibrated using data from the Asu catchment, revealed good correlations between local environments and HAND classes and has been demonstrated to be robust during validation for the encompassing larger region. Additional and preliminary validation made in remote areas of Brazil (São Gabriel da Cachoeira, Balbina and Urucú in Amazonas State; eastern

São Paulo State; Rio de Janeiro State; and independently by Collischonn (2009) at the upper Tapajós river in Pará State and Grande Sertão Veredas in Minas Gerais State) has further corroborated the ability of the HAND model to remotely predict local saturated areas of ungauged catchments, irrespective of quite contrasting associations of geomorphology, soils and vegetation.

4.2. HAND vs. TWI

We tested the similarity between HAND heights and the TWI for the entire dataset encompassing our Rio Negro study area (excluding drainage cells and cells neighboring the divide), finding no significant correlation between the two variables (Figure 25). Because the HAND variable is an explicit measure of the main physical feature linking terrain with water relative potential energy, the lack of correlation with TWI demonstrates that the latter is not a good descriptor of local draining potential.

5. Discussion

5.1. HAND fundamentals

The initial basis for the HAND model came from the definition of a drainage channel: perennial streamflows occur at the surface, where the soil substrate is permanently saturated. It follows that the terrain at and around a flowing stream must be permanently saturated, *independently of the height above sea level where the considered channel occurs*. Streamflows indicate the localized occurrence across the landscape of homogeneously saturated soils. The second basis for the HAND model came from the distinctive physical features of water circulation. Land flows proceed from the land to the sea in two phases: in *restrained flows* at the hillslope surface and subsurface; and in *freer flows* (or discharge) along defined natural channels. From these bases emerged the main question guiding HAND model development: how would hillslope topographic gradients be comparable among distinct flowpaths if local gradients along flowpaths (on hillslopes) could be teased apart and isolated from landscape-scale sea-ward gradients (in channels)?

The HAND model was structured using a few fundamental tenets of hydrology: the landform conditions the runoff trajectories (flowpaths) and, consequently, defines hydrologically consistent topological domains (catchments). Flowpaths define hydrological relationships between different points within a catchment, forming a hierarchical network. The accumulated area defines the upslope runoff-contributing surface at any given point along a flowpath, and the contributing area threshold defines the drainage network density (establishing the upper reach of perennial streamflows). Gravity then propels water down topographic gradients through the minimum energy trajectory (flowpath) moving from any point on and in the terrain towards the nearest point where it becomes a superficial drainage. These topological and physical principles establish functional spatial hierarchies that allow for a physically coherent separation of landscape-scale or drainage channel gradients (DCG) from hillslope flowpath gradients (HFG). It is important to distinguish between the DCG, with permanently (or seasonally) flowing streams - and the HFG - which may be subsurface or may only flow ephemerally as a result of large rainfall events. The HFG may also date back to a previous climate. In the HAND model, we fix

DCG and normalize HFG with respect to DCG. The drainage network is used as a local frame of variable topographic reference such that the sea-ward gradients along channels are discarded, setting the drainage network as the lowest reference height in the new terrain model. Because each HFG outlet-to-the-drainage cell bears a different altitude asl, the leveling off of the drainage-channel in the HAND model implies bringing all of the catchment's HFG outlet cells to the same new drainage channel reference level. Then, the cells along each HFG are height normalized according to that reference level. The gravitational potential energy difference between any given cell along a HFG and the lowest extremity of the same flowpath at its stream outlet defines a stationary property of that cell, the relative gravitational potential, that we call *local draining potential*. The vertical distance (difference in level) of a given HFG cell to its drainage outlet cell is expressed as the absolute difference in height above sea level between those cells. Even though the HFG relative-heights in the HAND model lose their reference to sea level, they can uniquely identify the distributed local draining potentials, which are generalizable across the catchment and for different catchments. In a similar sense, the draining potential to a surface water outlet for the saturated ground water is known as hydraulic head (e.g. Vereecken et al., 2007). However, our use of the draining potential concept contrasts with downhill hydraulic gradients (Hjerdt et al., 2004) because we consider the topographic potential in height progression, meaning always starting at the drainage level (zero potential) and moving uphill along the HFGs towards the catchment divide (higher positive potentials). Draining potential also contrasts with drainage class, a common concept in pedology (e.g. Bell et al., 1992). While both concepts refer to stationary water properties of landscape, drainage class describes the water regimen only qualitatively, irrespective of associated energy potentials. Conversely, the HAND model heights univocally link the distributed draining potentials to their respective nearest drainages. Therefore, the molded surfaces of the HAND model are a *topology of local draining potentials*, which gives them relevant and practical hydrological meaning. The HAND model assumes that for each cell in the DEM, there must be a unique and topologically consistent HFG connecting that cell with its respective outlet to a stream. These connecting flowpaths bear all of the topological components that are extractable from a DEM, which allows for the spatially accurate normalization of local draining potentials.

5.2. Calibration and validation

Rigorously, the normalized topology of the HAND model is not directly about soil-water. The gravitational potential is a positional property of the landscape, a physical force that submits any water on and in the terrain to downward acceleration. Because under such force water infiltrates into the porous media (if it is not saturated) or moves downhill on the surface as runoff, draining to the stream, we equated the relative gravitational potential to a draining potential, that is, the net capacity for water to drain from its position on the hillslope to the nearest drainage channel. High HAND heights mean large draining potential, where water will drain effectively leading to the appearance of a vadose zone; low HAND heights mean low draining potential and proximity to the water table, where draining water will pool, creating waterlogging. The convincing association of terrain types with distinctive HAND height-classes made in the calibration, and widely corroborated by the validation, demonstrated that the relative gravitational potential in the HAND model has a very high correlation with soil-water saturation regimen. The depth of the saturated zone conditions superficial soil-water environments.

To generate the drainage network, a basis for the HAND model, channel initiation is the only deterministic threshold that needs to be addressed. We identified two factors as potential sources of uncertainty in the definition of accumulated area: automatic extraction from the DEM and hydrologic fluctuations. We examined the first factor in detail and found that for the verified accumulated area, the automatic extraction would miss stream headwaters by 1 to 2 SRTM-DEM pixels (less than 200 m), due to the masking of relief by the forest canopy. This effect was neither significant for the HAND model nor for the HAND classes, as the missed upper part of the stream had similar lowland terrain. For the same reason, high frequency fluctuations in the soil water condition should not influence significantly the HAND normalization and class allocation. Even for an oscillating headwater the only area theoretically affected in the HAND model calculations would be those relatively few flowpaths that gather to the fluctuating stretch of the stream head. From an exploratory analysis of the relationship between drainage density (defined by the contributing area threshold) and the HAND height histogram (Rennó et al, 2008), we found that the skewness in the HAND distribution of heights is directly proportional to the smoothness of the HAND model. Higher frequencies of the small HAND values, for example, result in a smoother topography of the HAND model, which implies a lower ability to distinguish and resolve contrasting local environments. If the calculated drainage network density remains within the range that realistically captures the Strahler order of the real drainage network, then the effect of slightly varying channel heads on the HAND model will not be significantly great.

Even though the soil-water calibration for the HAND classes was conducted in a small gauged catchment, the validation covered thousands of square kilometers of very heterogeneous terrain, all with ungauged catchments. The consistency of the HAND classes' thresholds for a variety of verified terrains, especially the 5 m indicating superficial saturation, was an extraordinary finding of this study. This suggests the importance of the local draining potential in shaping the soil-water saturation regimen, determining the depth of the water table. The non-arbitrary deterministic nature of these thresholds seems to be supported by a generalizable physical principle. It appears that such landscape-scale control of saturation regimen is the driving factor influencing vegetation cover, soil genesis and geomorphologic evolution. Correspondence of the HAND environments with landforms, landcover and other landscape characteristics, allows for the construction of a variety of HAND-based feature maps.

5.3. Relative topography

The quantitative association of local relative topography with soil water has been hinted at by a number of studies. Famiglietti et al. (1998) cited five studies, starting in 1959, that demonstrated that moisture content is inversely proportional to relative elevation. Crave and Gascuel-Odux (1997) pointed to a downslope topographic index (defined as the elevation difference between the considered point and the stream point corresponding to the outlet of the water pathway) as explaining well the temporal and spatial distribution of the surface water in a French catchment. Similarly, Qiu et al. (2001) found a significant correlation of the relative elevation (defined as the elevation difference between the sample point and the stream at the bottom of that hillslope) with layer-averaged and mean soil moisture for a catchment in China. In developing a generic computational procedure for segmenting landforms in Canada, MacMillan et al. (2000) applied two related relief descriptors, absolute height above the local pit cell and percent height relative to the nearest stream and divide. Thompson et al., in analyzing the distribution of hydromorphic soils (1997) and DEM resolution effects on attribute calculation and landscape modeling (2001), have quantified the significance of horizontal and vertical distances to the nearest depression. Bell et al. (1992 and 1994) employed, among other variables, elevation above a local stream in the modeling of landscapes to map drainage classes. Kravchenko et al. (2002) found that horizontal distance to the drainage-way was useful to discriminate drainage classes. In developing logistic models to predict probabilities of soil drainage class occurrence, Campling et al. (2002) found that distance-to-the-river-channel was among the most important spatial determinants of class separation. All of these studies have directly or indirectly recognized the importance of relative local terrain distances as landscape variables influencing soil water dynamics. However, to our knowledge, no published work has set the stream channel as the base reference height against which all other flowpaths should be normalized. Provided that the stream network is well defined, the HAND model heights have uniform and universal hydrological significance.

5.4. Applications

The terrain normalization that we report here can be applied to DEMs of any terrain, generating HAND models with implicit geomorphologic, hydrological and ecological relevance. The significance of such terrain normalization for practical applications can be seen by calibrating HAND classes to match relevant soil water and land cover characteristics. The application of the HAND model provides the possibility of capturing and examining heterogeneities in local environments in a quantitative and widely comparable manner. Large-scale application of HAND maps in the accounting of environmental variables, many of which are very difficult to measure or model, promises significant advances in a number of disciplines. Soil and landscape modeling based on spatial information of terrain attributes (e.g. Moore et al., 1993, DeBruin and Stein, 1998) require environmentally relevant topography information for reaching their full quantitative and predictive potential. Thompson et al. (2001) listed three key factors for soil genesis/landscape modeling: representation of the continuous variability of soil properties across landscapes; relating of environmental factors to topography; and making spatial predictions of soil properties for unsampled locations. The HAND model offers spatially optimized and physically substantiated solutions for all three factors. Surface hydrology could benefit from the availability of soil parameter layers, which can be derived from accurately classified HAND models. In another study, we have successfully employed HAND-derived spatial soil and vegetation data in the parameterization of the DHSVM for an Asu catchment simulation (Cuartas et al., *in review*). Large-scale remote mapping of the soil moisture character, a crucial demand of advanced Earth System models (e.g. Koster et al., 2004), can be made feasible through the application of the HAND model to expansive areas without losing the information from low order catchments. In surface-atmosphere modeling, due to the large size of atmospheric grid cells, models cannot properly represent surface heterogeneities at finer scales. Using the HAND terrain maps, it will be possible to quantitatively scale up from real surface physical properties on a fine scale and avoid the guesswork of rough estimation that was previously involved in the empirical derivation of parameters (e.g. SIB, Sellers et al., 1986). Another critical area of application is in landscape hazards mapping and modeling, where assessment of risk zones is very complex and difficult (e.g. Bates and De Roo, 2000, van Westen et al., 2005). We have generated an original flood and landslide risk map for the São Paulo city metropolitan zone employing the HAND model (Nobre et al., 2010). Other HAND model applications could include proxy mapping of ecophysiology and evaporation. Similarly, biomass and nutrient dynamics could be landscape-integrated into realistic budgets. HAND terrain maps could also benefit the prediction of climate change scenarios and biome impacts, the modeling of land use, the analysis of buffer zones and conservation-strategies. The portfolio of applications for this new terrain model is likely to grow as different communities come to require knowledge of meaningful, contrasting and generalizable stationary hydrological properties of terrains at a fine local scale.

6. Conclusions

The height above the nearest drainage model is a drainage normalized version of a digital elevation model. The z axis variable of the HAND model is the normalized local height, defined as the vertical distance from a hillslope surface cell to a respective outlet-to-the-drainage cell, i.e., the difference in level between such cells that belong to a mutually connecting flowpath. The field testing of the HAND model, conducted in an instrumented hydrological catchment and on surrounding terrain in Amazonia, revealed strong and robust correlations between soil water conditions and the segmented classes in the HAND topology. This correlation is explained by the physical principle of the local gravitational potential, or relative vertical distance to the drainage, which we called local draining potential. Provided that the drainage network density is accurately represented in the HAND model, its representation of local soil draining potential is replicable for any type of terrain for which there is digital elevation data, irrespective of geology, geomorphology or soil complexities. The HAND model presents great applicability potential for a number of diverse subjects and disciplines, such as surface hydrology, meteorology, biogeochemistry, carbon cycling, biodiversity, conservation, land use and hazard risk assessment, planning, etc. Furthermore, the HAND model has the potential to become a good framework for the development of an objective, quantitative, systematic and universal way to classify and map terrain.

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Figure 1

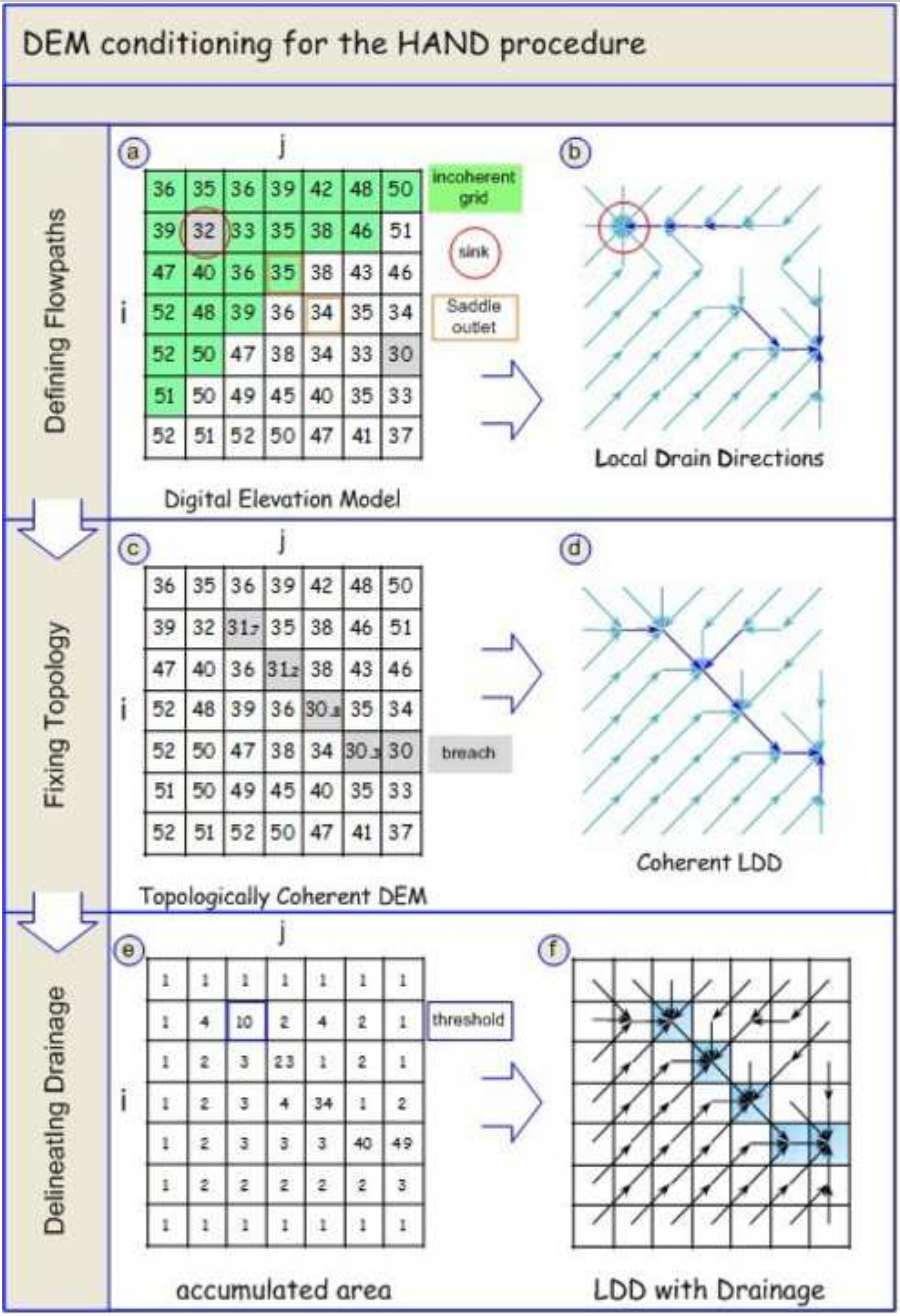

DEM conditioning for the HAND procedure
Defining Flowpaths
Fixing Topology
Delineating Drainage
a
b
c
d
e
f
j
i
incoherent grid
sink
Saddle outlet
Digital Elevation Model
Local Drain Directions
breach
Topologically Coherent DEM
Coherent LDD
threshold
accumulated area
LDD with Drainage

Figure 2

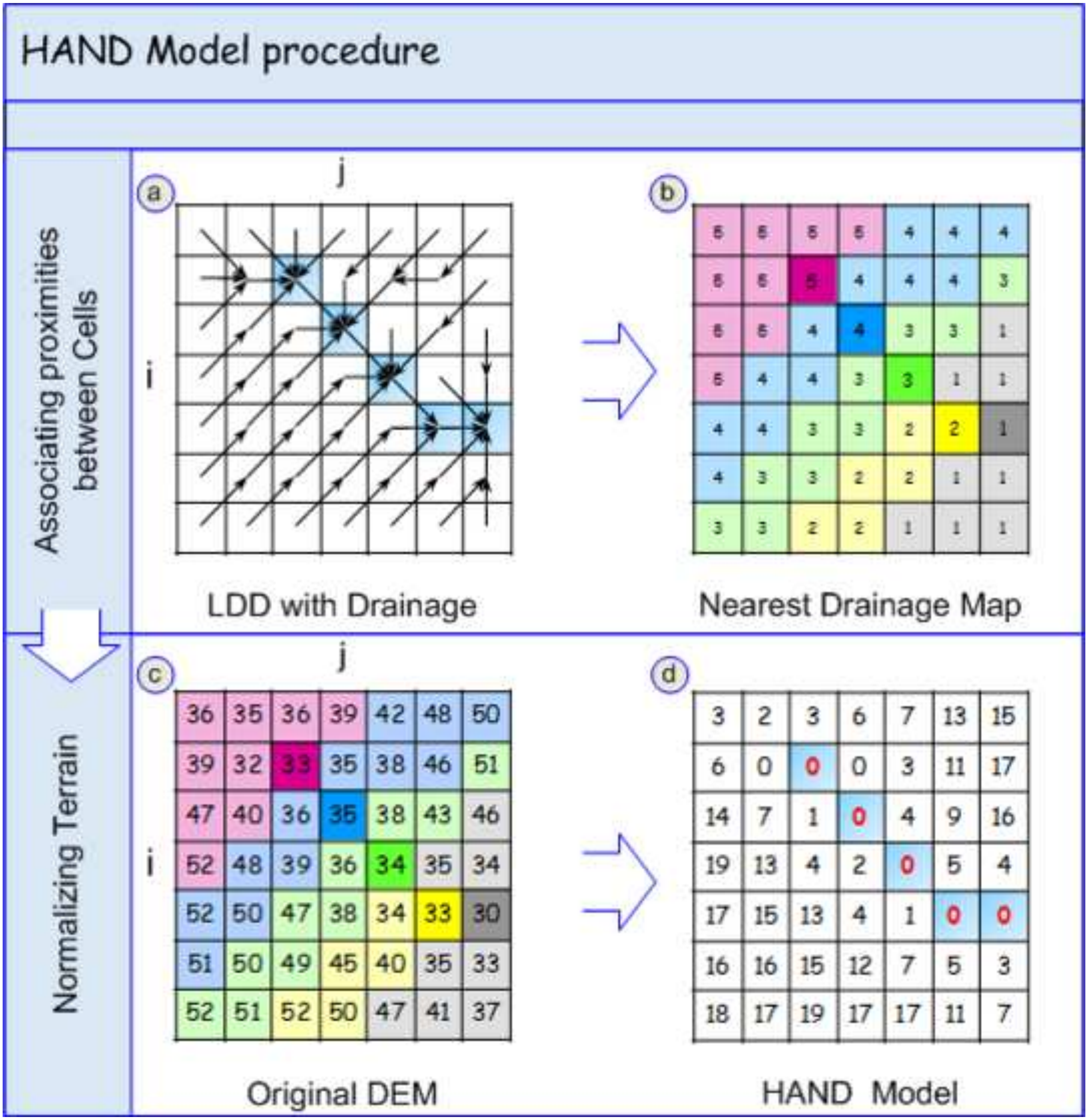

HAND Model procedure
Associating proximities between Cells
Normalizing Terrain
a
b
c
d
j
i
LDD with Drainage
Nearest Drainage Map
Original DEM
HAND Model

Figure 3

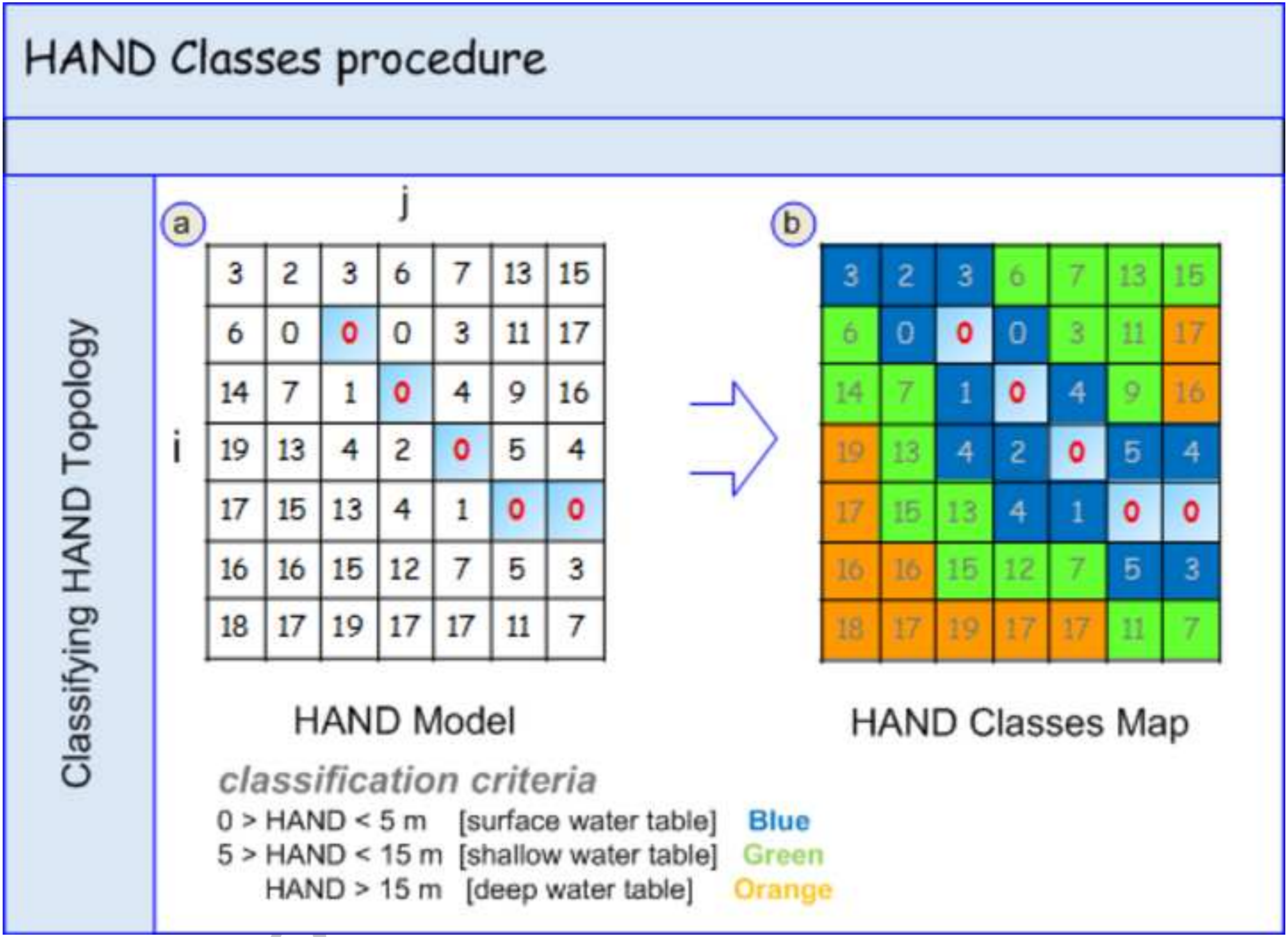

HAND Classes procedure
Classifying HAND Topology
a
j
i
HAND Model
b
HAND Classes Map
classification criteria
0 > HAND < 5 m [surface water table] Blue
5 > HAND < 15 m [shallow water table] Green
HAND > 15 m [deep water table] Orange

Figure 4

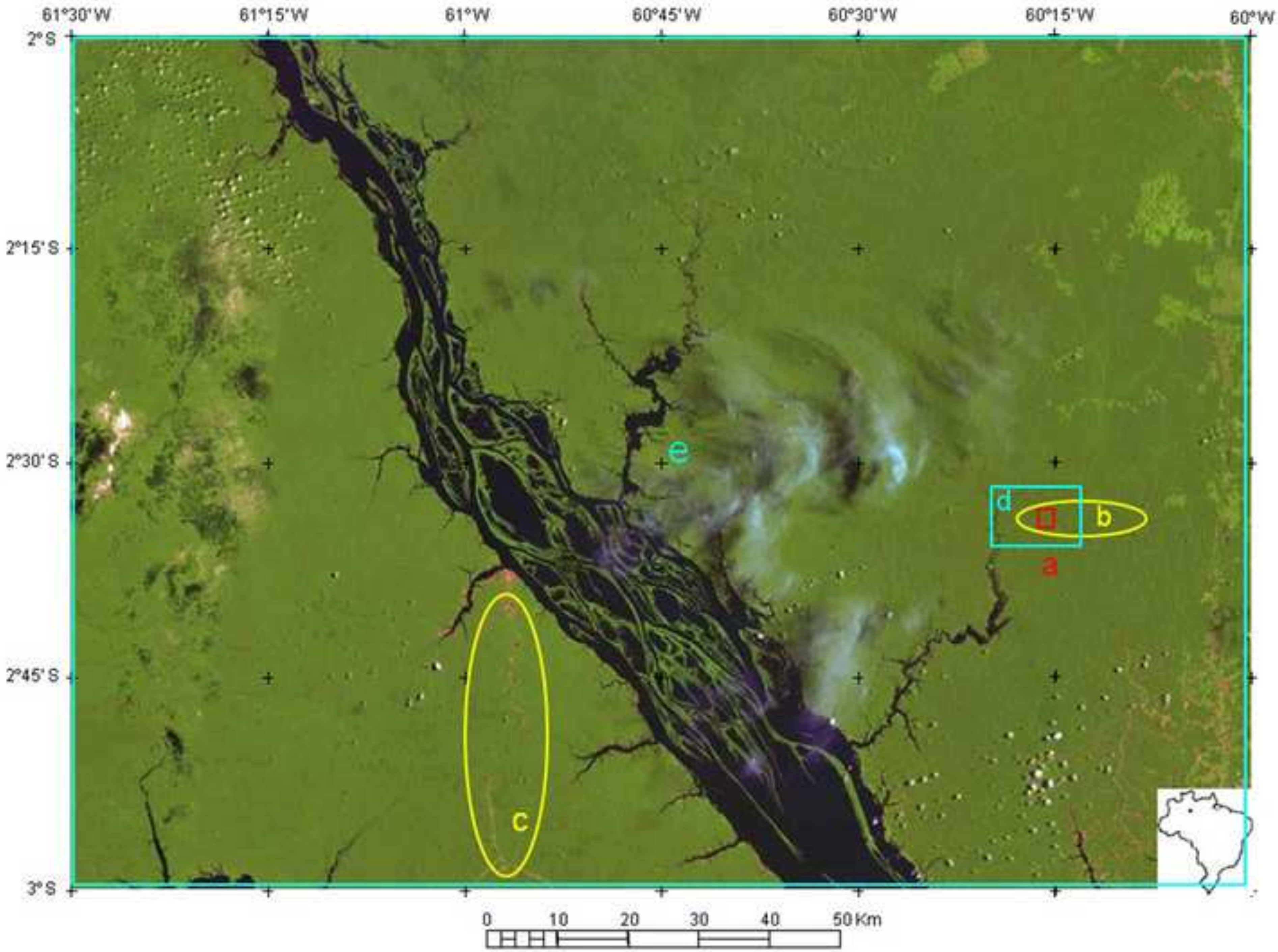

61°30'W
61°15'W
61°W
60°45'W
60°30'W
60°15'W
60°W
2°S
2°15'S
2°30'S
2°45'S
3°S
e
d
b
a
c
0
10
20
30
40
50 Km

Figure 5

Figure 6

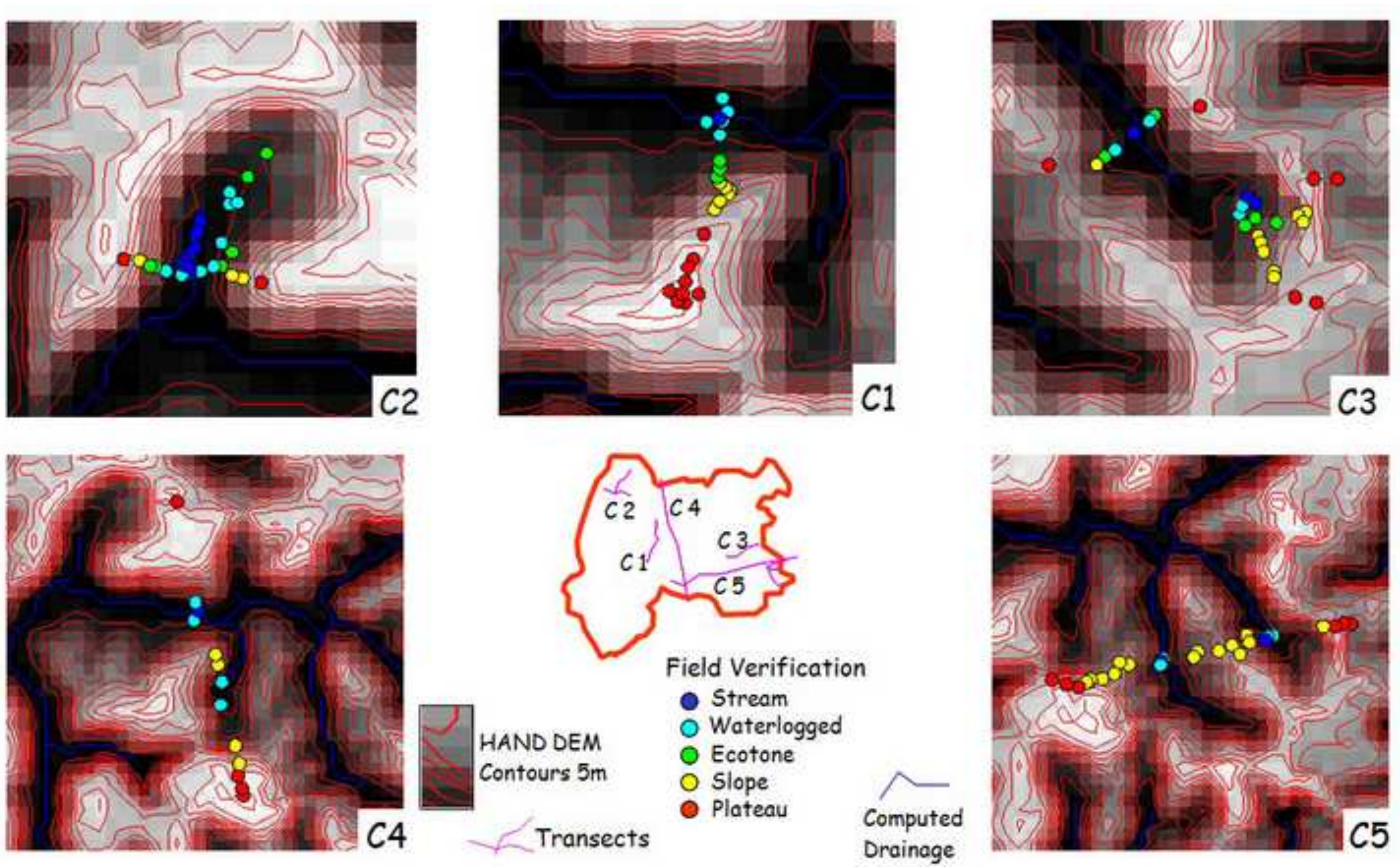

C2
C1
C3
C4
C2
C4
C3
C1
C5
C5
HAND DEM
Contours 5m
Transects
Field Verification
Stream
Waterlogged
Ecotone
Slope
Plateau
Computed
Drainage

Figure 7

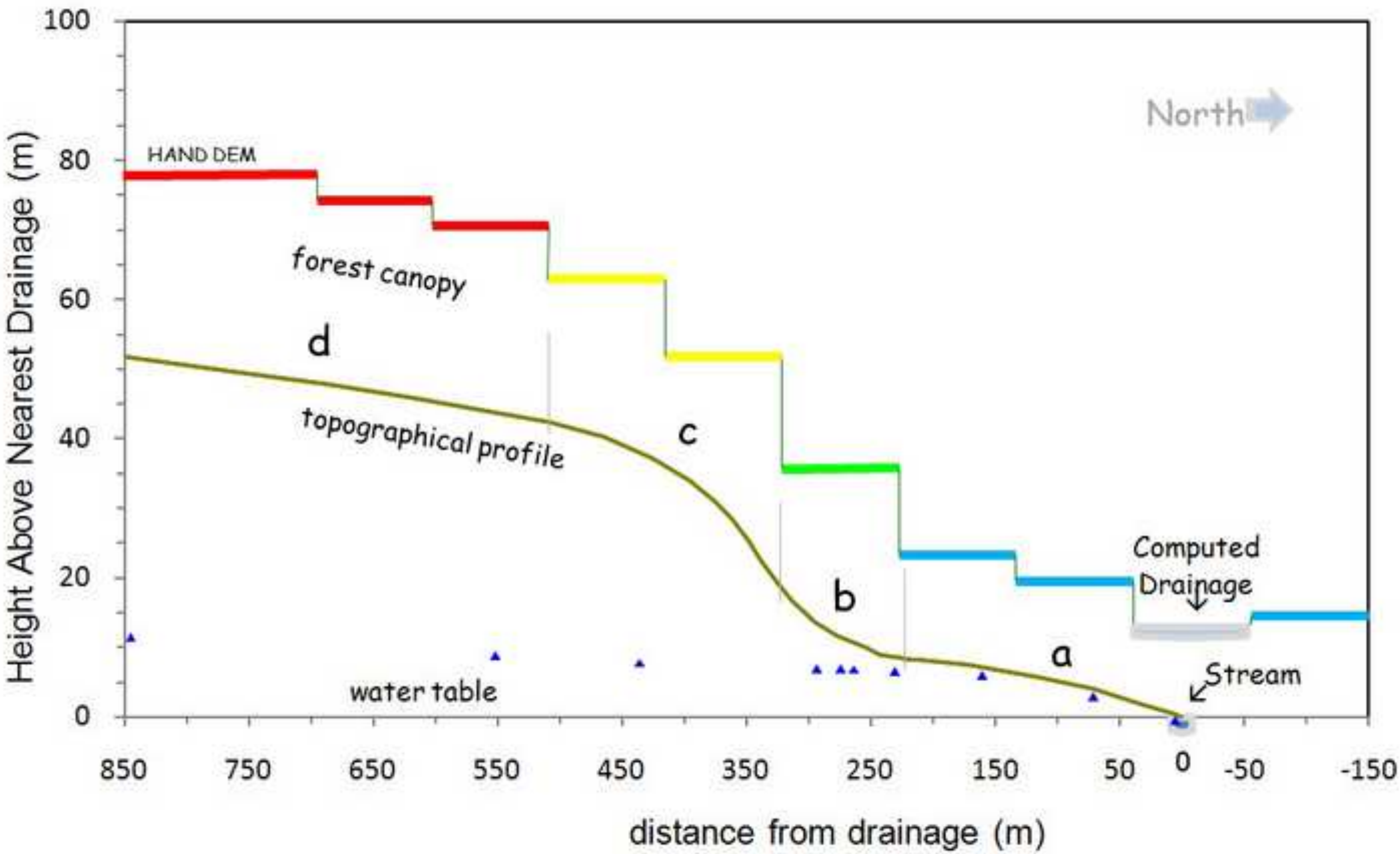

North
HAND DEM
forest canopy
d
topographical profile
c
b
a
Computed Drainage
Stream
water table
Height Above Nearest Drainage (m)
100
80
60
40
20
0
850
750
650
550
450
350
250
150
50
0
-50
-150
distance from drainage (m)

Figure 8

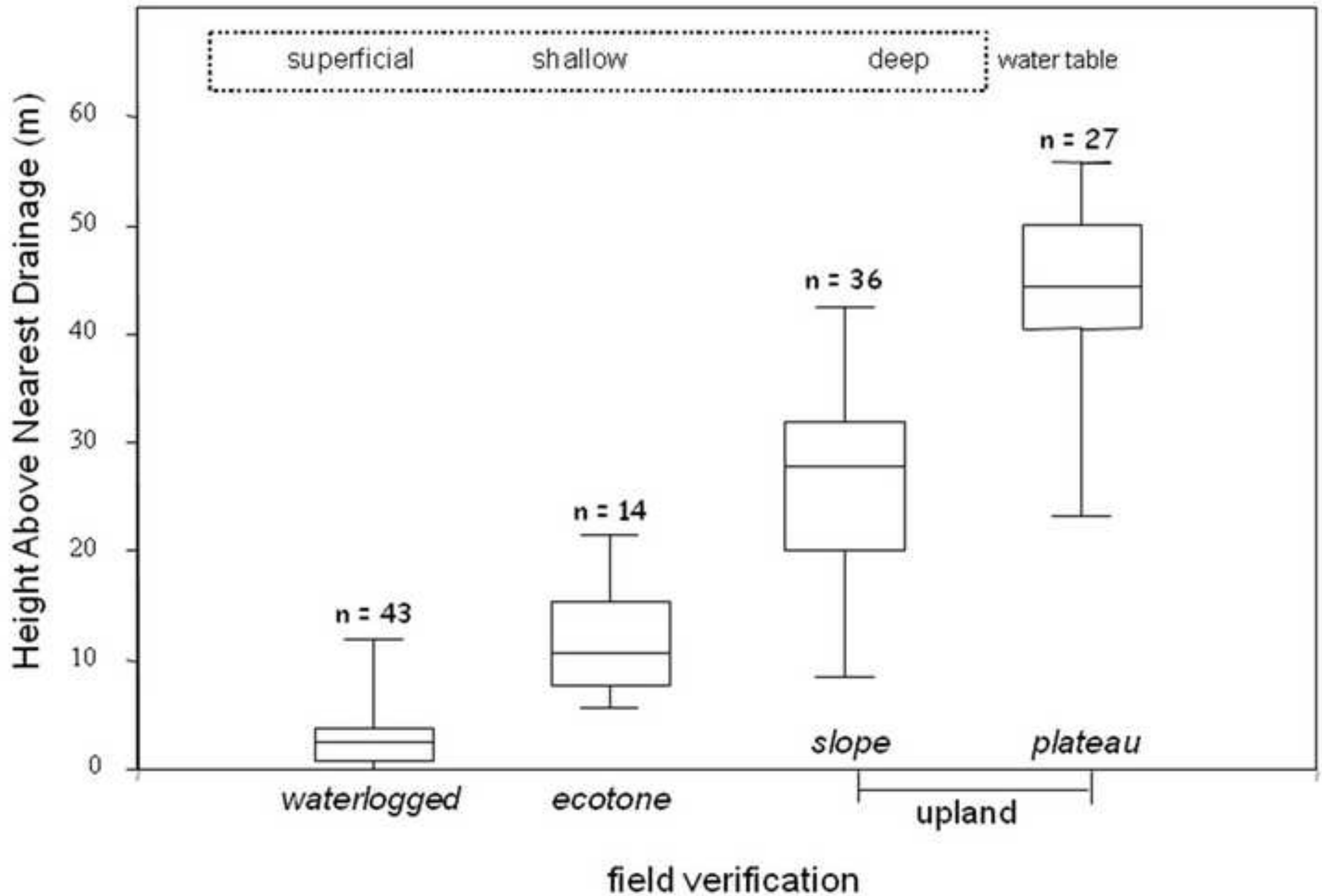
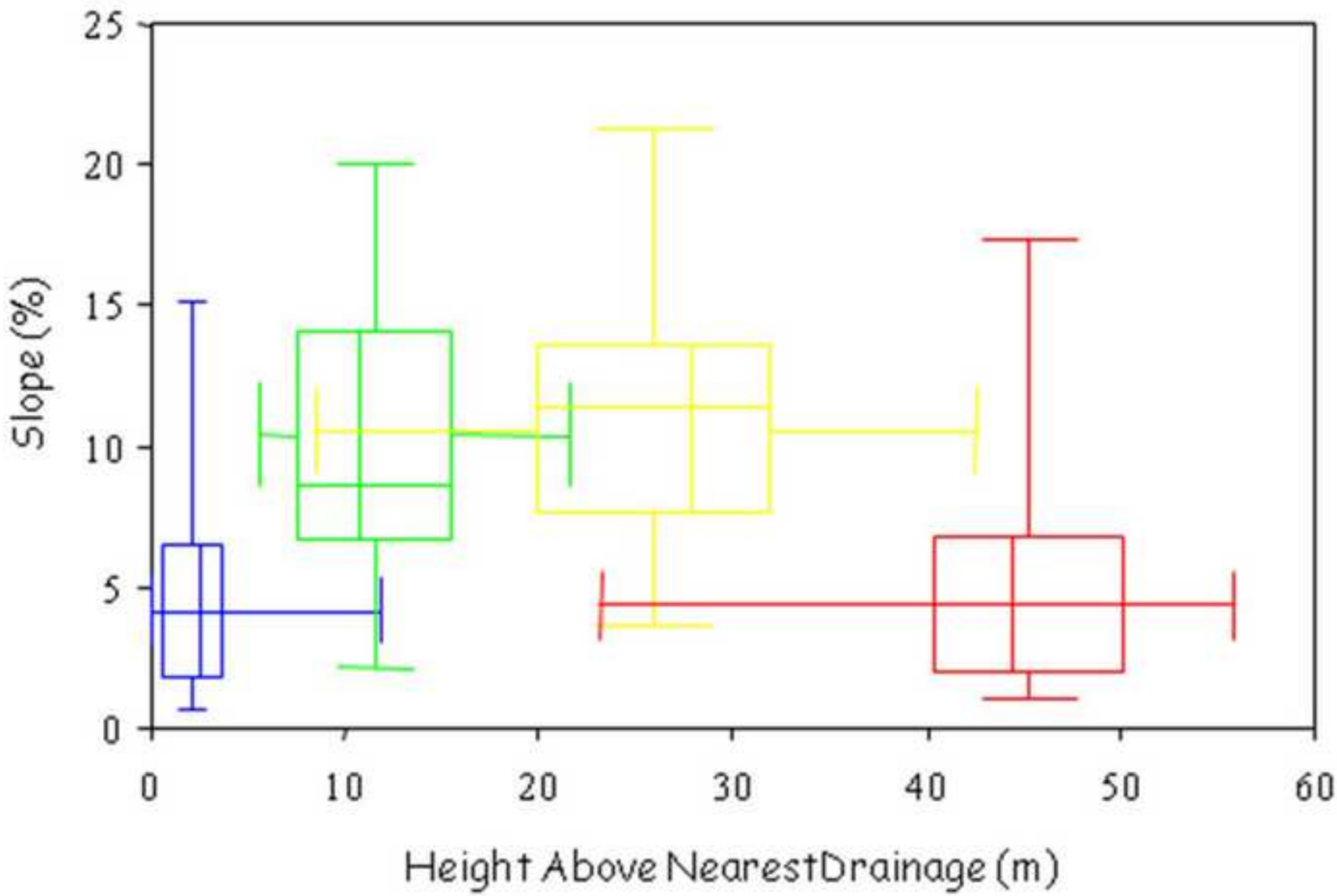

superficial
shallow
deep
water table
Height Above Nearest Drainage (m)
0
10
20
30
40
50
60
n = 43
n = 14
n = 36
n = 27
waterlogged
ecotone
slope
plateau
upland
field verification

Figure 9



25
20
15
10
5
0
Slope (%)
0
10
20
30
40
50
60
Height Above NearestDrainage (m)

Figure 10

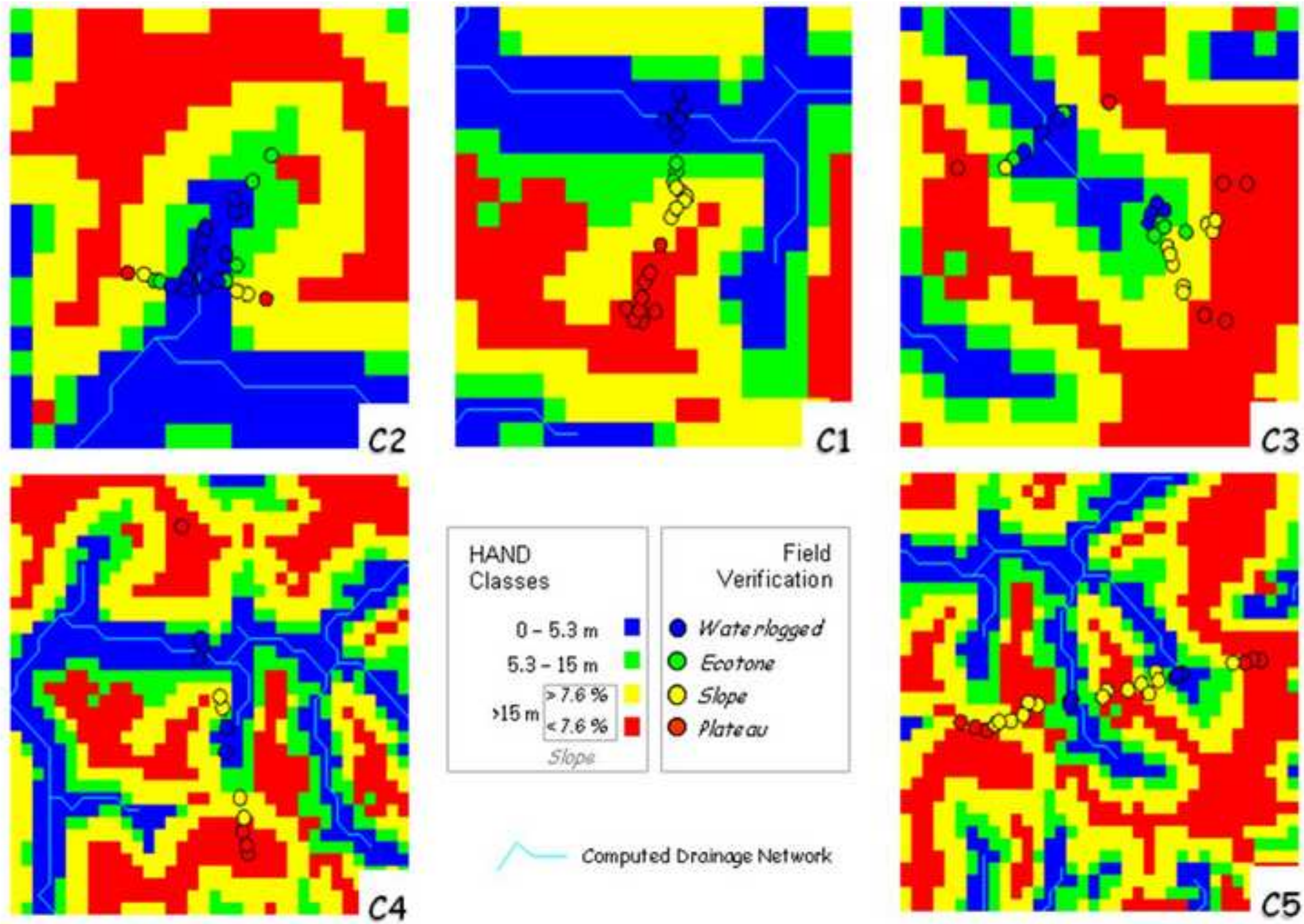
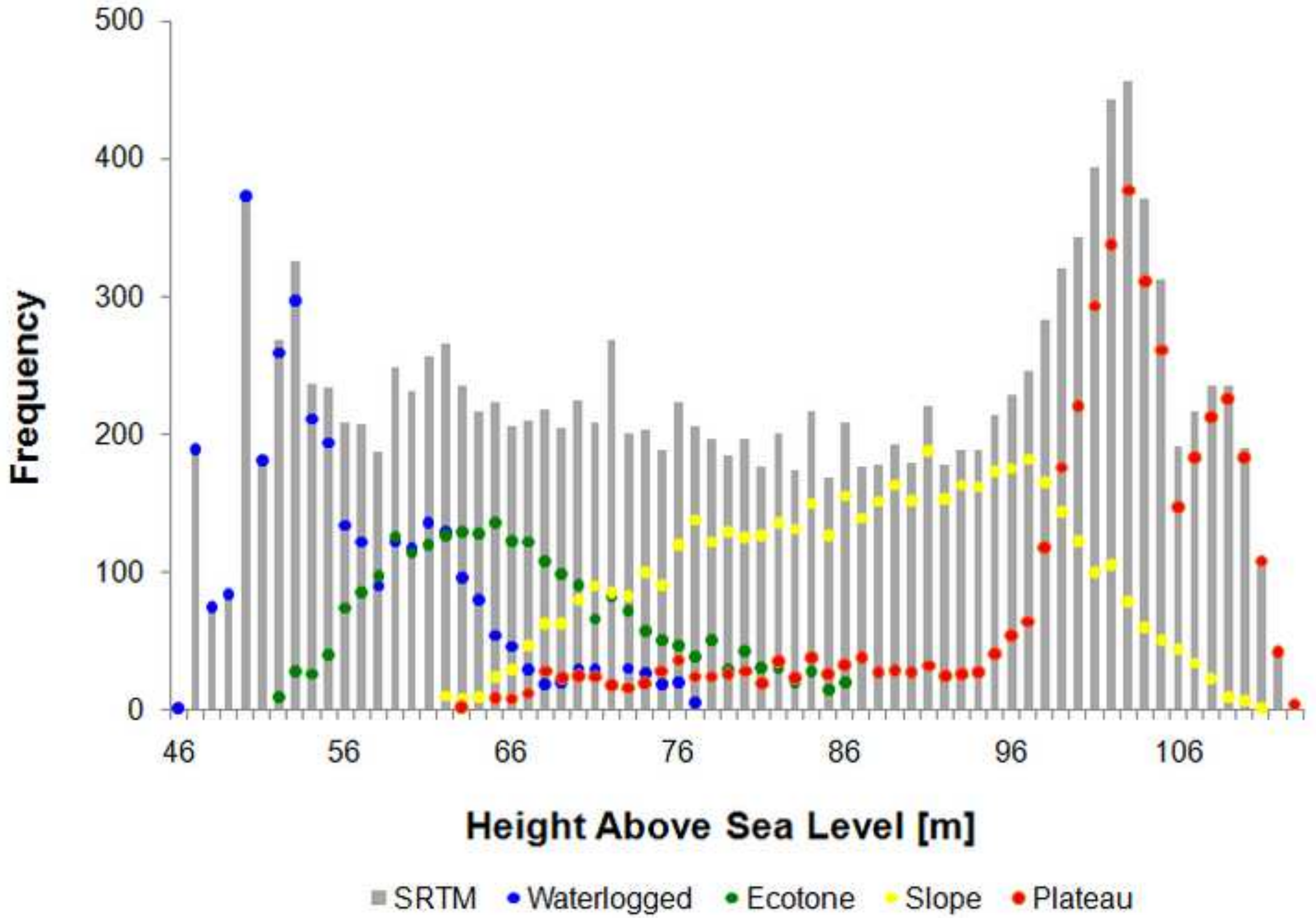
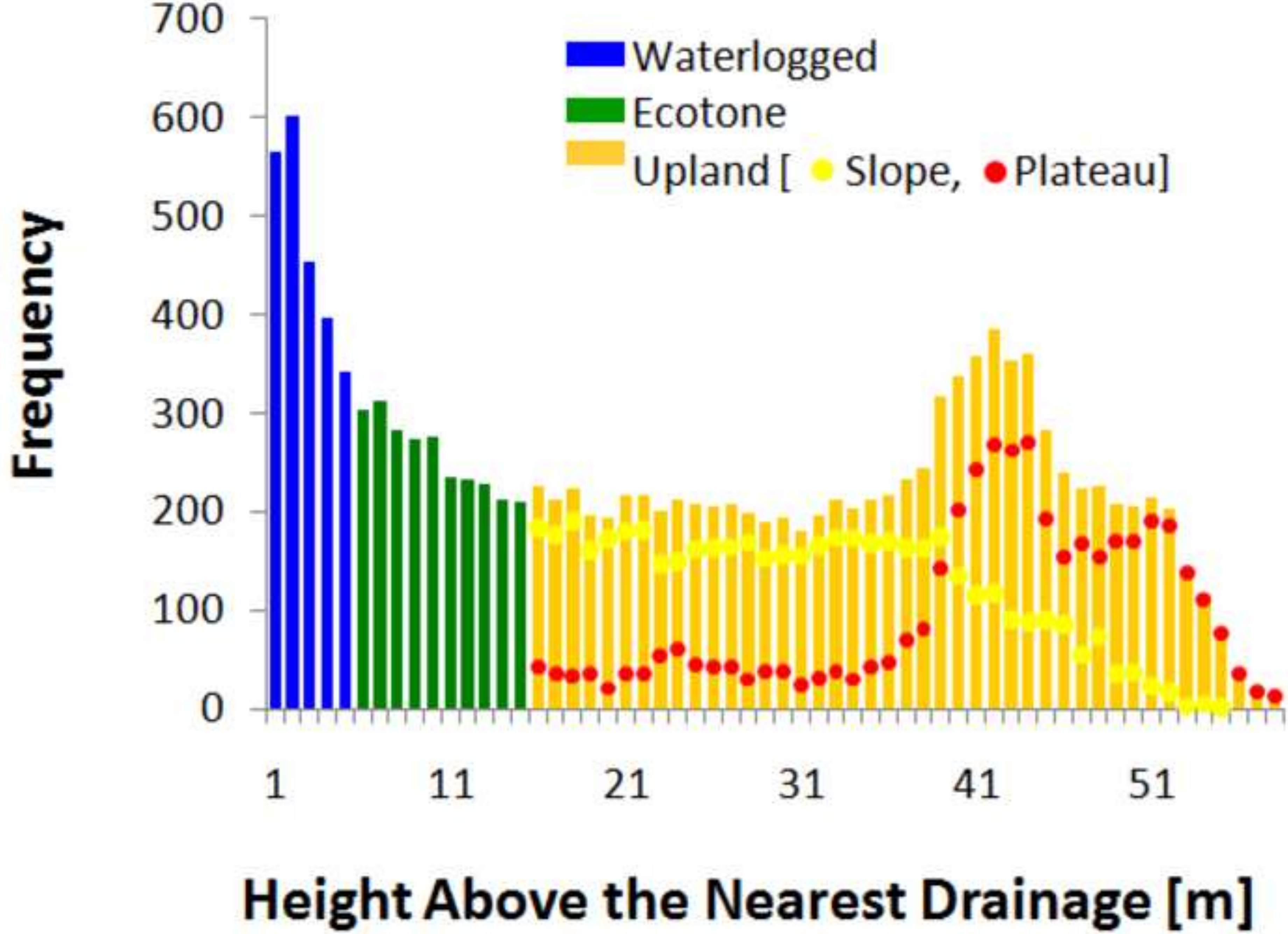

C2
C1
C3
C4
C5
HAND Classes
0 – 5.3 m
5.3 – 15 m
>15 m
> 7.6 %
< 7.6 %
Slope
Field Verification
Waterlogged
Ecotone
Slope
Plateau
Computed Drainage Network

Figure 11



Frequency
500
400
300
200
100
0
46
56
66
76
86
96
106
Height Above Sea Level [m]
SRTM
Waterlogged
Ecotone
Slope
Plateau

Figure 12



700
600
500
400
300
200
100
0
Frequency
Waterlogged
Ecotone
Upland [Slope, Plateau]
1
11
21
31
41
51
Height Above the Nearest Drainage [m]

Figure 13

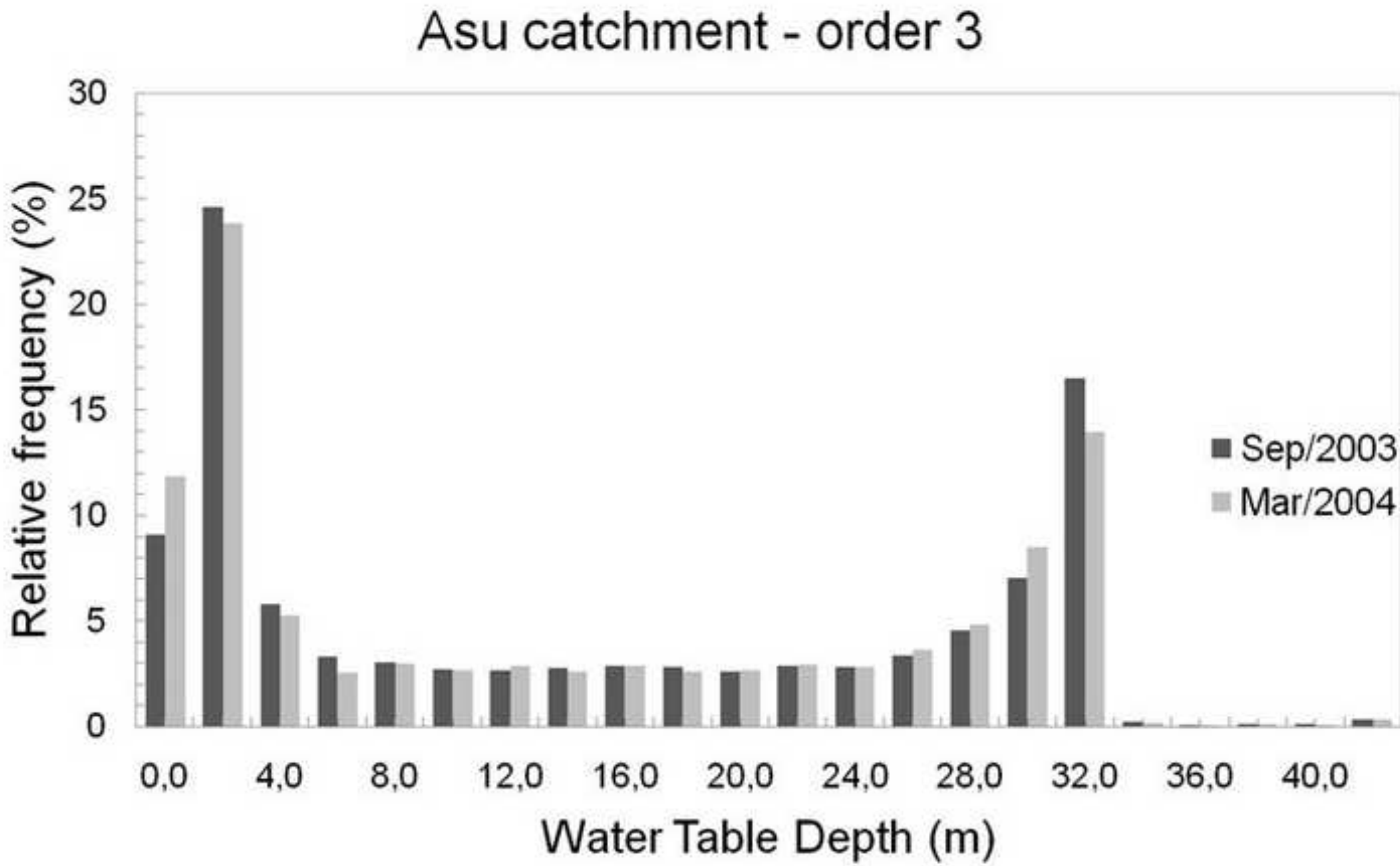

Asu catchment - order 3
Relative frequency (%)
0
5
10
15
20
25
30
0,0
4,0
8,0
12,0
16,0
20,0
24,0
28,0
32,0
36,0
40,0
Water Table Depth (m)
Sep/2003
Mar/2004

Figure 14

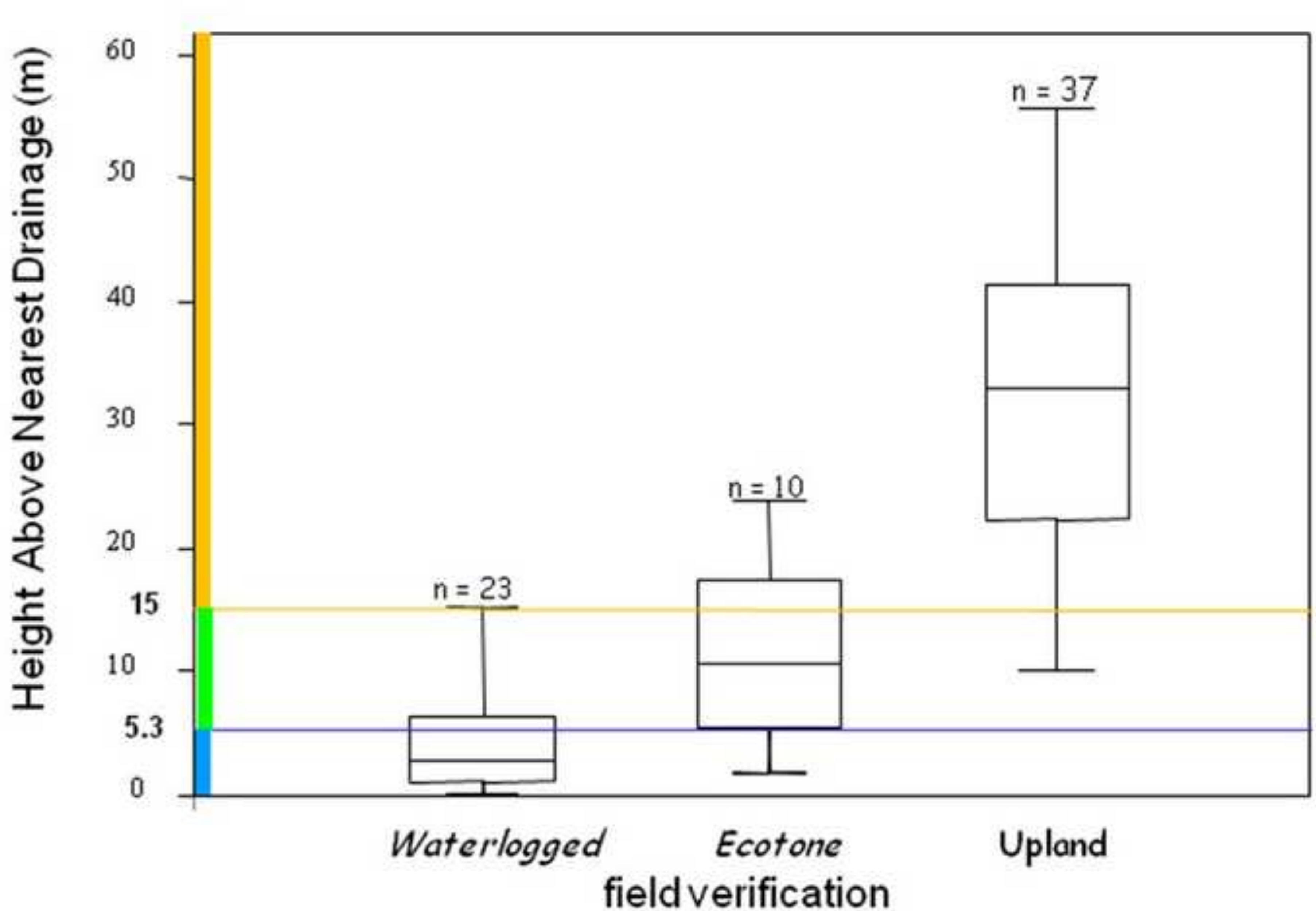

Height Above Nearest Drainage (m)
60
50
40
30
20
15
10
5.3
0
n = 23
n = 10
n = 37
Waterlogged
Ecotone
Upland
field verification

Figure 15

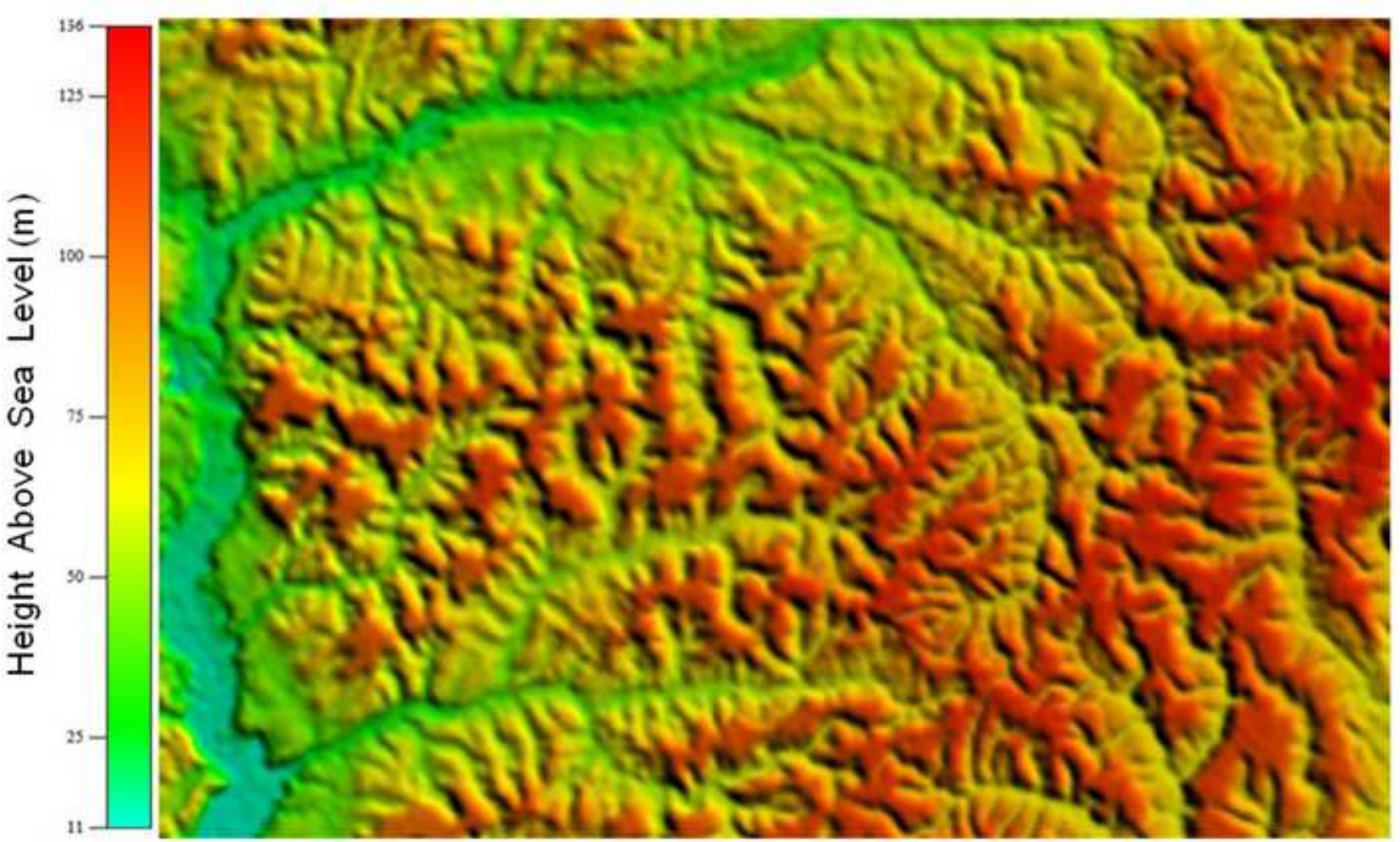


Figure 16

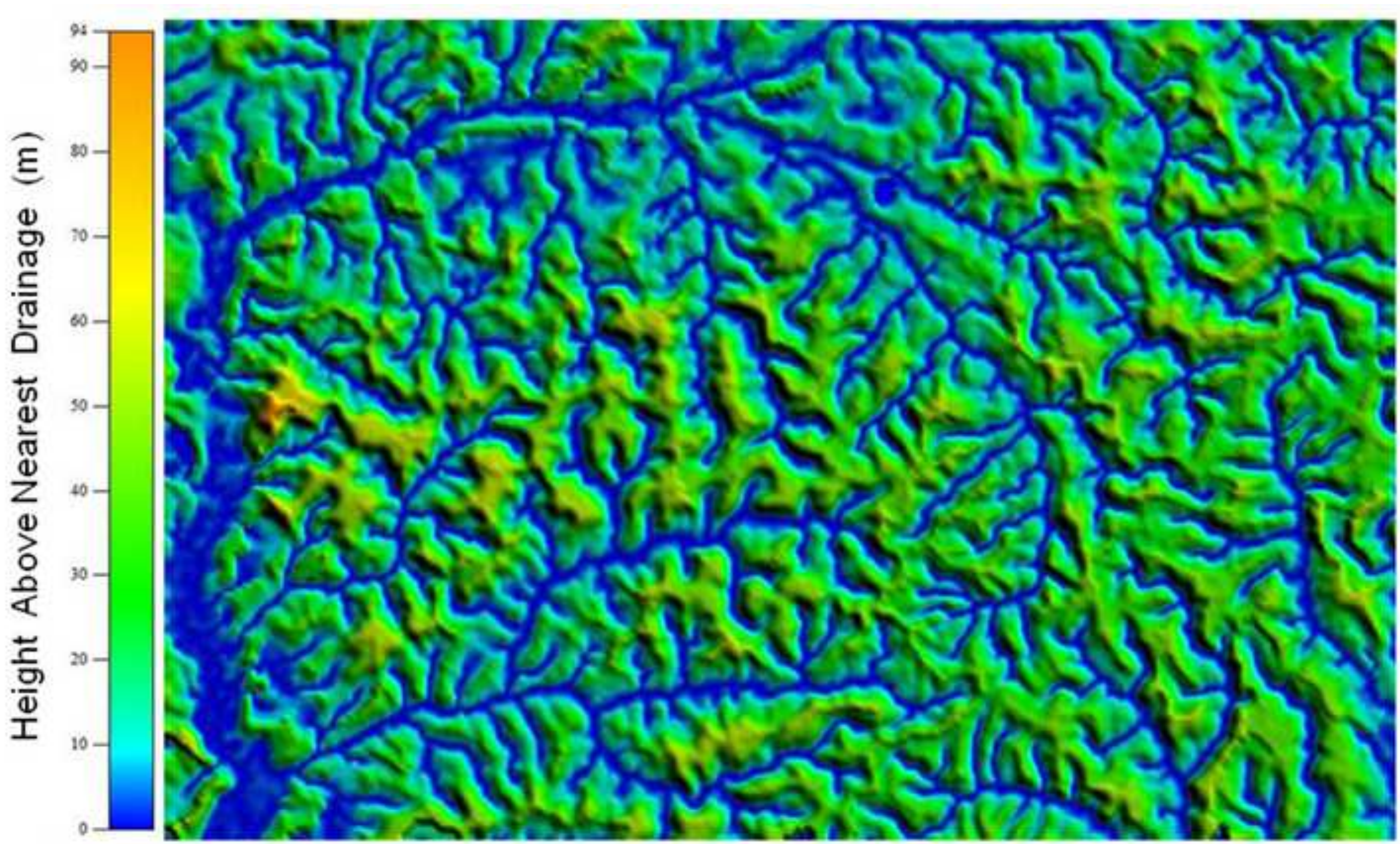


Figure 17

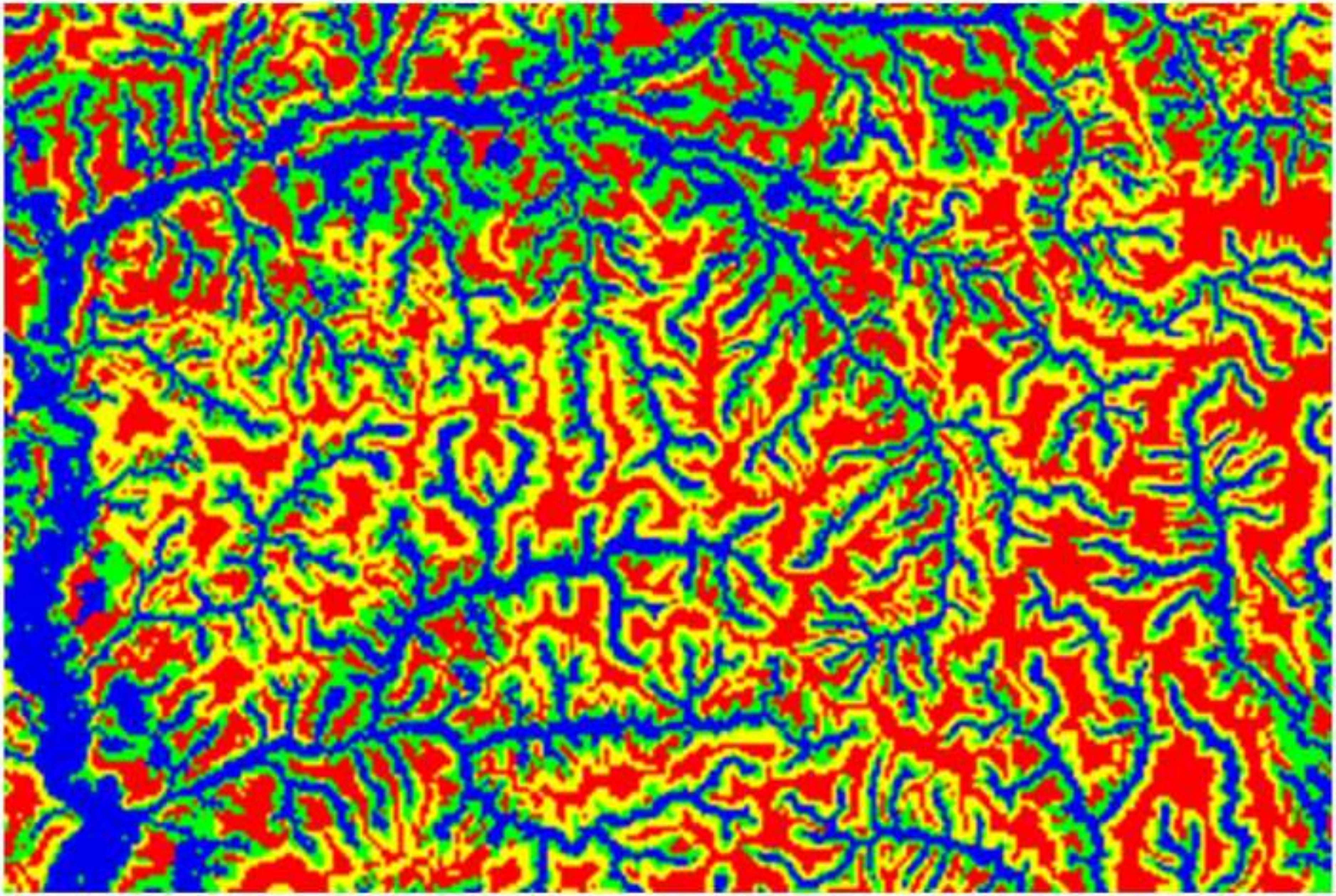
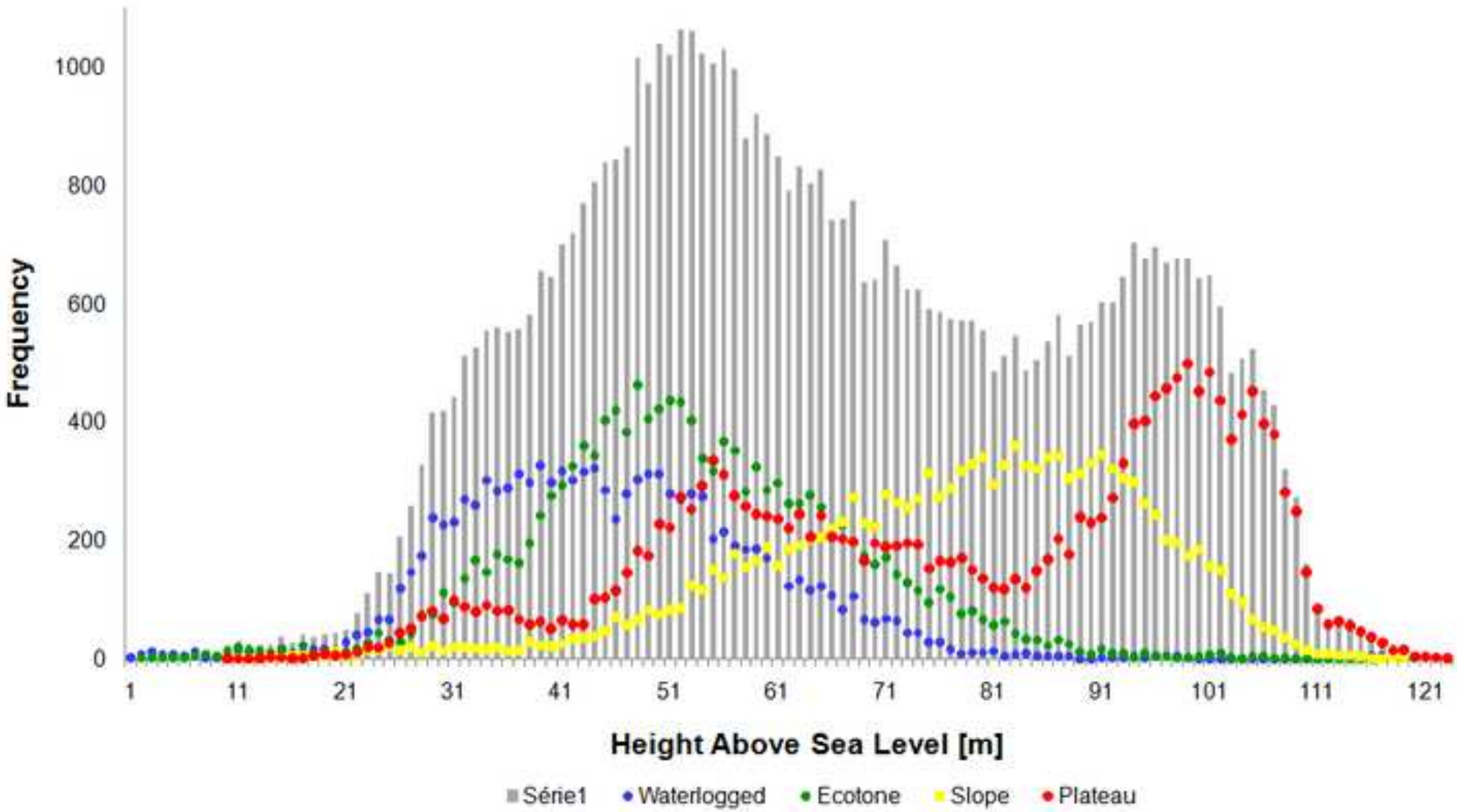
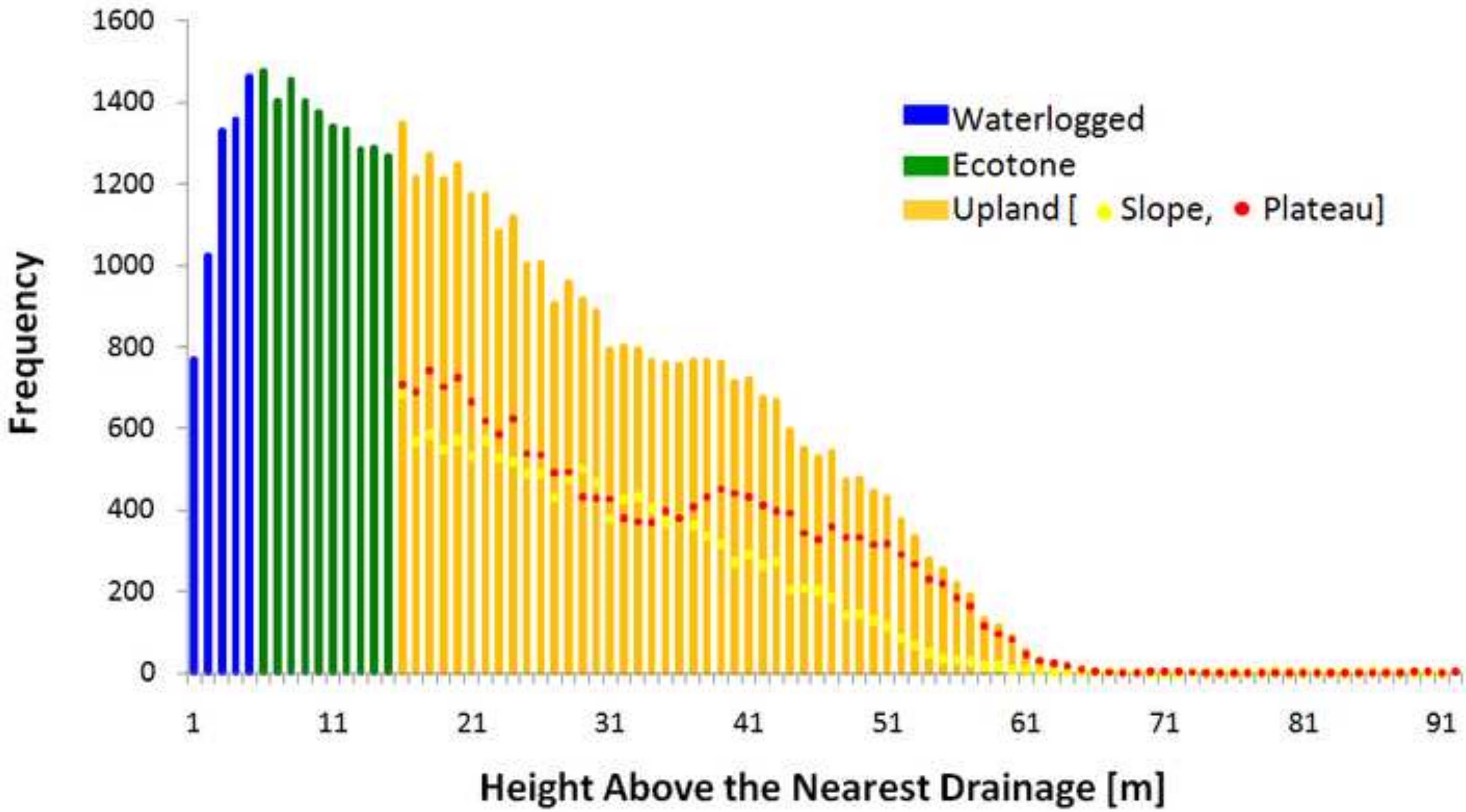


Figure 18



Frequency
1000
800
600
400
200
0
1
11
21
31
41
51
61
71
81
91
101
111
121
Height Above Sea Level [m]
Série1
Waterlogged
Ecotone
Slope
Plateau

Figure 19



1600
1400
1200
1000
800
600
400
200
0
Frequency
Waterlogged
Ecotone
Upland [Slope, Plateau]
1
11
21
31
41
51
61
71
81
91
Height Above the Nearest Drainage [m]

Figure 20

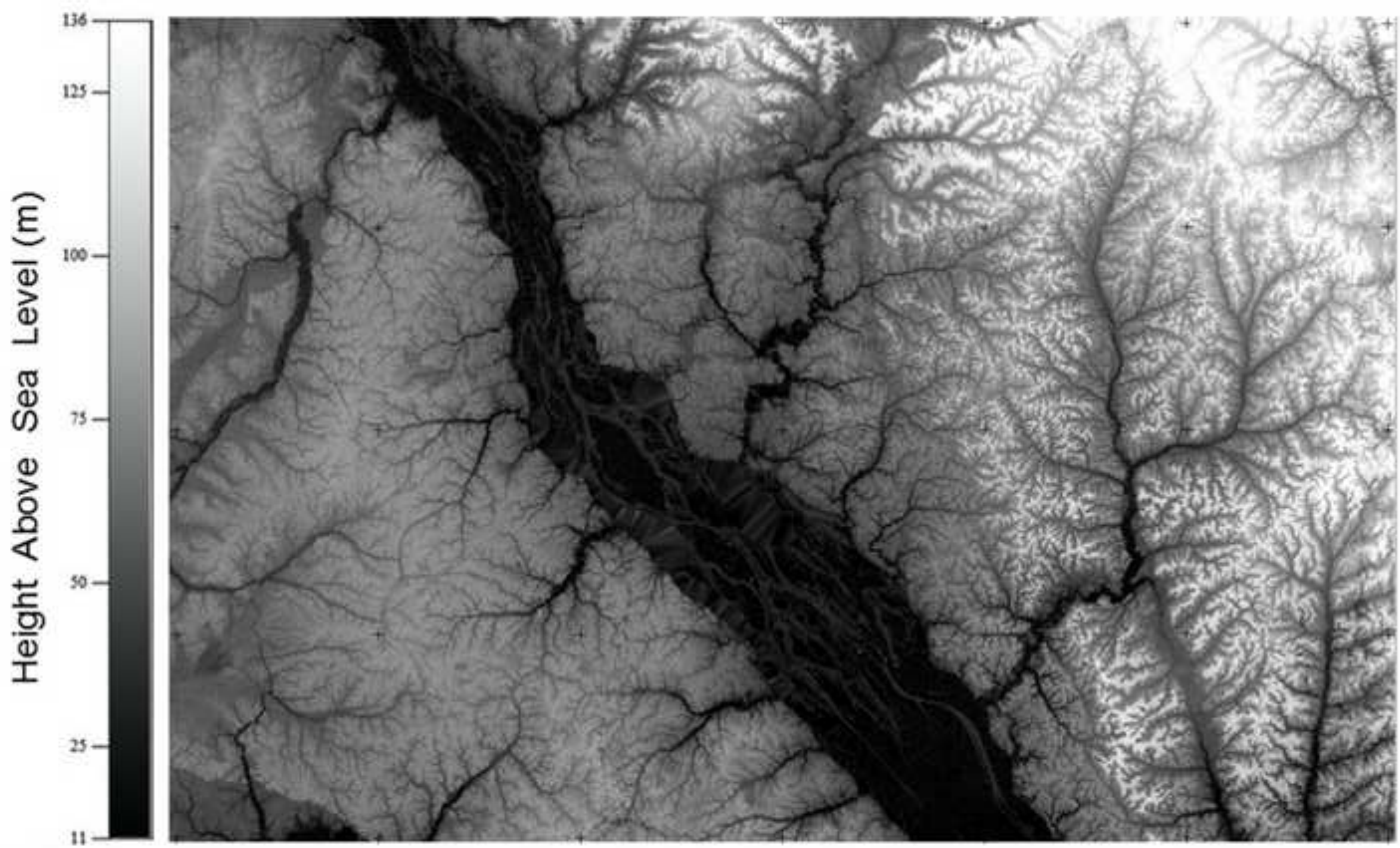


Figure 21

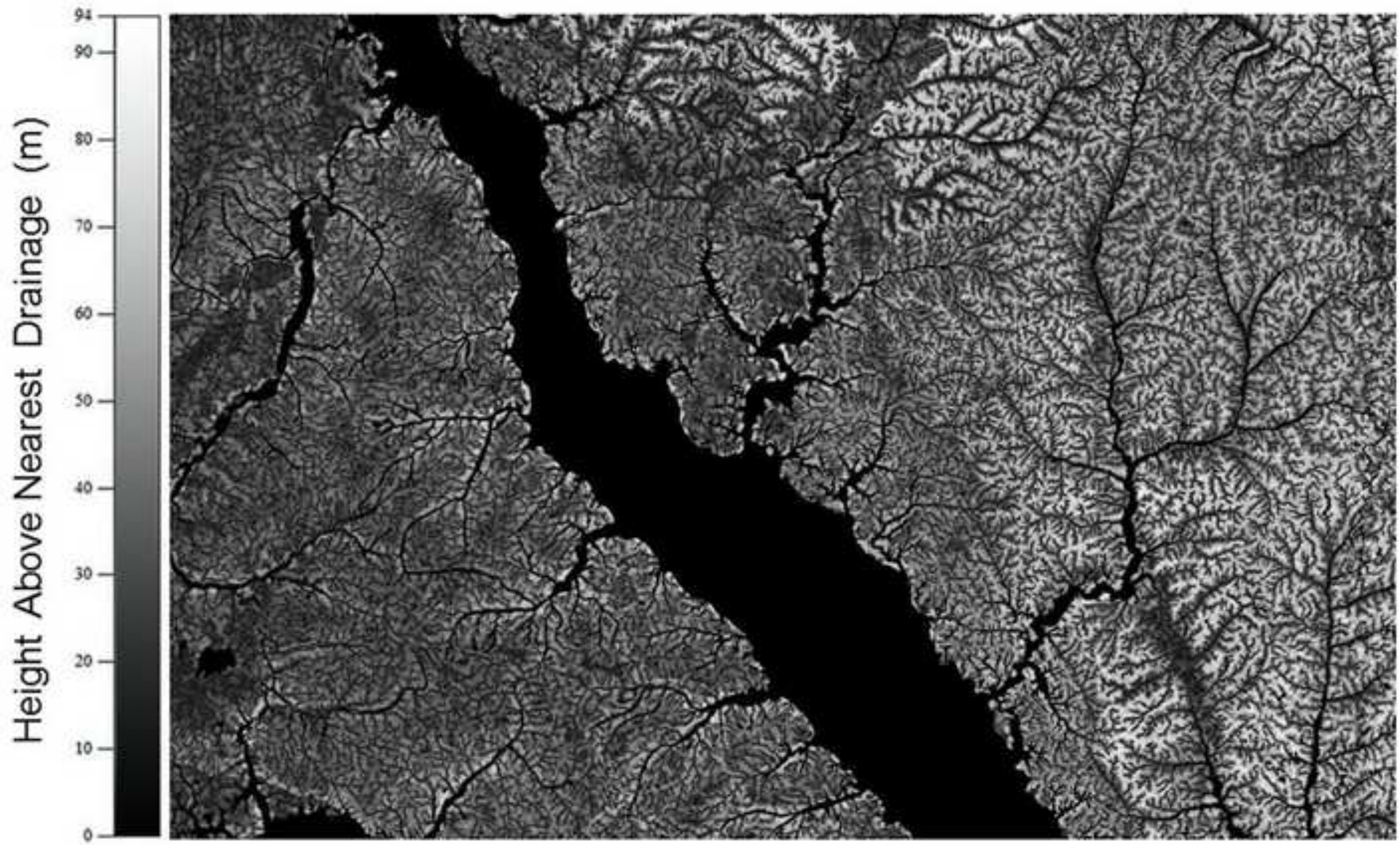


Figure 22

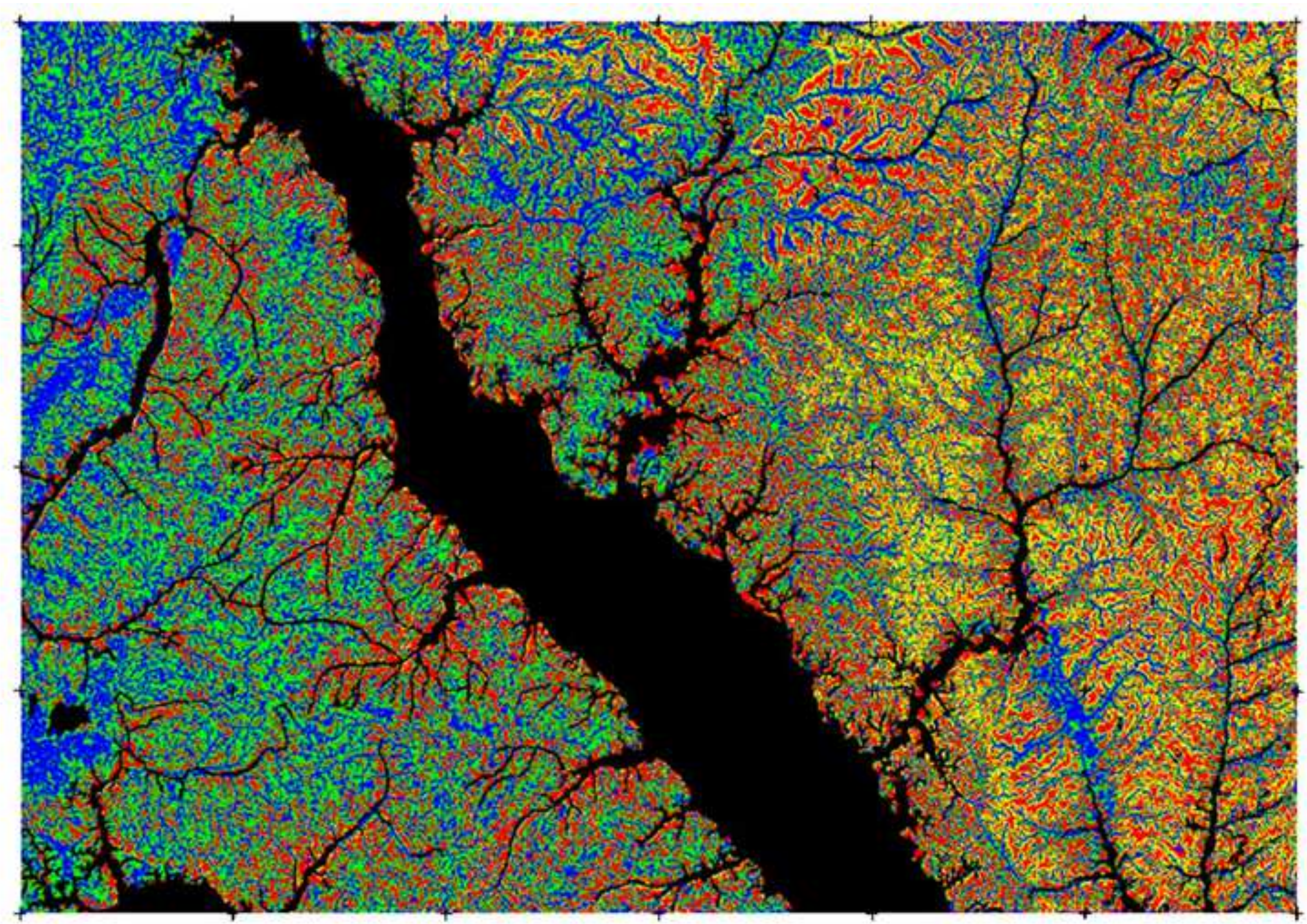


Figure 23

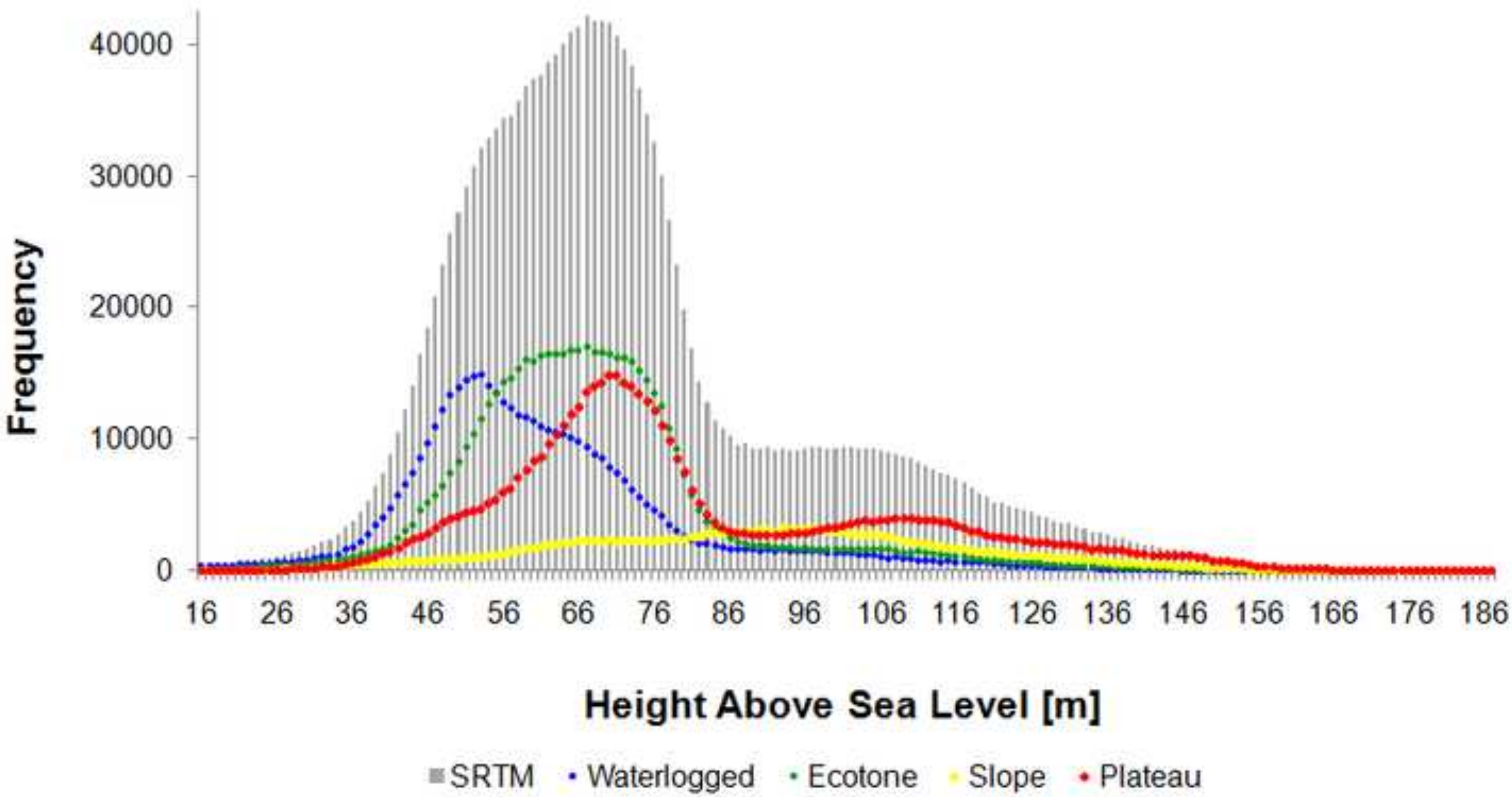

Frequency
40000
30000
20000
10000
0
16 26 36 46 56 66 76 86 96 106 116 126 136 146 156 166 176 186
Height Above Sea Level [m]
SRTM
Waterlogged
Ecotone
Slope
Plateau

Figure 24

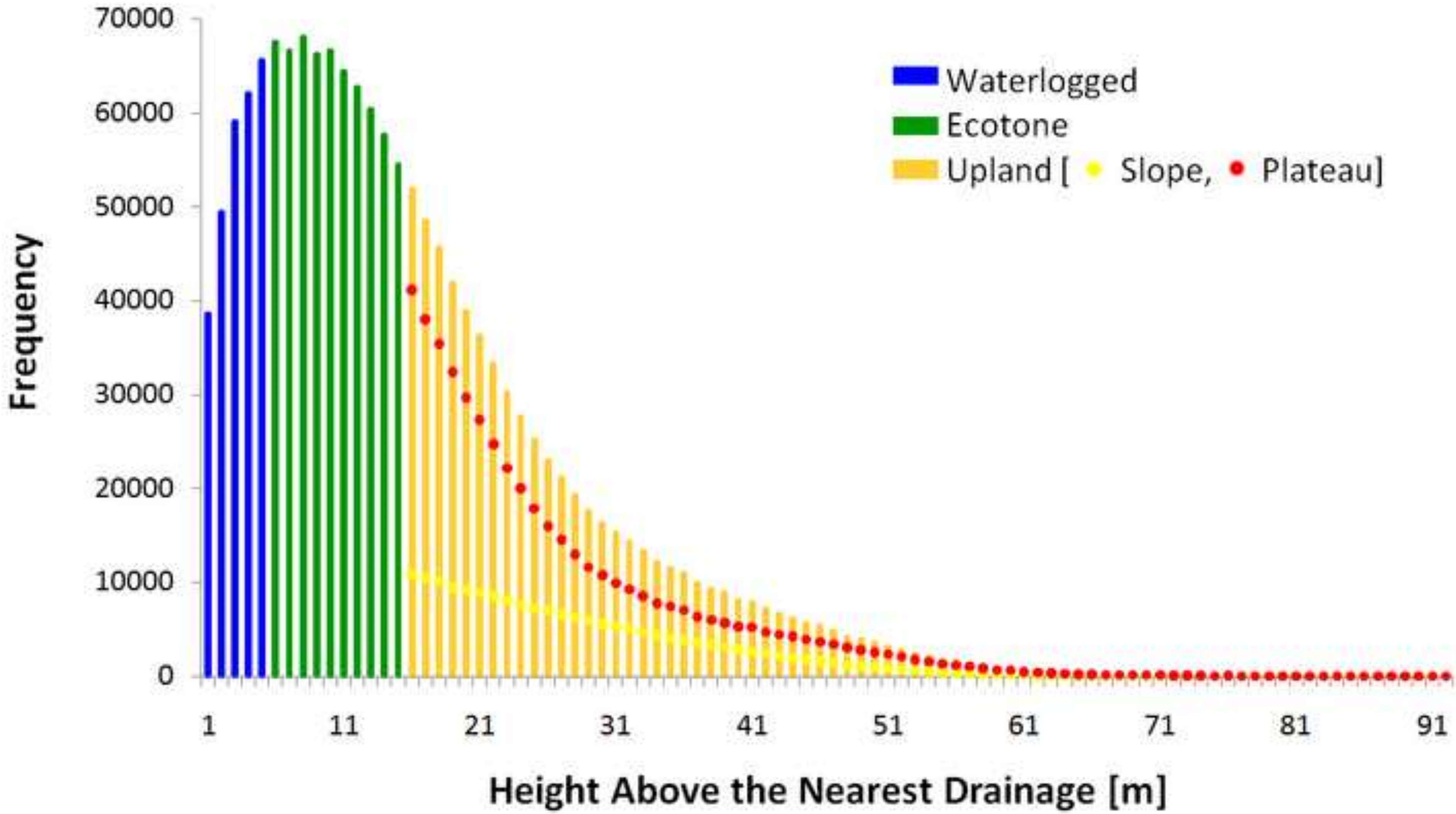
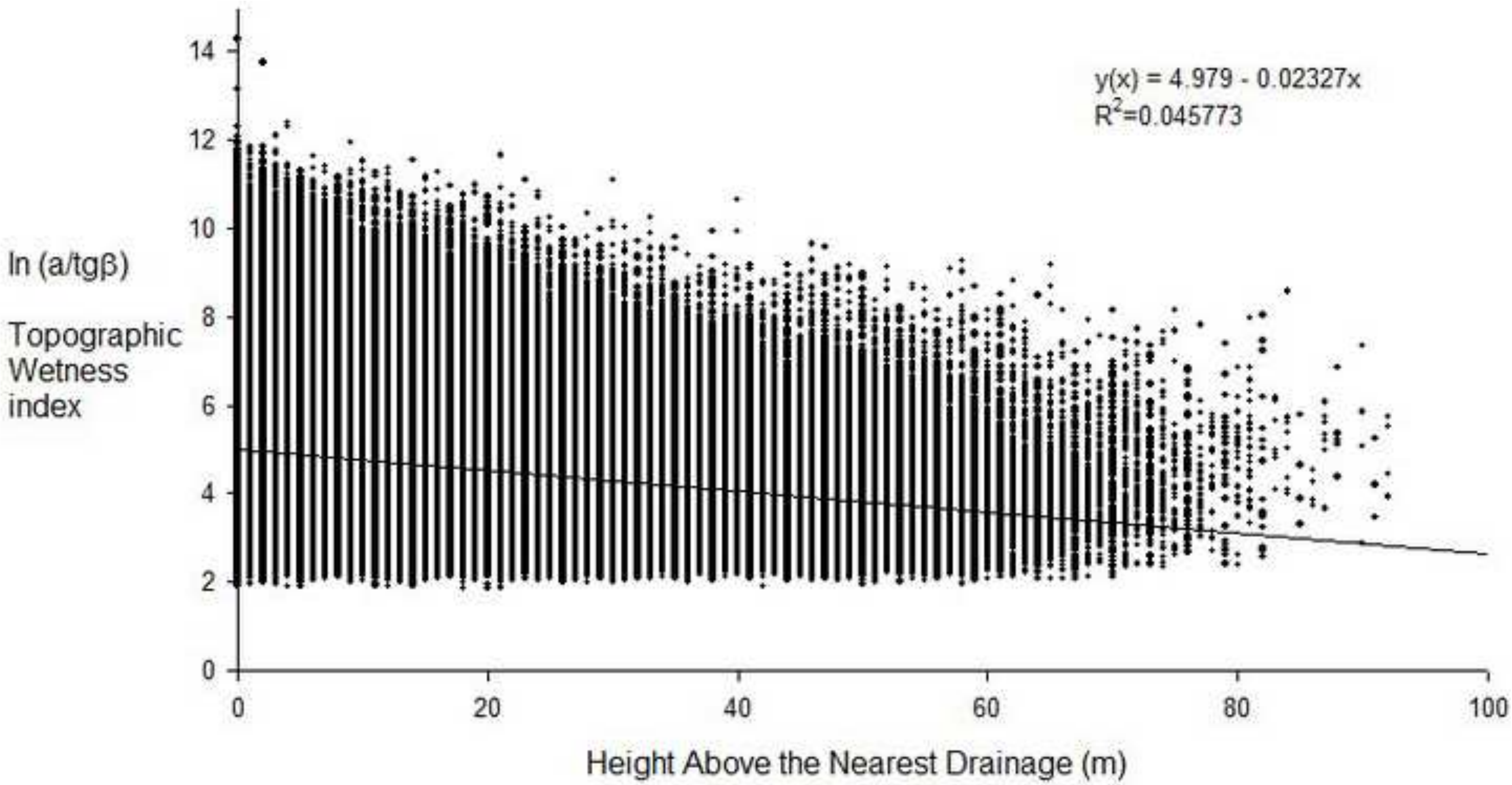

Waterlogged
Ecotone
Upland [Slope, Plateau]
Frequency
70000
60000
50000
40000
30000
20000
10000
0
1
11
21
31
41
51
61
71
81
91
Height Above the Nearest Drainage [m]

Figure 25



y(x) = 4.979 - 0.02327x
R2=0.045773
ln (a/tgβ)
Topographic Wetness index
0
2
4
6
8
10
12
14
0
20
40
60
80
100
Height Above the Nearest Drainage (m)

[*Color Version for Web*]

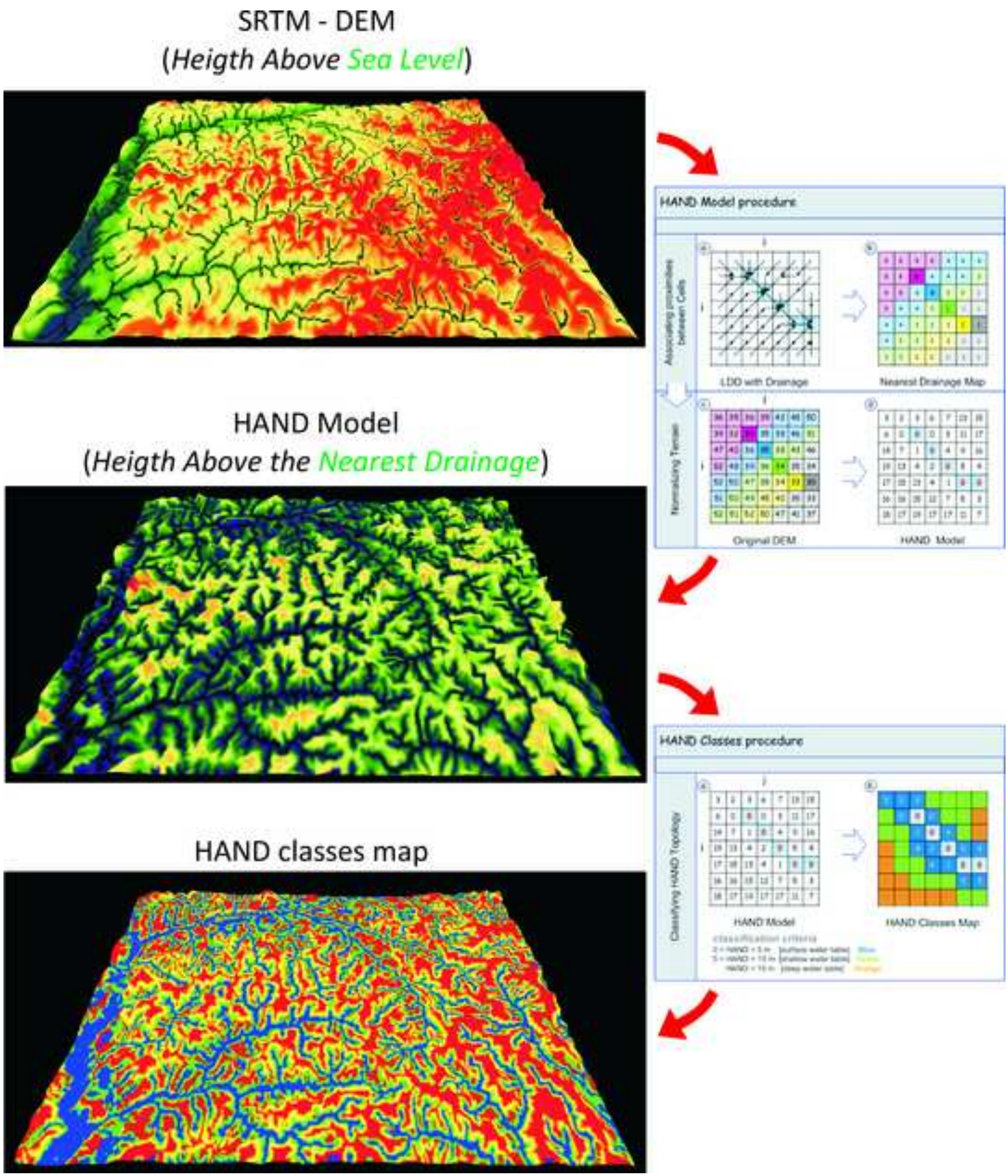
Table 1. Breakdown of areas of the four-class HAND map for the eastern Cuieiras

Class	Area km^2	% Area Terra-Firme	% Area Terra-Firme, grouped
Waterlogged	102.4	19.7	**Lowland**
Ecotone	121.2	23.4	43.1
Slope	159.2	30.7	**Upland**
Plateau	135.9	26.2	56.9
TOTAL	518.7	100	100

Table 2. Breakdown of areas for the four-class HAND map for the lower Rio Negro (Terra-firme = total area – flood land)

Class	Area km^2	% of Area	% Area Terra Firme	% Area Terra Firme, grouped
Floodland (mask)	3,386.4	18.3		
Waterlogged	3,886.2	20.9	25.6	**Lowland**
Ecotone	4,986.8	26.9	32.9	58.5
Slope	1,689.0	9.1	11.1	**Upland**
Plateau	4,605.1	24.8	30.4	41.5
TOTAL	18,553.3	100	100	100

Graphical Abstract



Height Above the Nearest Drainage, a hydrologically relevant new terrain model

Research Highlights

BULLETS for online material in Journal of Hydrology

- HAND, a new terrain model providing a novel and unique ability to classify terrain
- Terrain classes derived using HAND correlated well with soil water environments
- HAND maps were successfully applied to an area of 18000 km^2 in Central Amazonia
- HAND maps of environments are a new source of relevant landscape information
- Applications include landscape classification and hydrological parameterization