

1 **Water in the Critical Zone: Soil, Water and Life from Profile to Planet**

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6 **Abstract**

7 Earth is unique in the combination of abundant liquid water, plate tectonics and life,
8 providing the broad context within which the critical zone exists, as the surface skin of the
9 land. Global differences in the availability of water provide a major control on the balance of
10 processes operating in the soil, allowing the development of environments as diverse as those
11 dominated by organic soils, by salty deserts or by deeply weathered lateritic profiles. Within
12 the critical zone, despite the importance of water, the complexity of its relationships with the
13 soil material continue to provide many fundamental barriers to our improved understanding,
14 at the scales of pore, hillslope and landscape. Water is also a vital resource for the survival of
15 increasing human populations. Intensive agriculture first developed in semi-arid areas where
16 the availability of solar energy could be combined with irrigation water from more humid
17 areas, minimising the problems of weed control with primitive tillage techniques. Today the
18 challenge to feed the world requires improved, and perhaps novel ways to optimize the
19 combination of solar energy and water at a sustainable economic and environmental cost.

21 **1. Water and critical zone typology**

22 The earth provides a unique planetary environment in which liquid water, plate tectonics and
23 life have co-evolved to create the critical zone. Many of the interconnected processes are well
24 known, and described in greater detail elsewhere (e.g. Jacobson et al, 2000): the present
25 review focusses on the role of water within the soil system. Human existence relies on the
26 properties of this dynamic soil layer and the ways in which water helps to maintain and
27 regenerate the ecosystem services that it provides. Soil properties have been described as
28 depending on climate, biota, relief, parent material and time (Jenny, 1941). Although not
29 explicit in this list, water plays a vital part in almost all soil processes, mediating their
30 dependence on these five factors. In figure 1, the factors most directly linked to soil
31 development have been re-arranged to show the central role played by water in soil processes
32 (Hillel, 1971). Climate and parent material may be regarded as the most nearly independent
33 external controls on soil development, atmospheric exchanges somewhat less so, while
34 water plays a vital role as an intermediary, especially between climate, biota and soil. The
35 close interdependence of all these processes demands multidisciplinary research (Brevik et
36 al, 2015) to deepen our understanding.

38 The availability of water depends on the climate, defining the amount of precipitation, its
39 form, seasonality and variability from year to year. Water typically spends months (soil
40 water) to centuries (groundwater) within the critical zone, allowing it to interact effectively
41 with soil and bedrock constituents. The areal distribution and seasonal pattern of rainfall and
42 evapotranspiration are, therefore, the strongest global scale controls on critical zone
43 development.

45 Water in the soil provides the essential working fluid for plant growth, being directly
46 involved in photosynthesis and providing turgor, and is vital for all organisms in the soil
47 (Bardgett et al, 2001). The way in which biota interact with and influence the critical zone is
48 strongly linked to the intensity of water circulation through living organisms. Where water is
49 freely available, and potential evapotranspiration is high, biomass is generally high, including
50 both vegetation and soil organisms. Decaying vegetation provides soil organic matter and

51 also provides an important resource for the soil organisms that enhance decomposition, as
52 well as a dynamic reservoir for soil water.

53
54 Water, acting with gravity, drives many mechanisms that physically move soil grains and
55 aggregates and transport the soil, progressively modifying the topography, and so the way in
56 which the critical zone interacts with relief. As relief is progressively lowered, sediment
57 transport is generally reduced, due to the lower potential energy of overland and subsurface
58 flow, whereas chemical removal and water circulation remain important. This trend generally
59 leads to a deeper and more weathered critical zone as relief is lowered, progressively
60 modifying the soil structure and the pathways of water moving over and through the soil, and
61 with organisms actively exploiting the system to their advantage. Within-slope effects are
62 also observed as sediment and organic matter is transferred from upslope to downslope sites,
63 particularly through tillage erosion (e.g. Wright et al, 1990, van Oost et al, 2005).

64
65 Water interacts with nutrients and weathering products, and its flow redistributes dissolved
66 material. Water in the parent material acts as solute, dissolving weatherable minerals and
67 making them available for advective transport in flowing water and diffusive transport in
68 immobile water (Kirkby 1985). In arid conditions, material dissolved from parent material or
69 deposited in the wind is often re-precipitated within the profile as, for example, sodium salts
70 or calcrete. In humid conditions, solutes are largely carried away, progressively weathering
71 the residual soil.

72
73 Over time, the critical zone progressively evolves over similar time spans to the evolution of
74 the entire landscape. In some shield areas, this process appears to continue for many tens of
75 millions of years, but, more commonly the critical zone appears to approach a near steady
76 state of almost constant mechanical and chemical denudation in which the structure and form
77 of the critical zone is only very slowly changing while the landscape is continuously lowered
78 at a steady rate (Riebe et al, 2003) over time spans of 10^4 - 10^5 years. Until it reaches such a
79 steady state, the critical zone is in a state of transient change, either in response to external
80 shocks such as deforestation and climate change, or through the slow evolutionary changes in
81 vegetation. Human population growth and technical development are applying many other
82 stresses that seem to threaten the maintenance of stable earth systems, violating the planetary
83 boundaries within which humanity can safely operate (Steffen et al, 2015). During such
84 periods of transience or instability, many of the most immediate changes in internal processes
85 are strongly driven by changes in soil hydrology

86
87 At a global scale, the dominant control on soil development is the balance between climate
88 and atmospheric inputs. Climate controls the overall soil hydrology, that can be expressed by
89 the relationship between precipitation and potential evapotranspiration. Atmospheric mineral
90 inputs or outputs are partially dependent on the climate. Dust is perhaps the most important
91 single mineral component, source areas being associated with little vegetation cover and at
92 least some dry periods when the surface material can be entrained. Desert areas are the most
93 important source areas, but current and former glacial outwash areas are also significant,
94 currently generating about 10% of the global dust budget (Bullard, 2013). Areas downwind
95 of source areas receive dust, which is widespread globally, but most concentrated close to
96 source areas due to selective transportation of silt-sized material. Particularly high
97 concentrations form the areas of extensive loess accumulation, for example in China,
98 northern Europe and the American Mid-west. Other significant atmospheric exchanges are
99 associated with erosion and deposition of inorganic salts that are most concentrated close to
100 the ocean or exposed evaporate deposits (themselves more prevalent in current or former arid

101 areas). The relative importance of atmospheric inputs as agents of soil formation is strongly
102 dependent on the hydrological balance, between precipitation and evapotranspiration. (FAO,
103 1961; Prentice et al, 1992) In figure 2, the hydrological balance is compared with the
104 atmospheric exchange balance to define broad regimes of soil development. Where the
105 hydrological balance is very strongly positive (precipitation greater than potential
106 evapotranspiration) throughout the year, then organic material accumulates at the surface and
107 persistent waterlogging creates anoxic conditions that minimise decomposition of organic
108 matter, which accumulates as an organic soil. With a less positive and/or more seasonal
109 hydrological balance, the critical zone is dominated by loss of dissolved weathering products
110 and, given sufficient time, develops a deeply weathered profile, often lateritic. Once almost
111 all nutrients have been leached from the upper layers of soil, plants may eventually become
112 largely dependent on atmospheric inputs of nutrients dissolved in rainfall.

113

114 Under arid conditions, where the hydrological balance is negative, most of the precipitation
115 that enters the soil is lost in evapotranspiration, re-depositing any products of chemical
116 weathering within the soil, most frequently as calcrete layers, in some cases increased
117 through inputs of wind-blown dust. Extremely arid areas provide ideal conditions for
118 deflation, and, at the extremes, tend towards a rocky desert from which all fines near the
119 surface have been removed. If, however, there is accumulation of salts, from the sea or from
120 evaporites, then surfaces are instead dominated by salt accumulation and undergo rapid
121 weathering as salts crystallise within the rock (Lavee et al, 1998; Howell, 2009).

122

123 Thus, at a global scale, water relations provide the strongest control on evolution of the
124 critical zone. Important differences are, however, also due to the age of soils, for example
125 allowing accumulation of weathering products throughout the Cainozoic in some low latitude
126 shield areas, and incomplete re-cycling of material in areas of Pleistocene glaciation. .
127 Observed differences also reflect differences in parent materials (e.g. Dere et al, 2010;
128 Vitousek et al, 2016).

129

130 Although there are many alternative ways of conceptualizing the relationships between water
131 and soil, the development of the critical zone concept has perhaps done more than any other
132 to transform the study of the soil and to emphasise its essentially multidisciplinary nature
133 (Brantley et al, 2007; Lin 201; Anderson & Anderson, 2010; Anderson, 2012; Brevik et al,
134 2015). Inevitably some aspects of this re-focussing overlap with existing components of
135 earth science, the establishment of Critical Zone Observatories (CZOs), first in the United
136 States (Anderson et al, 2008) and now internationally (Banwart et al, 2012), is doing much to
137 foster new research and improve our understanding of how soil is related to the landscape at
138 hillslope to global scales.

139

140

141 **2. Movement of water within the critical zone**

142 At finer scales, the relationships between water and soil are in the domain of soil hydrology
143 and soil physics. In both of these fields, there are many questions that are not fully resolved
144 and, because of their importance, a considerable literature.

145

146 At the finest scale, flow of water within the soil is most commonly described by the Richards
147 (1931) equation, re-stating, for an unsaturated soil, Darcy's (1856) law that the rate of flow is
148 proportional to the pressure gradient. However, the Darcy/Richards approach assumed that
149 as flow passes through the soil, there is complete mixing between the flowing threads of
150 water, and there are commonly substantial deviations from this assumption, because pore

151 sizes and shapes vary, so that water travels faster through macropores when close to
152 saturation, bypassing flow through the finer pores of the soil matrix (Beven and Germann,
153 1982, 2013). Macropores are widespread, due to the contrast in pore sizes between and within
154 individual soil aggregates, as well as more extreme contrasts produced by cracking in clay-
155 rich soils and open pore spaces around stones in the soil. In some cases the behaviour of the
156 soil can be dominated by flow in either the matrix or the macropores, but this response varies
157 with the moisture content as well as over time in swelling soils. In many cases therefore a
158 more complex model is required, for example involving dual porosity and marked hysteresis.
159 Experimental evidence is showing the intricate three dimensional patterns of wetting and
160 draining in a block of soil (e.g. Weiler & Naef, 2003; Haber-Pohlmeier et al, 2009) but, to
161 date, there is no simple model that adequately describes the range of observed behaviours.
162 Simple infiltration equations are still being applied as a necessary phenomenological tool, but
163 it is clear that they can only represent a single prior soil state, for example ponded infiltration
164 into an initially dry soil.

165

166 Unsaturated flow in the soil takes place predominantly in the vertical direction, as rainfall
167 percolates toward a saturated level (if there is one) where lateral flow occurs, predominantly
168 in the saturated phase. This contrast reflects the lower hydraulic gradient and the much larger
169 distances involved in lateral flow, so that only saturated flow is able to drive significant
170 volumes of water.

171

172 Under climates, and during seasons, where precipitation is less than potential
173 evapotranspiration the movement of water is predominantly vertical: infiltrating water
174 supplies evapotranspiration, only penetrating deeply into the soil in the largest storms, and
175 there is little or no surplus to drive lateral flow. When precipitation exceeds potential
176 evapotranspiration, the excess can only be carried away by lateral flow, which may be
177 overland, within the soil or in groundwater. This dichotomy, often with seasonal switching
178 between these modes (Grayson et al, 1997), shows strong contrasts in the downslope
179 connectivity that is established by lateral flow. In a place and season dominated by vertical
180 fluxes, each point responds independently to the rainfall supply and evapotranspiration
181 demand, and common responses are filtered by local heterogeneities. Lateral connectivity is
182 only briefly established during relatively infrequent flow events, usually overland, so that, in
183 general, behaviour at a point responds only to very local influences. Where lateral flow is
184 dominant, there is a near-continual connection, commonly subsurface, and the hydrological
185 response at any point integrates the effects of every point upslope that drains towards it.

186

187

188 At the soil surface, overland flow is generated either when rainfall exceeds the infiltration
189 capacity (Horton, 1933) or when the surface soil is saturated (Hewlett & Hibbert, 1967;
190 Dunne & Leopold, 1975; Kirkby, 1978; Beven, 2000). The former, infiltration excess
191 overland flow, is dominant in semi-arid areas where rainfall exceeds potential
192 evapotranspiration so that the soil is dry. Rainfall impact crusts the bare soil surface around
193 the sparse vegetation, while shrubs may funnel water towards their roots (Cammeraat et al,
194 2010) setting up a strongly contrasting patchwork of infiltration. The latter, saturation excess
195 overland flow, occurs mainly in humid areas, where rainfall is greater, generating substantial
196 subsurface flow and a strong vegetation cover. However under many Mediterranean and
197 other seasonal climates, there is switching between these modes during the year and, even in
198 humid areas, and particularly where cultivated fields are bare for part of the year, extreme
199 rainfalls may generate infiltration excess overland flow. When saturated overland flow
200 occurs, the contributing area commonly expands as saturation builds outward from stream

201 banks and stream-head hollows, driven by concentration of subsurface flow from upslope and
202 the accumulation of rainfall on the nearly saturated ground. Infiltration excess overland flow,
203 when it occurs, tends to be generated more uniformly, so that flows, when they occur, tend to
204 be more flashy and more damaging. However, there remains a very strong variability in local
205 infiltration capacity, so that, particularly at the beginning of a storm, the detailed pattern of
206 overland flow is characterised by patches of flow generation and re-infiltration which persist
207 until flow becomes general (Kirkby, 2014) and is then dominated by local flow convergence
208 steered by the micro-topography (figure 3).

209

210

211 In humid areas, particularly under forest, there is an extensive literature (e.g. Barthold &
212 Woods, 2015) on subsurface flow mechanisms. There appears (Tromp-van Meerveld and
213 McDonnell, 2006) to be strong similarity in many cases between the mechanisms of
214 subsurface flow and those of infiltration excess overland flow. In each case, rainfall fills
215 depressions and/or infiltration storage and flow begins as these progressively spill over to
216 form connections. The surface for which this process is most critical may be the ground
217 surface (for infiltration excess overland flow), or a subsurface level below which there is a
218 sharp decrease in permeability, whether due to soil layering or at the soil-bedrock interface.
219 Experimental (e.g. Graham et al, 2010) and modelling data (e.g. Kirkby 2014, Penuela et al,
220 2015) supports percolation theory (Stauffer & Aharony, 1985; Ali et al, 2013) in finding that
221 the response of such a system to increasing rainfall amounts shows a rather sharp threshold,
222 below which there is negligible flow, and above which there is transition to a near-linear
223 increase in connected flow. Since the sharpness of the threshold varies, it may be best to
224 define the storm size at which 50% of rainfall runs off as a theoretical threshold.

225

226 Two valuable ways of generalising response at the hillslope scale are through the concepts of
227 connectivity (McGuire & McDonnell, 2010; Bracken et al, 2015) and residence time (e.g.
228 Tetzlaff et al, 2010). At its simplest, connectivity queries the presence or absence of a
229 through connection between two points. However, it has proved more fruitful for describing
230 the totality of connections from points in an area to an outlet point, and is thereby linked to
231 the runoff coefficient. Connectivity has been widely applied in ecology (McCrae et al, 2008)
232 applying an analogy with electrical conductivity, but the one-way nature of water flow
233 downhill makes this less applicable in hydrology. Instead the application of percolation
234 theory or the concept of a breakthrough volume to establish connections have proved more
235 applicable, and continue to be developed (Larsen et al, 2012; Janzen & McDonnell, 2015).
236 Residence time is, in a way, the inverse of connectivity, long residence times being
237 associated with poor connectivity for a given reservoir size. The great value of residence
238 time is that its mean value and distribution can be quantified using tracer methods. Perhaps
239 these methods may provide the basis for a better understanding of how water interacts with
240 the critical zone, by focussing on the hillslope rather than the soil profile scale.

241

242 Within even a relatively simple soil profile, there are a number of inter-connected reservoirs
243 of water (Figure 4) Rainwater infiltrates into the soil matrix and in films along the walls of
244 macropores, filling them completely only when the soil is saturated. Further infiltration into
245 the soil matrix takes place along macropore walls. Mainly during storms, some water is able
246 to reach a perched or regional saturated level where it provides most saturated lateral
247 subsurface flow. Water in the matrix provides the main reservoir for extraction by plant roots
248 as transpiration, newly infiltrated water mixing with water that has already resided in the
249 matrix for many months. Saturated subsurface flow also comes from a reservoir in which old
250 and new water are mixed together (McDonnell, 2014; Kirchner et al, 2000). During a storm,

251 therefore, much of the ‘new’ rainwater is replacing local storages, while much of the slope
252 base outflow consists of older water that is being pushed out. In soil profiles and soil catenas
253 more complex than the cartoon of figure 4, and where flood plain deposits abut hillslope
254 catenas, the possible pathways and range of residence times are further increased (Tetzlaff et
255 al, 2010; McGuire & McDonnell, 2010).

256
257 Some storm precipitation is not involved in this fill and spill process. Until break-through
258 occurs, all of the rainfall; and after break-through a small fraction, percolates downwards
259 commonly reaching a level of saturation. Where and when precipitation is of the same order
260 as, or exceeds potential evapotranspiration, this downward percolation contributes to lateral
261 subsurface flow that brings the saturation level progressively closer to the surface in response
262 to flow rates that respond to hillslope plan and profile form: in less humid areas this
263 percolation only occurs in the largest storms, and most water is lost to evapotranspiration.
264 Subsurface flow between and during storms, if it occurs, establishes a dynamically varying
265 saturated area, usually along slope-base concavities and plan-convergent stream heads.
266 Rainfall falling on these saturated areas cannot enter the soil, but is immediately diverted as
267 saturation excess overland flow. The fill and spill level and the saturated subsurface flow
268 level are discussed here as being physically separate, but may be vertically adjacent, distinct
269 or combined and/or in multiple layers. In many cases one or other of these mechanisms
270 dominates the hydrological response of a hillslope or headwater area (Beven, 2000; Tarboton,
271 2003). Both fill and spill mechanisms and saturated contributing area mechanisms share a
272 very strong non-linearity in response to storm size, corresponding to the increasing
273 connectivity of flow. At extremes which are rarely achieved, there is 100% connectivity, but
274 most observations reflect the region of increasing partial connection (e.g. Bracken et al,
275 2013), although the mechanisms of establishing connected flow differ, with persistent
276 subsurface connection for saturation excess and episodic connection in storms for fill and
277 spill dominated systems.

278
279 For infiltration excess overland flow and other fill and spill regimes, connection is typically
280 established dynamically during the course of each individual storm, and decays rapidly
281 afterwards. For saturation excess regimes, initial connections are established by subsurface
282 flow that persists between storms in areas where precipitation exceeds potential
283 evapotranspiration. The saturated area continues to expand during a storm, and connectivity
284 is only slowly lost, often on a seasonal time scale (Reaney et, 2014). Over a period, an area
285 may experience fill and spill runoff when storm rainfall exceeds some threshold; and may, at
286 other times, experience saturation excess runoff when net rainfall over a period exceeds
287 another threshold. The fill and spill threshold depends on the structure of vertical storage
288 within the soil, whereas the saturation excess threshold depends on topographic wetness
289 index and near-surface lateral permeability (Sivaplan et al, 1987, Kirkby et al, 2008). Clearly
290 semi-arid areas, with little net rainfall, rarely experience saturation excess runoff, but both
291 mechanisms can co-exist in an area, often with seasonal switching between the two modes
292 (Kirkby et al, 2011)

293

294 **3. Water as a transporting medium in the critical zone**

295 As parent material weathers, breaks down into smaller fragments and is eventually removed
296 by erosion at the surface, it passes through the critical zone from bottom to top. Figure 5
297 sketches the path of grains from the parent material for a steady state in which the critical
298 zone depth remains constant, surface erosion balancing advance of the weathering front.
299 Initially a grain is subjected mainly to chemical weathering, so that it approaches the surface
300 vertically, relative to the downward advancing weathering front. As grains get closer to the

301 surface, they become increasingly influenced by diffusive movements in the soil. These all
302 gradually move material down-slope, at a rate that decreases with depth. Eventually erosion
303 will expose grains at the surface and remove them (Anderson et al, 2002). There is a lateral
304 flux of eroded sediment and weathering products in solution at every point down the length
305 of the hillslope, and, perhaps after intermediate deposition, this material is finally exported at
306 its base, normally to a channel.

307

308 Water plays an essential part in these processes, generally percolating less and less with depth
309 where it interacts with rock minerals to release solutes and advance the weathering front
310 (Anderson et al, 2007; Kirkby, 2015). The water is then partly diverted laterally, and partly
311 returned to the surface as evapotranspiration. In semi-arid climates, where potential
312 evapotranspiration exceeds precipitation, there is little lateral movement, and many solutes
313 are re-deposited beneath the surface. In more humid climates, lateral flow carries solutes
314 away, and weathering produces a much greater loss of rock substance.

315

316 Within the soil, slow diffusive movement is commonly driven by freeze-thaw, wetting-drying
317 and/or bioturbation, and all of these respond positively to the presence of soil water. Where
318 the slope configuration is suitable, larger and more rapid mass movements can also move
319 critical zone materials downhill, usually under conditions close to saturation. At the surface,
320 raindrop impact and overland flow drive soil erosion, which is most effective where the
321 surface is not protected by vegetation or stone cover. In all of these ways, the action of water
322 is strongly instrumental in shaping the path followed by grains as they migrate through the
323 critical zone (figure 5) and progressively reduce in grain size.

324

325 Weathering processes progressively convert strong rock minerals, that have generally been
326 synthesised under high temperatures and pressures in an anoxic environment, to weathering
327 products that are closer to equilibrium with surface conditions and oxygen levels. In this
328 process most minerals lose strength, eventually converted to granular sand or silt and clay
329 minerals. This loss of strength and reduction in grain size facilitates lateral movement of
330 weathered material close to the soil surface. The balance between chemical(C) and
331 mechanical (M) denudation rates determines the degree of weathering of surface soils. The
332 depletion ratio (Riebe et al, 2003), defined as $C/(C+M)$ is a measure of the degree of
333 weathering in the soil, and generally increases in humid climates (with high C) and decreases
334 where slope gradients are high (with high M). Low rates of mechanical denudation reduce
335 stripping of the soil, which then accumulates to greater depth and, in turn, reduces chemical
336 denudation, so that depletion ratios, in any given rock/climate environment, tend towards a
337 stable end-point value.

338

339 Water also plays an important role in the carbon and nitrogen cycles that are central to
340 biological activity.

341 Much of the Nitrogen in circulation comes from the application of artificial fertiliser for
342 agriculture, and in deposition around urban areas. Although essential for the increased yields
343 it promotes, it is also one of many organic and inorganic pollutants that reach the soil through
344 direct application and/or in wet and dry deposition (Keesstra et al, 2012). These pollutants or
345 their metabolites play an increasing role in contaminating stream groundwater, with
346 potentially adverse effects on soil organisms and human health (Davidson, 2009).

347

348 Overland flow, however generated, is the key agent of soil erosion. Unprotected soil surfaces
349 are impacted by raindrops that break up and detach surface aggregates, packing some down
350 to crust and seal the surface, and ejecting some either into the air (rainsplash) or, where water

351 is already flowing downslope, into the flow (rainflow). Once flow becomes sufficiently
352 strong, due to topographic convergence and/or at high rainfall intensities, the tractive stress
353 exerted directly by the flowing water becomes sufficient to erode the surface and detach
354 material (rillwash). When this happens, the flow begins to incise channels into the surface,
355 thereby increasing the convergence of flow lines in a positive feedback that leads to rilling or
356 gullying. All of these processes are highly size-selective, transporting the finest material
357 farthest from its detachment point, and rates of movement increase with slope gradient
358 (Knapen et al, 2007).

359

360 Surfaces may be protected either by vegetation or by stone cover. The crown cover of
361 vegetation breaks the impact of falling raindrops, so that they then strike the ground with low
362 momentum and detach little material (except under high-crowned trees). Stones protect the
363 surface directly, and each stone tends to shield a rim of soil in its immediate shadow, so that
364 it does not become crusted (Poesen et al, 1994; Cerda, 2001). Crusting, particularly in silt-
365 rich soils, is very effective in reducing infiltration and therefore increasing overland flow and,
366 indirectly, erosion. Where the soil is stony, initial erosion tends to winnow out the fine
367 material until the stones, that are less easily carried away, are left behind to armour and
368 partially protect the surface from further erosion. Deep gullying is therefore strongly
369 associated with deep soils that are deficient in stones, either through the action of weathering
370 or as a property of the parent material: thick loess deposits provide an extreme example.

371

372 Agricultural fields, at times of year when the surface is almost bare, are generally vulnerable
373 to greater erosion than areas of semi-natural vegetation, particularly so when this period is
374 also one with a high risk of intense rainstorms. During a severe storm, rills generally form
375 with a more or less regular spacing. At the same time as their bed is being incised by the
376 concentrated flow, material is also being delivered to them by rainsplash and rainflow from
377 the intervening areas, so that their downward incision may be self-limiting, often cutting
378 down only to a hardened plough-pan level.

379

380 On all but the steepest slopes, slow mass movements, soil erosion by water and chemical
381 denudation are the dominant processes through which hillslopes evolve over time. Under
382 diffusive processes such as soil creep, rainsplash and tillage erosion, hillslope profiles
383 gradually evolve towards a mainly convex form, with a narrower concavity towards the base,
384 as has long been observed (Gilbert, 1877). In steeplands however, rapid mass movements
385 assume the dominant role, and tend to produce almost rectilinear slopes once cliffs have been
386 eliminated. The much higher rates of sediment transport create a critical zone that generally
387 remains thinner, and with lower chemical depletion ratios than on lower-gradient slopes, even
388 though the shallow soil depth promotes a relatively high rate of chemical denudation
389 (Embersson et al, 2015).

390

391 Sediment transport, also shapes the three-dimensional landscape geometry, through the
392 interplay of diffusive and advective sediment transport processes. Where advective sediment
393 transport by water is able to evacuate sediment faster than it can be replaced by diffusive
394 processes or mass movement, then channels become progressively incised, defining the
395 drainage density of the landscape, and so the average length of hillslope profiles. This is a
396 dynamic process in which major storms are responsible for headward stream extension, and
397 fresh headcuts are partially infilled between major storms, so that the instantaneous stream
398 head position fluctuates, reflecting recent storm history. Drainage density tends to be higher
399 in more arid climates, reflecting the dominance of surface flow processes where vegetation is

400 sparse. Density also tends to increase with valley gradient, because advective transport
401 generally increases more than diffusive transport as gradient increases (Montgomery &
402 Dietrich, 1992).

403

404 The interplay of hillslope and channel processes responds not only to climatic variability but
405 also to land use changes that modify sediment supply, most strikingly following changes in
406 land use. Where land use change exposes more bare soil, as in deforestation and adoption of
407 arable farming, runoff and sediment load tends to increase. Channel runoff is generally less
408 strongly affected by local changes, so that the increased sediment delivered from side slopes
409 is redeposited along channelways because their transporting capacity is not proportionally
410 increased (Rommens et al, 2005). Contrariwise, afforestation can lead to stream incision
411 (Keesstra, 2007, Sanjuan et al, 2010).

412

413 These considerations show that water plays a crucial role in almost all processes acting within
414 the critical zone, and across the full range of landscape scales (Brantley et al, 2007; Anderson
415 et al, 2015). Although other factors, such as lithology and tectonics, also play a very
416 important role, climate, principally acting through the availability and distribution of water,
417 has a dominant influence on the structure and composition of the soil, on the rates and styles
418 of mechanical and chemical denudation, and on the profile form, plan shape and length of
419 hillslope profiles. Many of the processes involved in shaping three-dimensional hillslope
420 form are now being incorporated into successful landscape evolution models (Tucker et al,
421 2001; Egholm et al, 2013) including the effects of non-linear diffusion (Roehring et al,2001).
422 However, the incorporation of chemical solution in these models perhaps remains their least
423 satisfactory component (Brantley et al, 2007).

424

425 **Water for plant growth**

426 Roots grow actively to seek pore water which they require to maintain their turgor against
427 strong capillary tension and to permit photosynthesis. Except where a saturated zone in
428 within reach of their root system, the water that plants use appears to come mainly from the
429 matrix within soil peds, and is substantially separate from the water in cracks and macropores
430 between aggregates that is the main contributor to stream flow (McDonnell 2014). When
431 water flows through macropores, it also infiltrates into the peds beside each macropore,
432 recharging the soil matrix which then provides a longer lasting store of water to supply the
433 plants (Germann and Beven, 1985). Water also supports soil microflora, especially fungi,
434 bacteria and viruses; and fauna from termites and earthworms to nematodes and protozoa that
435 graze, mainly on bacteria and living plant material or their organic matter residues. Bacteria
436 are important in catalysing weathering processes and, with some fungi (mycorrhiza), support
437 plant growth by fixing atmospheric nitrogen. The various soil organisms are essential to a
438 healthy soil, and typically contribute up to 5% of the total organic soil biomass.

439

440 It has been argued (Schymanski et al, 2008) that the vegetation cover develops in such a way
441 as to maximise its productivity, and such a principle of optimality may be a way to simplify
442 the complex web of interactions linking vegetation and soil organisms to water use. Most
443 existing models, however, use a more physically based set of constraints to model vegetation
444 and how it may respond to global climate change (e.g. Scheiter et al, 2013).

445

446 Matrix water is most frequently available near the soil surface, since macropores are most
447 frequent there, and are commonly active with every rainfall event. Roots require water and
448 oxygen and partly to mirror this distribution, often with a more or less exponential decay in
449 density with depth. Some plants also develop deep tap roots that can reach down to a water

450 table at 10 m or greater depths, a strategy favoured by semi-arid phreatophytes that exploit
451 local water tables below ephemeral streams.

452

453 Water is probably the most important agent responsible for the structure and processes within
454 the root zone; its presence and distribution, acting through the vegetation and soil organisms,
455 enabling the processes of decomposition and bioturbation that dominate these surface layers
456 of the critical zone, and these processes profoundly modifying the soil structure and
457 hydrology.

458

459 Plant roots and mesofauna (e.g. earthworms and termites) physically break up the soil,
460 allowing the penetration of air and water. Larger burrowing animals, falling trees and freeze-
461 thaw or wetting-drying cycles can also play a part in breaking up and mixing the near-surface
462 soil. The cumulative action of all these processes can be considered as a diffusive mixing,
463 with a net upward drift of soil material towards the free surface, which is counterbalanced by
464 settling under gravity, significantly assisted by the downward percolation of water (Gabet, et
465 al, 2003). Over a few decades, the balance between these processes leads to an equilibrium
466 bulk density profile, in which porosity declines with depth. This bioturbation mixes and
467 homogenizes the upper layers of mineral soil, since it occurs much more rapidly than
468 chemical weathering, and may readily be visually distinguished from weathered saprolite, in
469 which original bedrock morphology is preserved in the weathered material.

470

471 Organic matter is released from plants, partly as leaf (and stem) fall to accumulate on the
472 surface and partly as in-situ root decay. Over decades, this material takes part in the vertical
473 mixing and is also decomposed, gradually releasing CO₂ into the soil (Attal et al,2015;
474 Johnson et al, 2014; Herold et al, 2014). Since the processes of mixing and decomposition
475 occur over similar time-spans of decades to centuries, the soil organic matter also develops a
476 vertical distribution within the soil, generally with a smaller scale depth (10s of centimetres)
477 of exponential decay than for bulk density. Plants also modify the chemical environment of
478 the soil, synthesising organic acids that influence water movement and soil pH.

479

480 These mixing processes, by modifying the near-surface soil, tend to increase the rate at which
481 water is able to infiltrate, creating a positive feedback in which greater biological activity
482 increases the availability of water in the soil, which in turn encourages biological activity.
483 Eventually, soils are able to absorb the available precipitation so that, over a time span of
484 decades to centuries, there is a feedback tendency for soil structure, and to some extent
485 topography, increasingly to reflect the natural vegetation and to reduce overland flow runoff.

486

487 **4. Water as an agricultural and food resource**

488 By far the greatest consumptive use of water by mankind is for agriculture. An average of
489 approximately 3,800 litres a day is needed to support each individual (Hoekstra & Mekonnen,
490 2012), 92% of which grows their food. Other major requirements are for domestic use
491 (3.8%) and for clothing and other industrial products (4.7%). These requirements differ in
492 kind, in that domestic water has to be delivered to the individual, whereas for other uses the
493 water can be more economically provided by transporting the food or clothing. However,
494 most countries are also concerned with food security, so that there is some perceived pressure
495 towards being at least partially self-supporting for food production.

496

497 Historically, the development of large scale agriculture has been in semi-arid regions of the
498 Middle East and Meso-America, commonly using irrigation water canalised from rivers
499 (Mazoyer & Roudart, 2006). Semi-arid areas have the advantages of providing ample solar

500 energy for photosynthesis, together with relative ease of weed removal. However, irrigation
501 has, historically, commonly led to salinization of the soil, sometimes irreversible, depending
502 on the quality of the irrigation water and whether sufficient irrigation water has been applied
503 to leach excess salts. Clearance of land in warm humid regions, although providing ample
504 water and solar energy, is hampered by the re-establishment of native weed species and rapid
505 depletion of topsoil nutrients. Long fallow periods (shifting agriculture) were therefore
506 required until modern machinery and fertilisers could be applied. Increasing population
507 pressure may also place pressure on land resources, forcing undesirable reductions in the
508 fallow rotation period. In all areas, seasonal exposure of the bare land surface prior to
509 planting and after harvest, expose the land to increased soil erosion, particularly when rainfall
510 is intense at these critical times of year. In the great majority of cases, arable farming
511 increases the natural rates of soil erosion by water, increasing losses by at least an order of
512 magnitude (Montgomery, 2007) and progressively degrading the land. Water erosion takes
513 some steeper, thin-soil areas out of production and, more widely, removes the most nutritious
514 topsoil and organic material. Cultivation, by exposing the soil surface and allowing it to dry
515 out, can also increase wind erosion in semi-arid areas (e.g. Houyou et al, 2014). In addition,
516 conventional ploughing, whether on the contour or downslope, moves material downslope
517 and generally exposes soil organic matter to more rapid decomposition, reducing the long-
518 term water holding capacity of the soil. However, because significant deterioration of the soil
519 takes many decades and restoration is also slow, farmers may have little short-term incentive
520 to improve conservation practices.

521
522 Some of the negative effects of agriculture can be mitigated by appropriate management (e.g.
523 Keesstra et al, 2016), but these often require initial and ongoing investment that is not
524 available to all farmers. Some soil conservation measures such as inter-cropping can be
525 applied at low cost but the majority, including terracing, contour ploughing, residue
526 management, water harvesting, and reduced tillage, require investment and/or some sacrifice
527 of cultivable land area. Management systems that retain a vegetation cover reduce the loss of
528 sediment (Abrahams et al, 1994; Zhao et al, 2016) and organic matter (Gao et al, 2016), even
529 where runoff is not reduced.

530
531
532
533 As well as on-site management of water resources, there is a global shortage of renewable
534 water resource in the face of increasing populations. There are a number of technical
535 solutions to these problems, for example breeding crops that require less water, irrigating
536 crops as efficiently as possible without incurring the risk of salinization and water harvesting.
537 Others, for example large scale desalination of sea water, carry significant costs that cannot
538 readily be accepted by increasing the cost of food to consumers.

539
540 .

541
542 The broader implications, for global water needs and for food security, are analysed further in
543 figures 6-8 on a country by country basis, using data drawn from FAO reports (2000, 2016).
544 In figure 6, the population that can be supported by renewable water and potential arable land
545 resources is calculated, using two simplified scenarios. In the first, rain-fed cereal cultivation
546 is assumed, utilising the available average annual water supply from rainfall. For efficient
547 agriculture with good agronomic practice and fertiliser application, the grain yield Y in
548 kg.Ha^{-1} is calculated as

549
$$Y = 16.7 (E-150),$$

550 Where E is the annual depth of water in millimetres available for plant transpiration, which is
551 assumed equal to precipitation for dry climates (based on Sadras et al, 2011). An upper limit
552 of 8,400 kg.Ha⁻¹ is assumed, corresponding to a consumptive use of 600mm in optimal
553 conditions. However yields in the Western Sahel, and elsewhere where soils are poor and
554 fertiliser not widely available are approximately 40% of the above estimate. In figure 6a,
555 estimates of sustainable population are plotted against actual country population. The blue
556 line and left hand vertical scale refer to efficient agriculture with adequate fertiliser inputs:
557 the red line and right hand scale to low efficiency agriculture. In each case the lines indicate
558 countries with or without adequate resources for self-sufficient rain-fed agriculture. It can be
559 seen that there are a few counties without adequate rainfall, even with efficient agriculture,
560 and a number that may fail without efficient farming practices. In addition, 31% of the
561 countries, for which there is data, have less than 150 mm annual rainfall and therefore do not,
562 on average, have enough water to support any rain-fed farming.

563
564 In a second scenario, efficient water harvesting, potentially gathering water from the entire
565 area, is used to concentrate water on as much as possible of the potentially arable land, to
566 provide 600mm of water and optimum yields on the farmed area. Figure 6b shows, with a
567 similar key, that many countries are still short of water, and the extent to which efficient
568 farming alleviates this. Figure 6b appears to show many more countries with a water deficit
569 than figure 6a, but this is because all countries have at least some theoretical water harvesting
570 potential. Although these simple analyses make

571
572 the optimistic assumption that water is freely transferrable within a country, it can be seen
573 that there is a lack of sufficient water resources, that is made more severe where yields are
574 low due to a lack of fertiliser and good farming practice. Some continuing increase in world
575 population, together with further deterioration of soil resources due to erosion and
576 salinization, therefore presents a major challenge for the future.

577
578 Figure 7 shows the actual and potential arable land in each country and the average
579 renewable water in each. The horizontal line is set at 600mm, which is the approximate
580 amount of water required to grow an optimal cereal crop. It can be seen that many countries
581 have not sufficient water to make full use of their presently utilised arable land resources, and
582 that water limitations are a major factor in preventing cultivation of additional potential
583 arable land. Figure 8 shows the renewable water resources per capita for each country,
584 plotted against the population. The upper horizontal line shows the approximate amount of
585 water required to grow food for the population (ca 1200 m³ per capita per year), and the
586 lower line the amount needed for domestic use (ca 60 m³). It can be seen that there are many
587 countries that cannot feed themselves, and a smaller number that lack sufficient renewable
588 water to supply domestic needs. Although food needs can be and currently are being partially
589 met by international trade, with implicit water transfers within the food, lack of food security
590 remains a source of potential conflict.

591
592 One renewable and low cost means of increasing available water is through water harvesting.
593 Where rainfall is almost adequate for rain-fed farming, conservation measures may be all that
594 is needed to ensure that storm runoff is retained on-site, in mulch layers, in trenches or behind
595 bunds. As water scarcity increases, an area to be cultivated can be supplied with runoff from
596 a collecting area above and around it, which provides water to the cultivated patch. The
597 required ratio of cultivated area to collecting area can be estimated as the ratio of actual to
598 potential evapotranspiration in a given region. Analysis of the climate thus gives some idea
599 of where different styles of water harvesting can be applied most effectively. Figure 9 shows,

600 for Africa, the ratio of actual to potential evapotranspiration for the most suitable 5-month
601 growing season, and for the worst 25% of annual conditions. Water harvesting can benefit
602 crop yields when this ratio lies between about 0.2, where ephemeral stream floods can be
603 diverted into fields up to about 1.5 to maximise crop reliability in areas with high inter-annual
604 variability. The ratios of collecting area to irrigated area are the reciprocals of these values,
605 and are generally somewhat larger due to the inefficiencies of collection and redistribution.
606 Where the collecting area is large, runoff collection can be made more efficient by removing
607 stones from the surface to encourage crusting of the soil, and by channelling runoff into
608 discrete runnels to further reduce infiltration losses.

609
610 Where the collecting: cropping area ratio is low (<3), an individual group of plants can be
611 supplied by an immediately adjacent patch of bare soil. This gives a pattern of pits where
612 seeds are planted, each surrounded by a small area that drains towards it (zai). At larger
613 scales, a small planted field of, say 10x10 m, may be supplied with water collected from a
614 small upslope min-catchment (jessour), with perhaps a 20:1 ratio of collecting area to irrigated
615 area. At the coarsest scale, these water harvesting practices (Critchley et al, 1991) merge into
616 regional irrigation systems. Increases in the ratio of collecting area to cultivated area lead to
617 increased yields, but this may be offset by the sacrifice of potential yield from the uncropped
618 area where this is also suitable for arable farming. Part of the net advantage is therefore
619 obtained through greater labour efficiency in farming a smaller area, and the reduced
620 likelihood of crop failure. Figure 10 shows the modelled frequency distribution of estimated
621 yields over a run of years, for Mekele (northern Ethiopia), with different ratios of collecting
622 to cropping area (CAR). It can be seen that although most years provide some harvest, the
623 median yield and its reliability are greatly enhanced by water harvesting (Fleskens et al,
624 2016). Reliability can be further increased by installing ponds that not only collect but also
625 store water, often allowing irrigation in dry spells, but subject to evaporative loss.

626
627 It is clear that water is a critical resource for agriculture, and will become more so in the
628 future (Falkenberg et al, 2009), particularly because global warming is thought to increase
629 aridity in many water stressed areas (e.g. Gao and Giorgi, 2008 for the Mediterranean), and
630 because of the interactions with energy production (Pimentel et al, 2004). Figure 12 sketches
631 some of the interactions that need to be managed in order to maintain affordable food
632 production for a still growing world population. Crop production requires both water and
633 energy, mainly used for the manufacture of nitrogen fertiliser, but also for transportation on
634 the farm and to the market. Widespread use of fertiliser has quadrupled yields since 1900,
635 reducing the dependence of land as a critical resource, but without reducing the need for
636 additional water to support the increased crop yields, so that water has become the most
637 critical resource for further expansion of food production. Nitrogen fertiliser production uses
638 3-5 % of world natural gas as a source of hydrogen, and only a fraction of the nitrogen is used
639 by crops, so that nitrogen is a major source of pollution both directly in runoff, re-cycled
640 through animal manure, and as a greenhouse gas. Nitrogen in runoff contaminates
641 groundwater and is responsible for eutrophication of lakes and coastal waters.

642
643 Although water can be desalinated, the cost of irrigation water produced from seawater its
644 cost is very high in relation to other costs of food production. Typical developed world farm-
645 gate current cereal costs of about 200 USD per tonne (Zimmer, 2012) would be increased by
646 about 1000 USD per tonne for the desalinated water needed to grow the cereal (ca 1 USD per
647 cubic metre). These costs may be becoming acceptable for domestic water supply and for
648 some high value crops, but cannot, at present, be accepted for staple foods or animal
649 husbandry. Although desalination might be supported by renewable energy, for example to

650 irrigate the Sahara, it also generates disposal problems for the salt removed, and so is not
651 environmentally neutral.

652
653

654 **5. Conclusion**

655 Water is everywhere. Life and mankind would not exist without it. As population continues
656 to grow, fresh water is becoming an increasingly scarce resource. To make the best use of
657 fresh water, most critically for food production, it is vital to share it wisely. One key aspect
658 of this is to progressively improve our knowledge of how water interacts with the critical
659 zone at every time and space scale, and to better recognise, and gradually stretch the limits of
660 what is possible. Water and soil present challenges at every scale, from the grain to the
661 globe, and it is a matter of urgency to engage with these issues as best we can, both as
662 practical problems requiring urgent solution and to enhance scientific understanding.

663
664
665
666

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972 **Figure Captions**

- 973 1. Inter-relationships between soil forming factors, ultimately controlled by parent
974 material and climate, mediated by water, life and topography over a range of time and
975 space scales
- 976 2. Broad typology of soil types, controlled by net atmospheric inputs (e.g. salt and dust)
977 and net water balance (precipitation minus evapotranspiration)
- 978 3. Modelled evolution of runoff patterns on randomly rough slope of 160x160m.
979 Individual hydrographs are shown for points on the lower boundary with different
980 catchment areas, parts of the total area of 4096 (64x64). Square shows intensity (on log
981 scale) of local overland flow at a time indicated by the heavy arrows on the
982 hydrographs below.
- 983 (a) Early in a 30 mm, 30 minute storm, runoff generated in patches of lowest infiltration
984 capacity.
- 985 (b) As storm rainfall ends, downslope accumulation defines connectivity along strongest
986 flow paths
- 987 4. Perceptual model of water flow pathways in the critical zone
- 988 5. Paths of parent material as it progressively weathers and is carried away as sediment et and
989 near the soil surface. If a steady state develops over time, the rate of surface lowering
990 will be equal to the rate at which the weathering front penetrates into bedrock.
- 991 6a. Sustainable population assuming rain-fed agriculture. Left hand axis is for efficient
992 agriculture; right hand axis for low efficiency. Lines show self-sufficiency levels with
993 high (blue) and low efficiency (red) farming.
- 994 6b: Sustainable population if available rainfall is effectively concentrated by water
995 harvesting. Note that some of the countries that appear here had insufficient rainfall for
996 any rain-fed farming.
997 Lines represent levels of full sustainability. The 31% of countries not shown cannot
998 support any rain-fed agriculture based on their average rainfall
- 999 7. Renewable water resources (mm of water per year) and arable land available by country.
1000 Diamonds show actual arable land and circles show potential arable land. The horizontal
1001 line divides countries with and without enough water to fully utilise their arable land.
- 1002 8. Renewable water per capita against population size by country. The lines the annual water
1003 resources needed to grow food (ca 1200 m³ per capita) and for domestic water supply (a
1004 80 m³ per capita). Many countries do not have enough water to be food secure, and a
1005 some lack enough water for domestic use.
- 1006 9. Water harvesting potential in Africa, based on climatic data. The map shows the ratio of
1007 precipitation to potential evapotranspiration for a 5-month growing season, for the worst
1008 25% of years. At values less than 0.2, water harvesting is only practicable in very
1009 favourable situations. Above 1.5, rain-fed farming generally provides an adequate crop
1010 without water harvesting.
- 1011 10. The modelled frequency distribution of crop yields for Mekele, northern Ethiopia, for a
1012 range of ratios of collecting: cropping area (CAR), illustrating the greater reliability of
1013 crop yields with effective water harvesting.
- 1014 11. Factors influencing the relationships between water use and the cost of food, taking
1015 account of energy needs for fertiliser and possible water desalination, loss of cultivable
1016 land and greenhouse gas emissions.

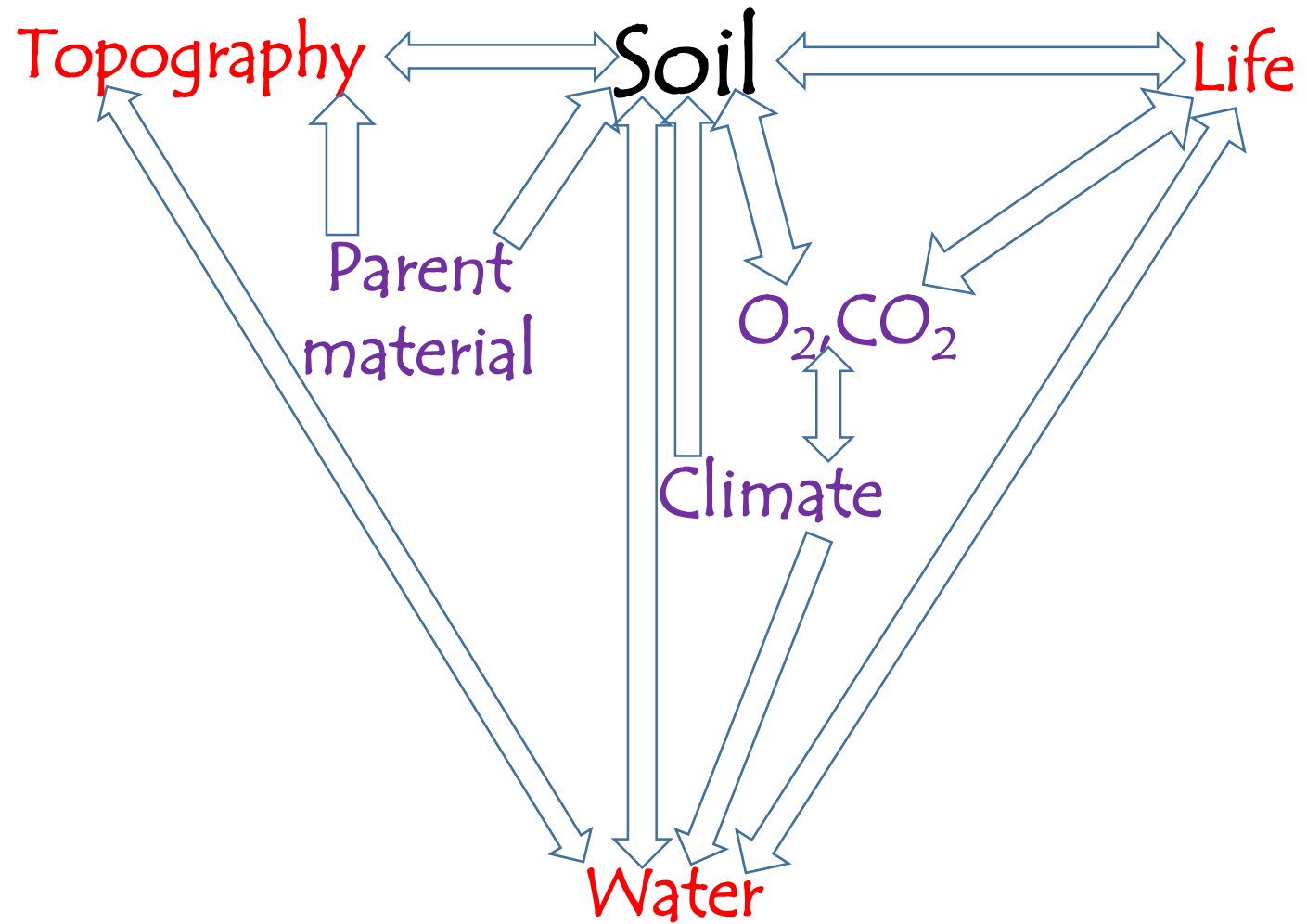


Figure1

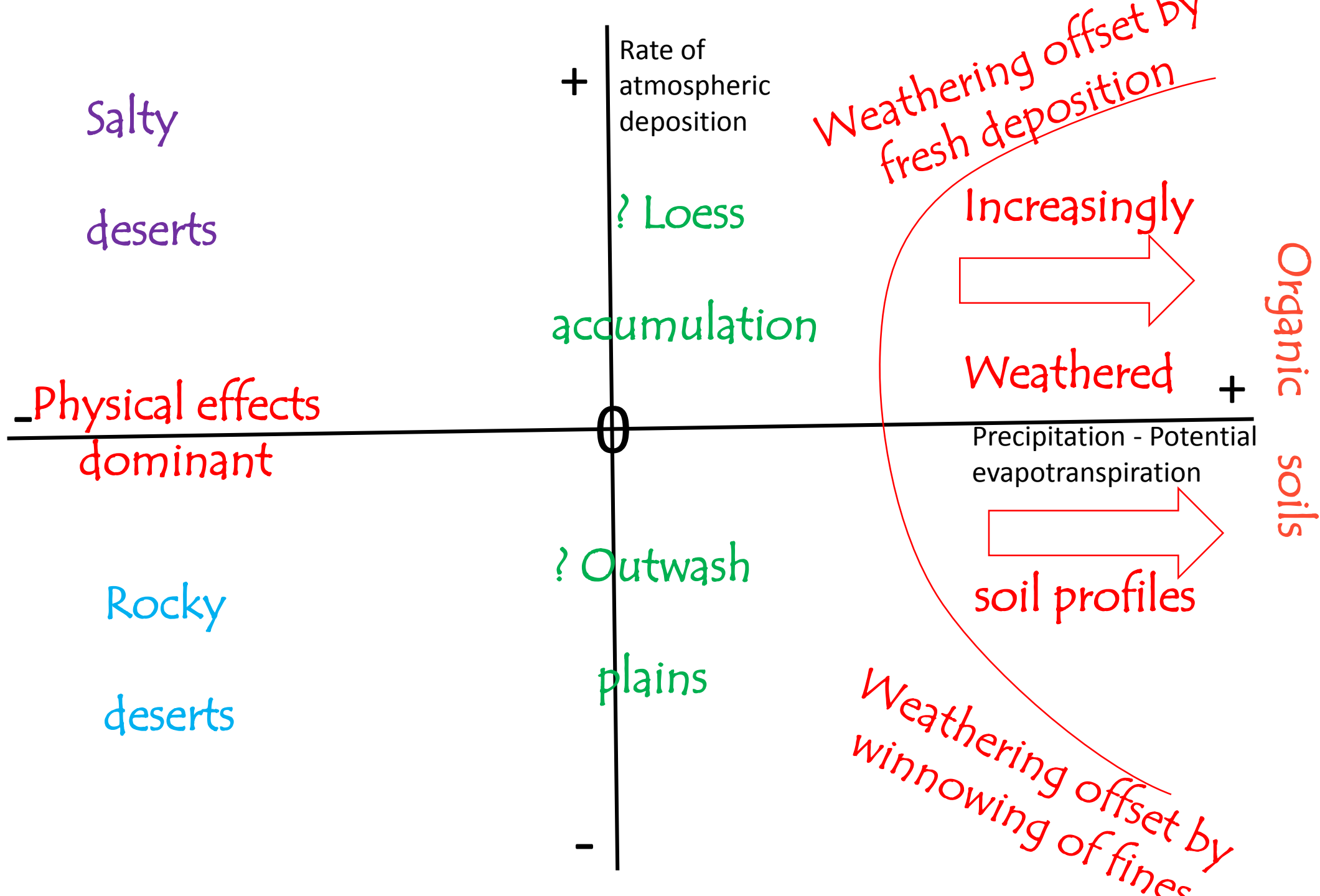


Figure 2

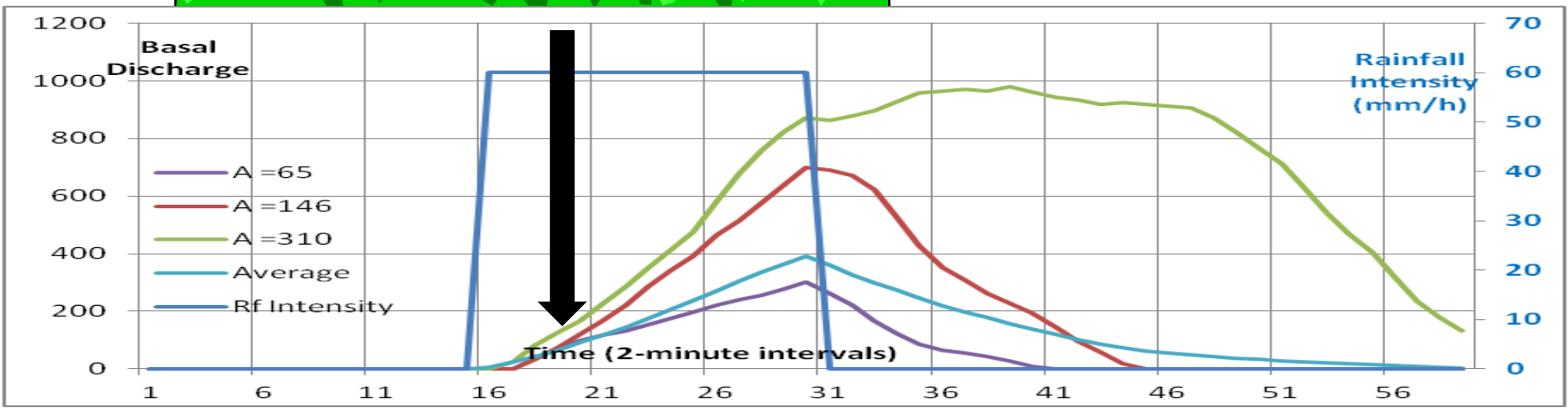
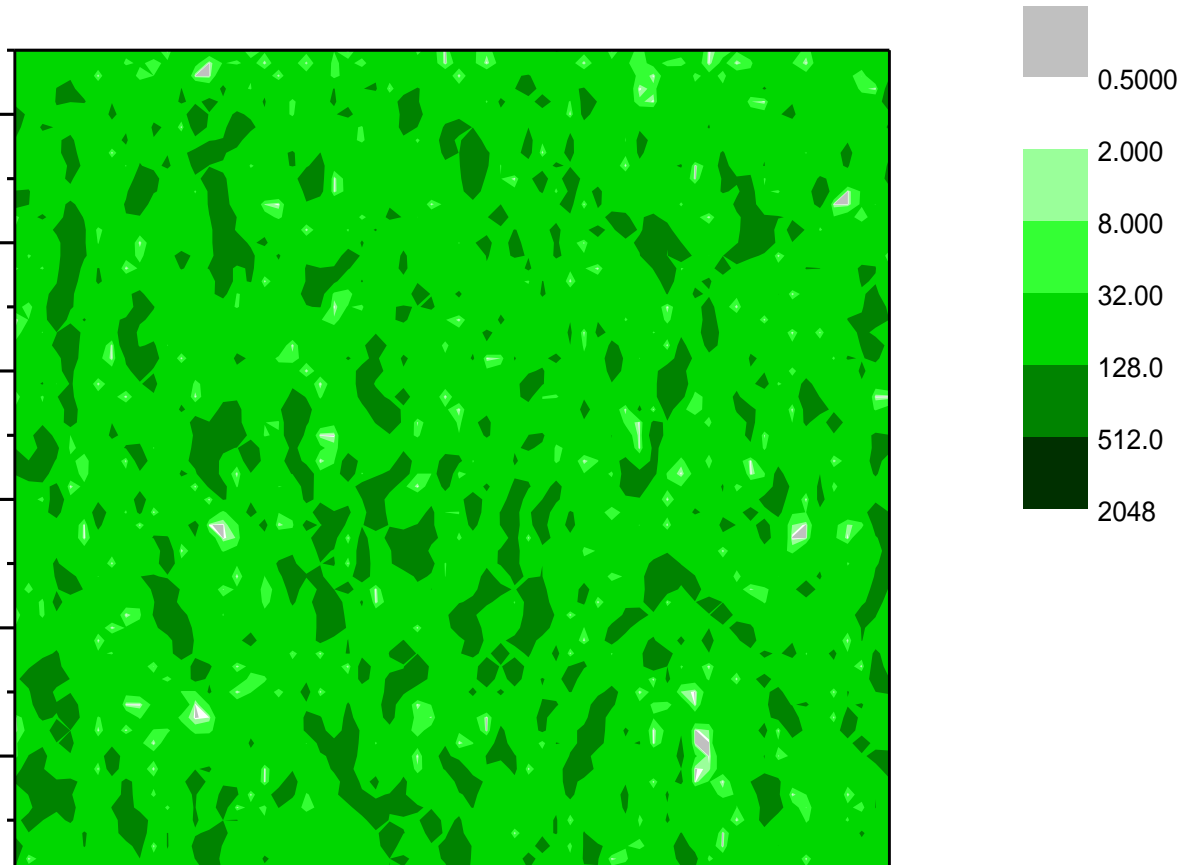


Figure3a

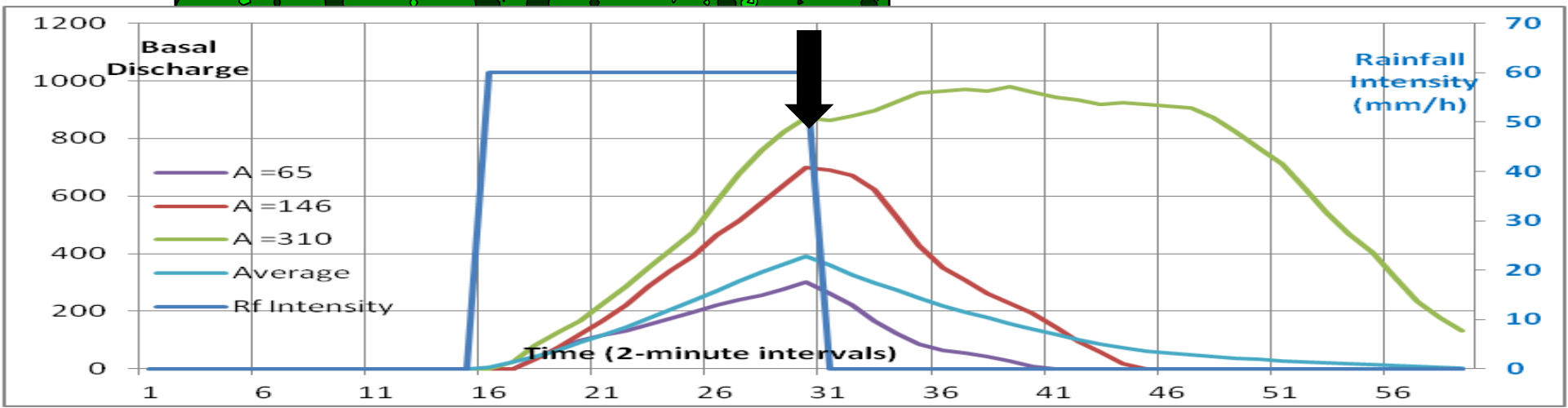
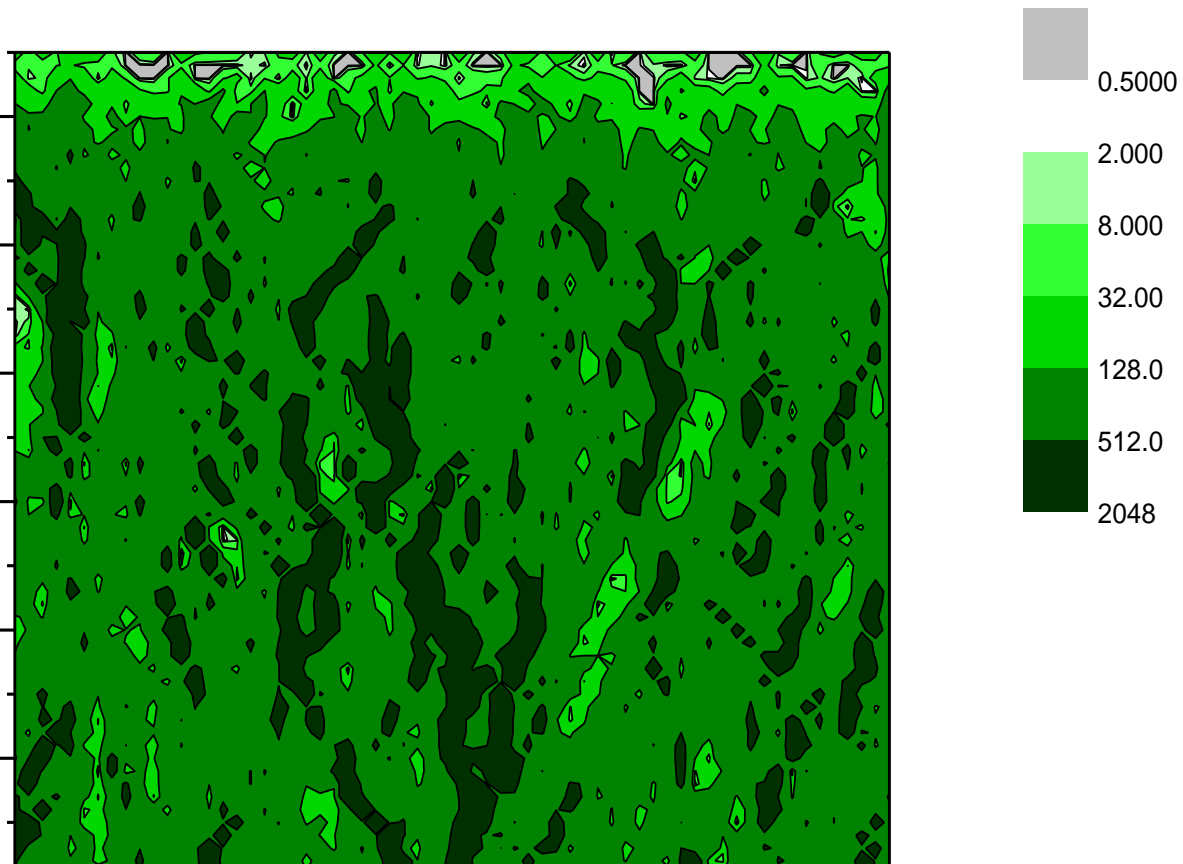


Figure 3b

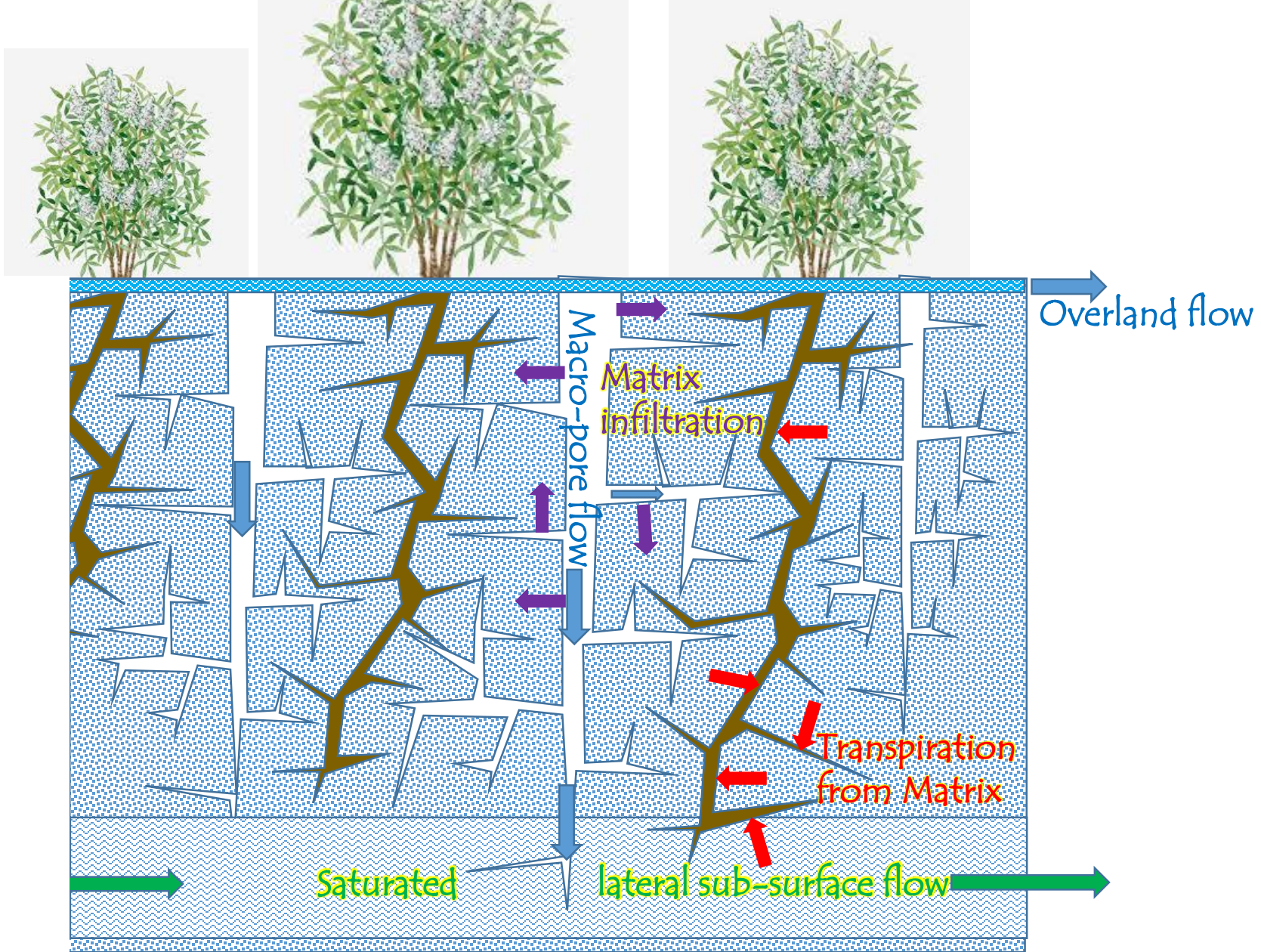


Figure 4

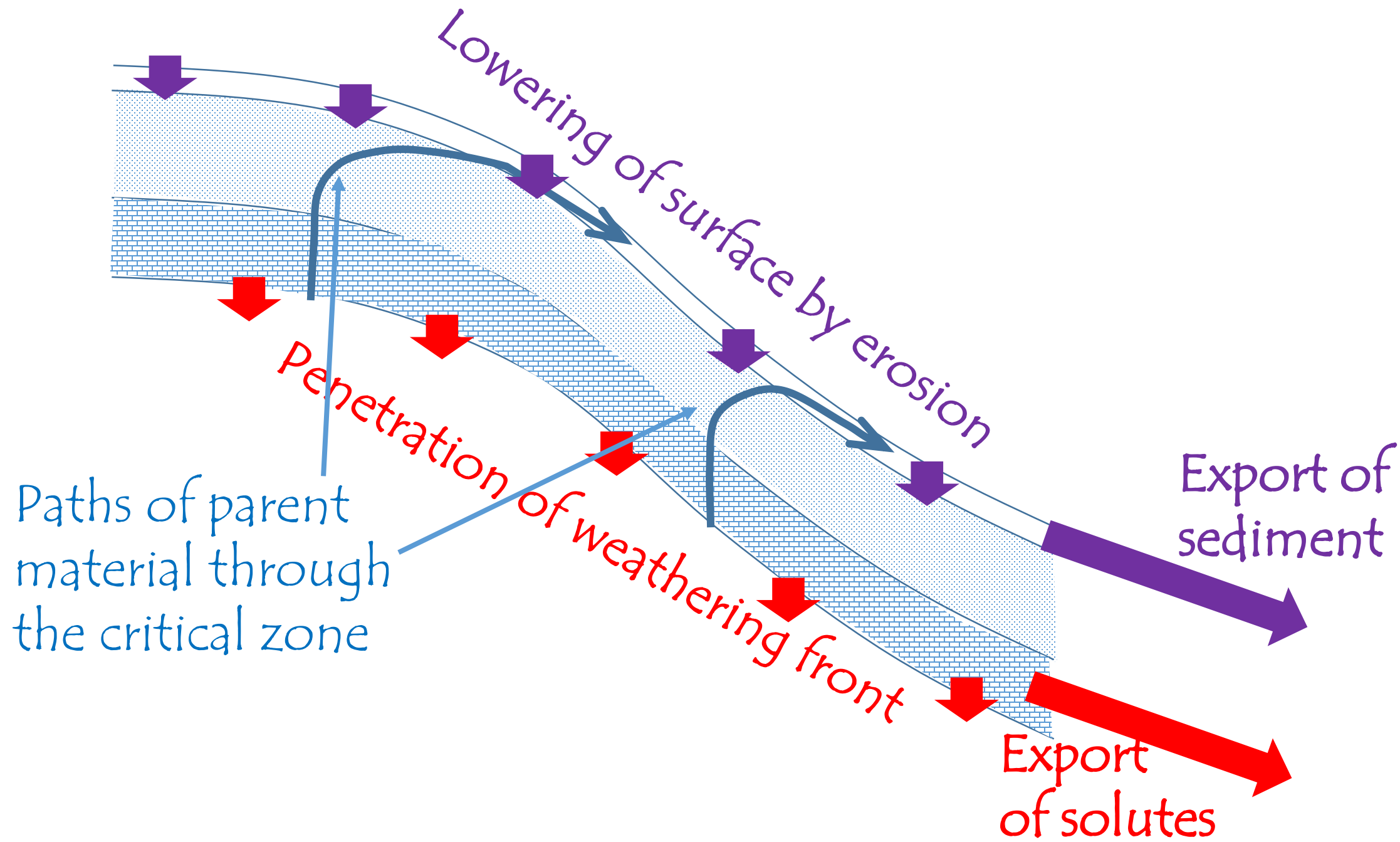


Figure 5

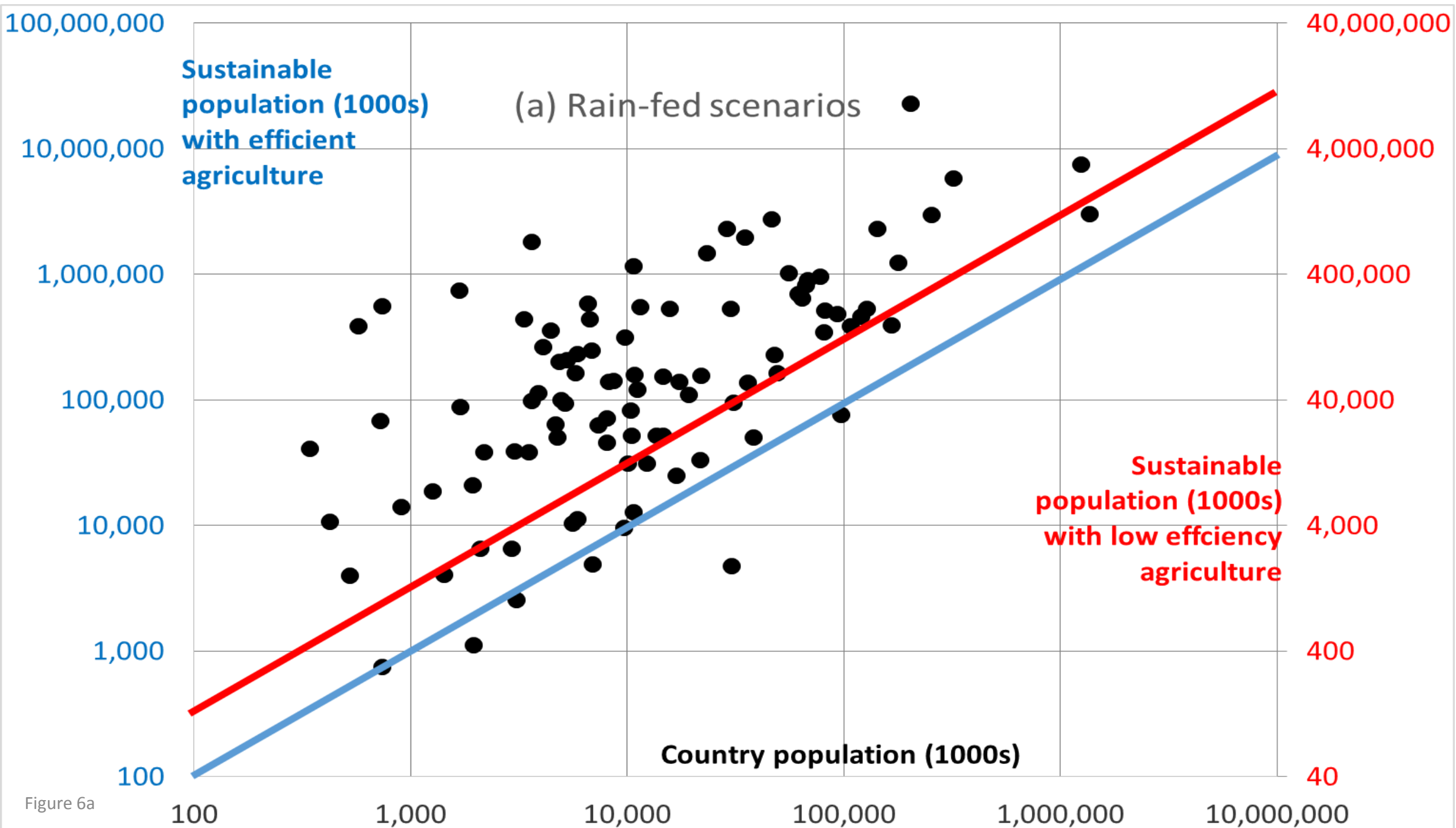


Figure 6a

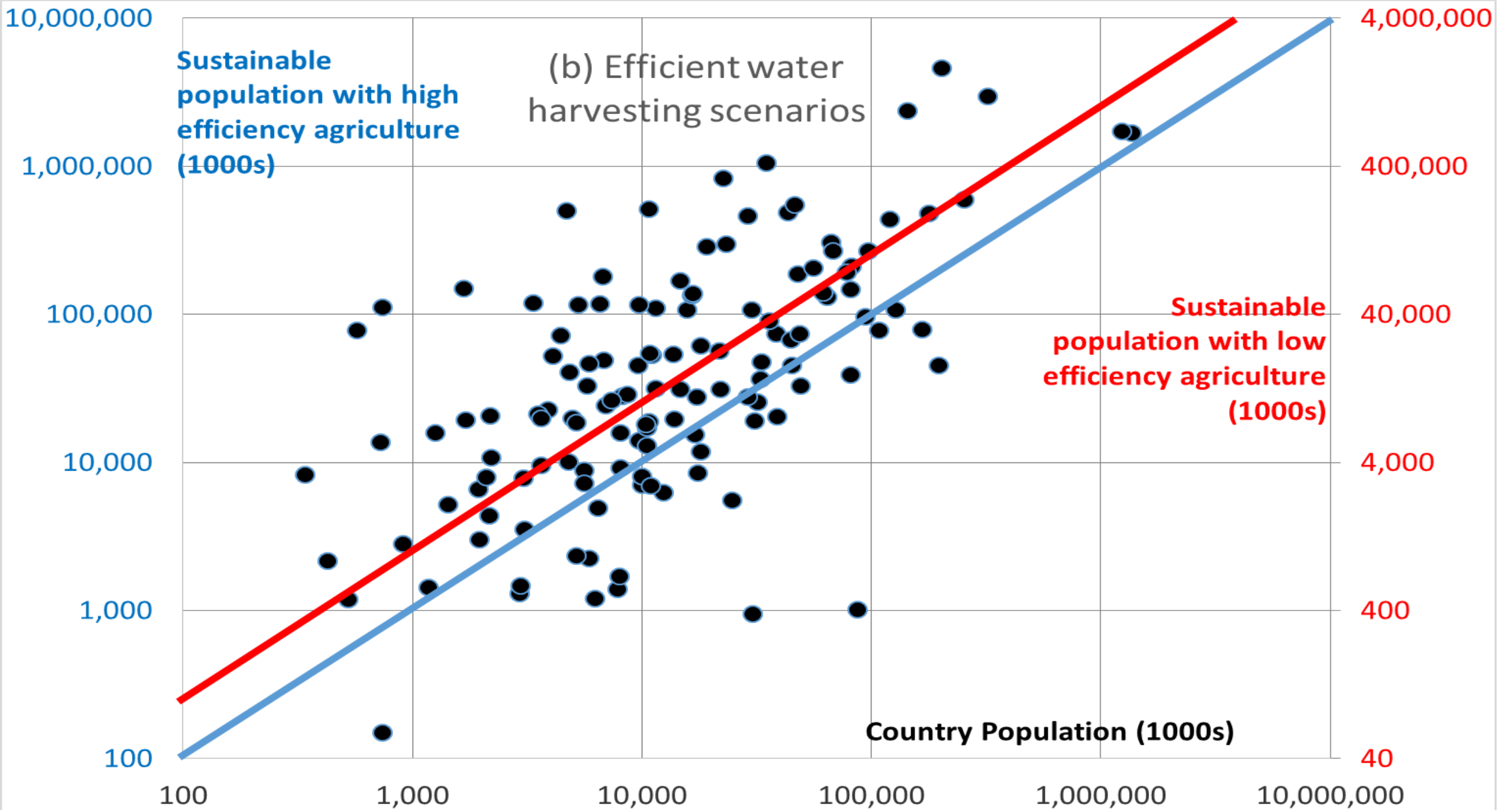


Figure 6b

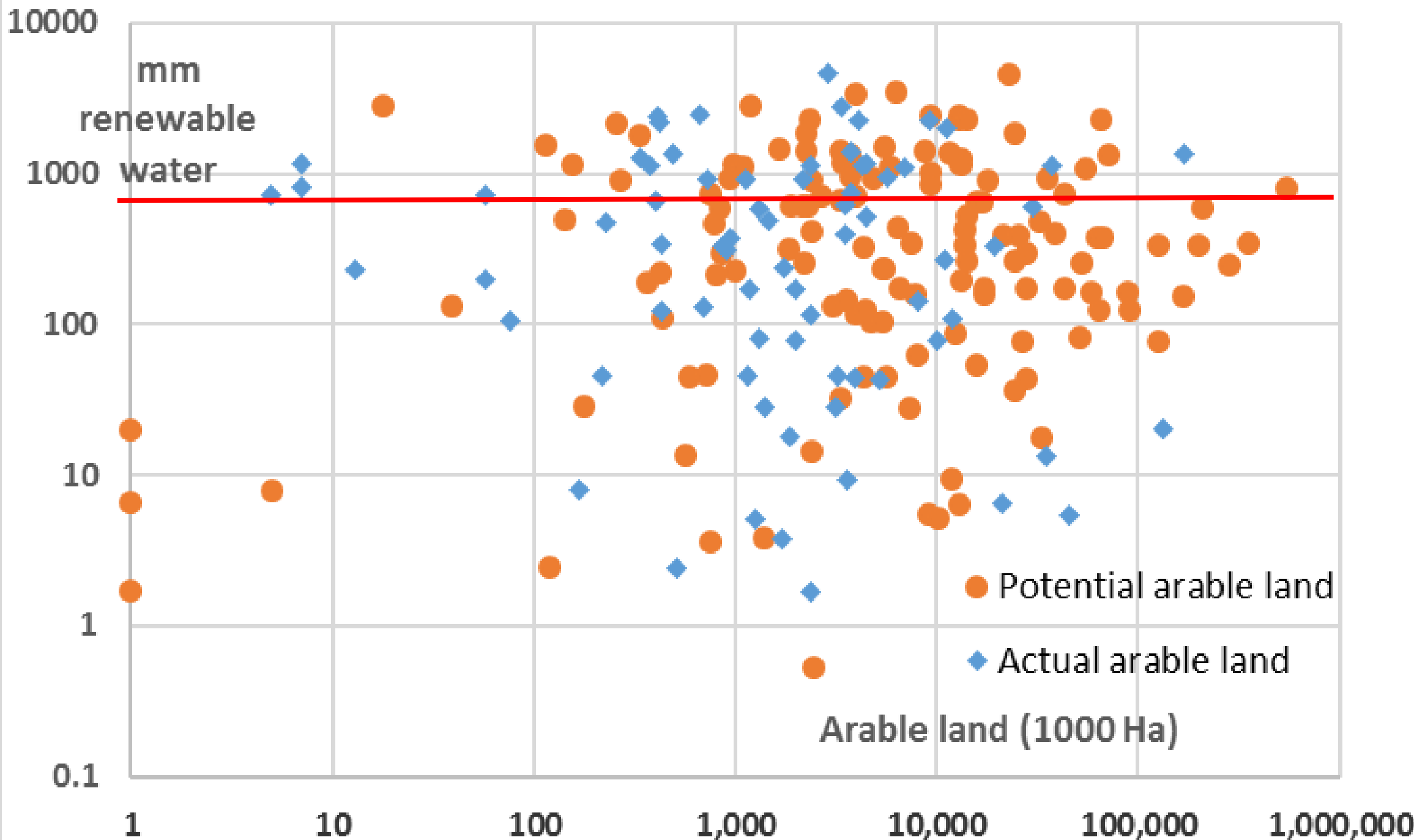


Figure78

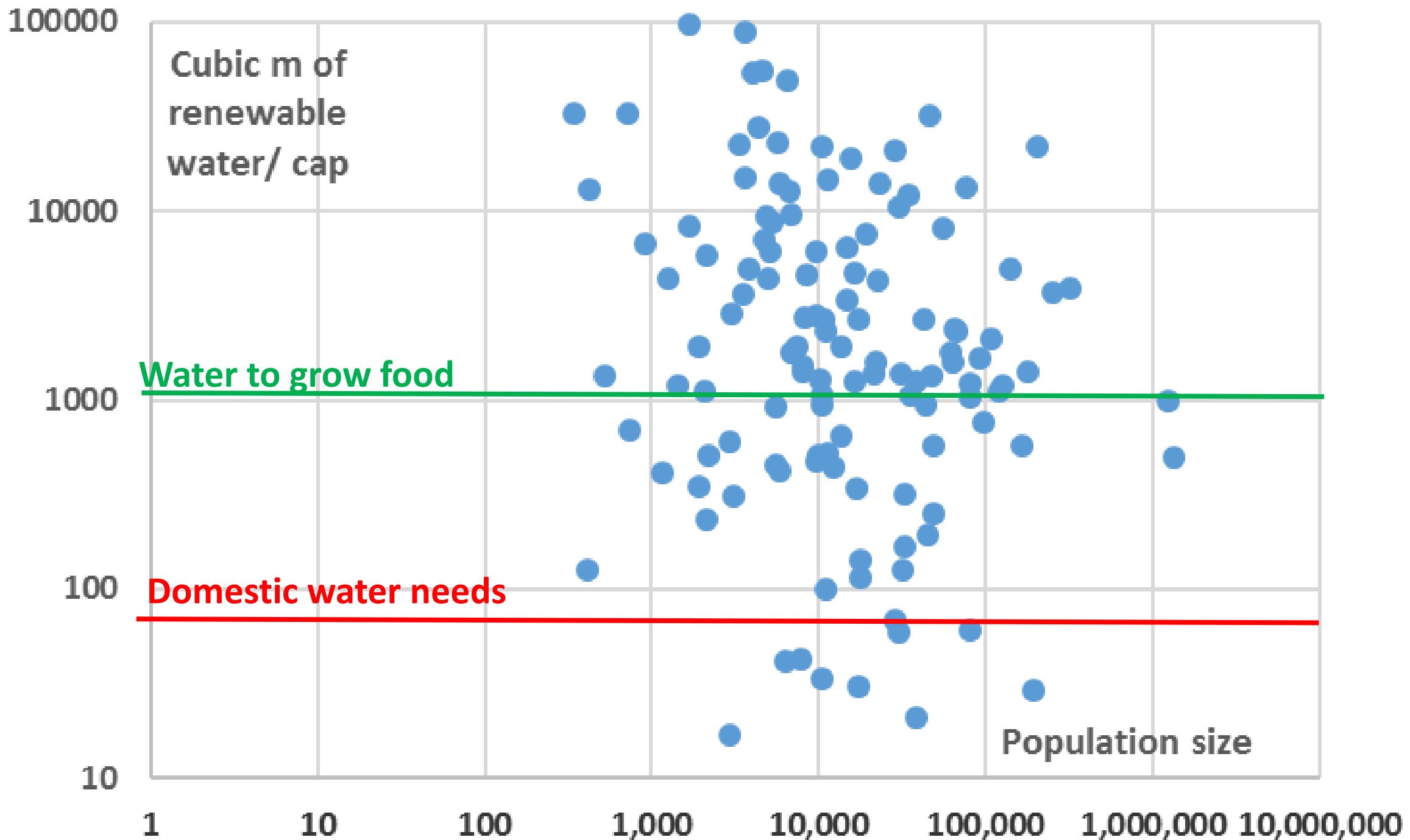


Figure 8

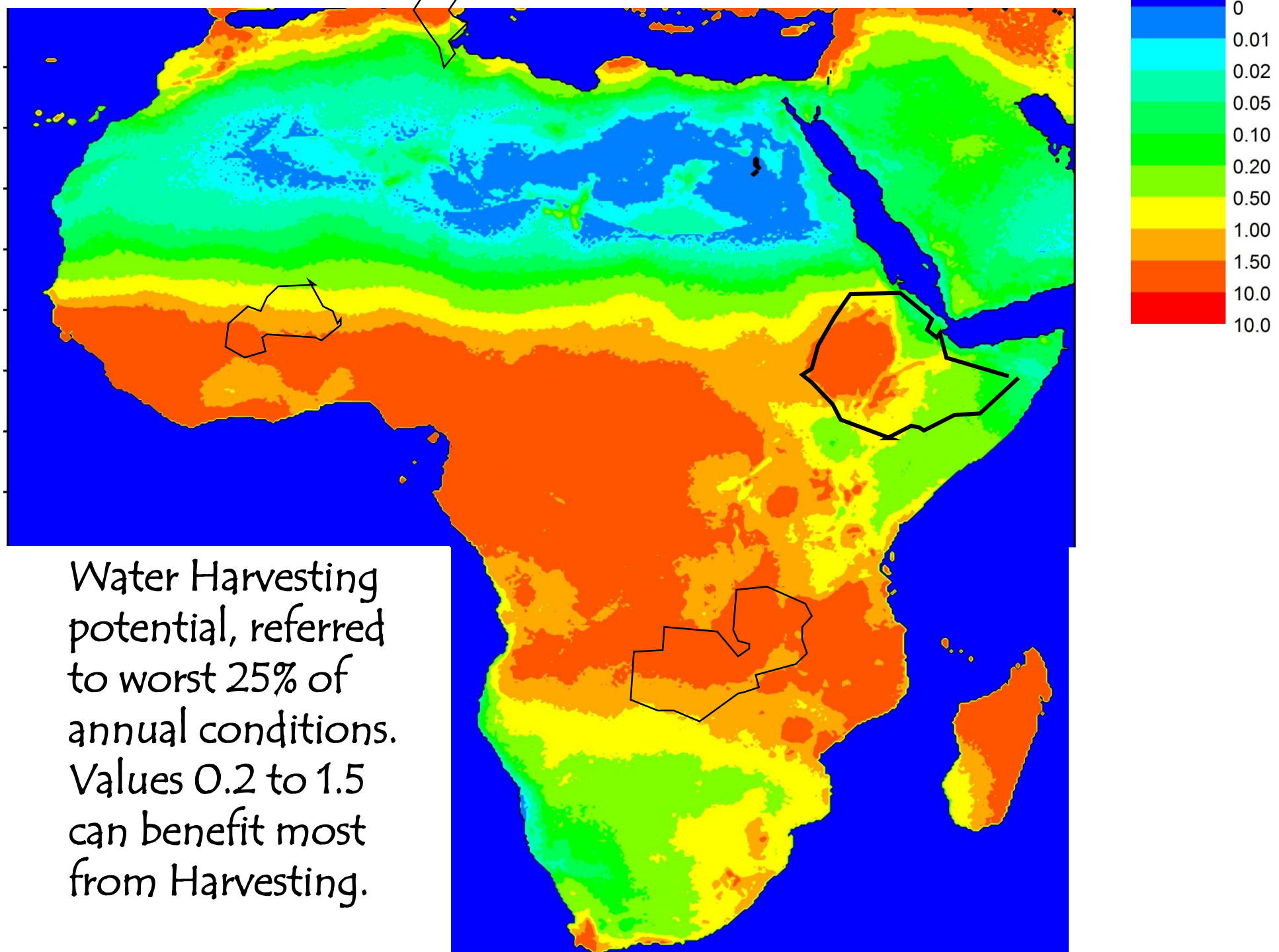


Figure 9

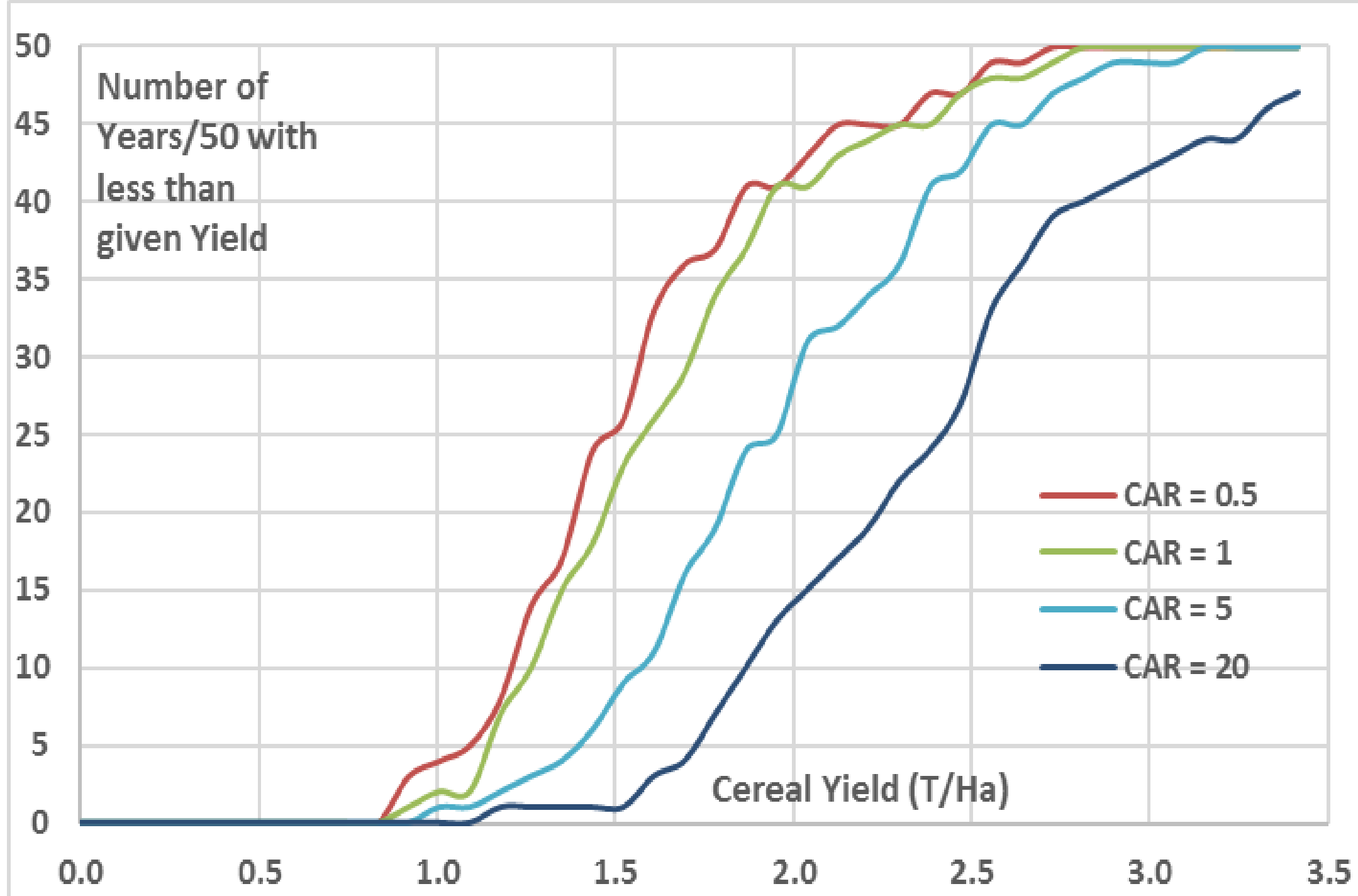


Figure 10

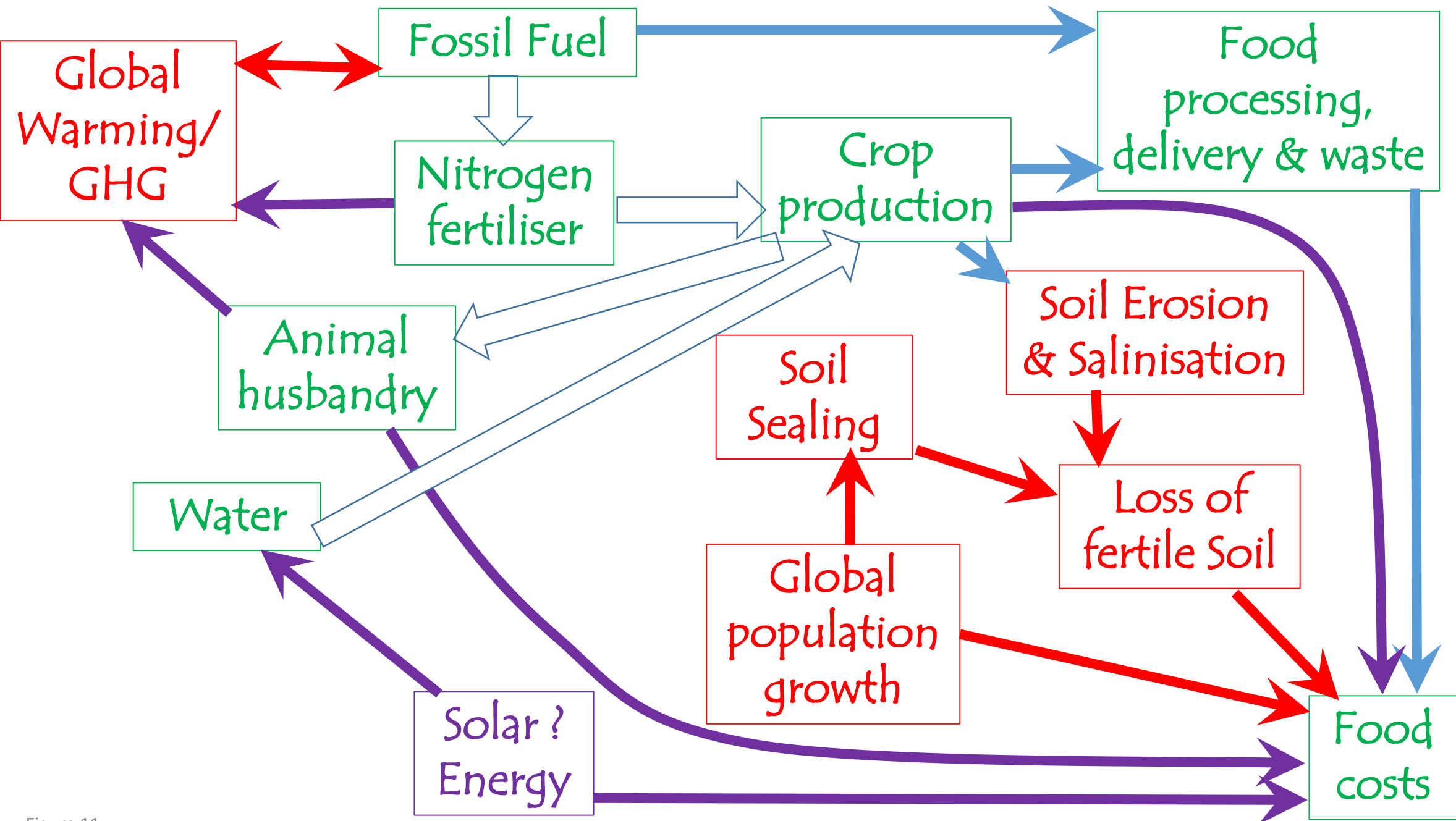


Figure 11