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**A modified multiple tension upward infiltration method to estimate the  
soil hydraulic properties**

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## Abstract

Determination of saturated hydraulic conductivity,  $K_s$ , and the shape parameters  $\alpha$  and  $n$  of the water retention curve,  $\theta(h)$ , is of paramount importance to characterize the water flow in the vadose zone. This work presents a modified upward infiltration method to estimate  $K_s$ ,  $\alpha$  and  $n$  from numerical inverse analysis of the measured cumulative upward infiltration (CUI) at multiple constant tension lower boundary conditions. Using the HYDRUS-2D software, a theoretical analysis on a synthetic loam soil under different soil tensions (0, 0-10, 0-50, and 0-100 cm), with and without an overpressure step of 10 cm high from the top boundary condition at the end of the upward infiltration process, was performed to check the uniqueness and the accuracy of the solutions. Using a tension sorptivimeter device, the method was validated in a laboratory experiment on five different soils: a coarse and a fine sand, and a 1-mm sieved loam, clay loam and silt-gypseous soils. The estimated  $\alpha$  and  $n$  parameters were compared to the corresponding values measured with the TDR-pressure cell method. The theoretical analysis demonstrates that  $K_s$  and  $\theta(h)$  can be simultaneously estimated from measured upward cumulative infiltration when high ( $> 50$  cm) soil tensions are initially applied at the lower boundary. Alternatively, satisfactory results can be also obtained when medium tensions ( $< 50$  cm) and the  $K_s$  calculated from the overpressure step at the end of the experiment are considered. A consistent relationship was found between the  $\alpha$  ( $R^2 = 0.86$ ,  $p < 0.02$ ) and  $n$  ( $R^2 = 0.97$ ,  $p < 0.001$ ) values measured with the TDR-pressure cell and the corresponding values estimated with the tension sorptivimeter. The error between the  $\alpha$  (in logarithm scale) and  $n$  values estimated with the inverse analysis and the corresponding values measured with pressure chamber were 3.1 and 6.1%, respectively.

**Keywords:** Disc infiltrometer; Hydraulic conductivity; Water Retention Curve; HYDRUS

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## 2 **1. Introduction**

3 The hydraulic conductivity,  $K$ , and the water retention curve,  $\theta(h)$  are the main soil properties that  
4 determine the water flow in the vadose zone. Many laboratory methods for determining these  
5 properties are cited in the literature. For instance, the saturated  $K$  can be measured by using either the  
6 constant head or the falling-head method (Klute and Dirksen, 1986). The reference laboratory method  
7 employed to determine  $\theta(h)$  is the pressure extractor (Klute, 1986). A pressure plate extractor referred  
8 to as a “Temple cell” is commonly used for suctions up to -100 kPa. For higher matric suctions  
9 (typically -1500 kPa) more robust pressure cells are used (Wand and Benson, 2004).

10 Numerical methods involving the inverse solution of the Richards equation are increasingly used as  
11 alternative procedures to estimate the soil hydraulic properties (Simunek et al., 1996, Simunek and  
12 van Genuchten, 1997). An advantage of this approach is that the retention and hydraulic conductivity  
13 functions are estimated simultaneously from transient flow data (Rashid et al., 2015). For instance,  
14 Hudson et al. (1996) suggested estimating the soil hydraulic properties from the inverse analysis of  
15 an upward flow experiment for laboratory conditions. In this case, a constant flux of water at the  
16 bottom of the soil sample was imposed, and the pressure head inside the sample was measured with  
17 tensiometers. Because the flux was independent of the soil properties, this method allowed excluding  
18 the flux as a parameter to be optimized. This method was subsequently modified by Simunek et al.  
19 (2001), who estimated the soil hydraulic parameters from the inverse analysis of a constant head at  
20 the lower boundary of a 10-cm-long soil core, followed by an evaporation experiment. This  
21 laboratory technique was next improved by Young et al. (2002) who, using a Mariotte system and  
22 tensiometers installed along a 15-cm-long soil column, allowed simultaneous measurements of water  
23 upward flow at negative pressure head (-0.3 and -0.8 kPa) and changes in soil pressure head. Using  
24 the pressure head and the cumulative flux data as auxiliary variables of the objective function, the soil  
25 hydraulic parameters were calculated with HYDRUS-1D from the best optimization of the objective

1 function. The inverse analysis of a multiple head tension water flow has been also successfully  
2 applied on the infiltrometer technique (Simunek and van Genuchten, 1997). Using numerical  
3 simulations, these authors demonstrated that the method could provide information on the hydraulic  
4 conductivity and the water retention curve. Although this multiple tension disc infiltrometer  
5 technique has been successfully employed in experimental studies (Ramos et al., 2006; Rashid, et al.,  
6 2015), the long time needed to conclude a measurement may limit its use if, for instance, a large scale  
7 or intensive characterization of soils is needed. In these cases, sampling of undisturbed soil cores to  
8 be analysed in laboratory can be preferable.

9 As above referred, methods to estimate the soil hydraulic properties from the inverse analysis of an  
10 upward infiltration processes are scarce. The capillary rise processes are described by bundle models,  
11 however, these models can not be correct at all because a real soil can support flow in any direction.  
12 (Hunt et al., 2013). Taking into account these limitations, the objective of this study was to determine  
13 if the soil hydraulic properties can be derived from the inverse analysis of measured cumulative  
14 upward infiltration at multiple imposed tensions at the lower boundary. To this end, different  
15 scenarios of upward infiltration at different tensions at the bottom of a soil core were studied. In a  
16 first step, a theoretical analysis to verify the most favourable range of soil tensions to be applied was  
17 performed using HYDRUS-simulated data. It also determined if additional easily obtainable  
18 information, such as the water flow at positive pressure head, allowed improving the identifiability of  
19 the unknown parameters. In a second phase, a new laboratory device, the tension soprovimeter, was  
20 presented to test this technique. To this end, the hydraulic properties estimated with this method on  
21 two different sands and three sieved soils with different textural characteristics were compared to the  
22 corresponding soil properties measured with an independent method.

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## 1 2. Material and methods

### 2 2.1 Theory

#### 3 2.1.1 Water flow in one-dimension

4 The governing flow equation for one-dimensional Darcian flow in a variably saturated rigid porous  
5 medium is given by the following form of the Richards equation

$$6 \quad \frac{\partial \theta}{\partial t} = \frac{\partial}{\partial z} \left( K \frac{\partial h}{\partial z} + K \right) \quad (1)$$

7 where  $\theta$  is the volumetric soil water content [ $L^3 L^{-3}$ ],  $h$  is the soil-water pressure head [L],  $K$  is the  
8 hydraulic conductivity [ $L T^{-1}$ ],  $z$  is a vertical coordinate (L) positive upward, and  $t$  is time [T]. In our  
9 case, a constant water content profile corresponding to an air dry soil is used as initial condition. The  
10 boundary condition corresponds to a variable soil tension at the bottom of the soil sample and  
11 atmospheric conditions at the top. The evaporation rate is null and once the column is saturated a  
12 maximum tension of 0 cm is considered constant on the top soil layer. The soil hydraulic functions  
13 used are described by the van Genuchten – Mualem conductivity relationship (van Genuchten, 1980)

$$14 \quad S_e(h) = \frac{\theta(h) - \theta_r}{\theta_s - \theta_r} = \left[ 1 + (\alpha h)^n \right]^{-m} \quad (2)$$

$$15 \quad K(S_e) = K_s S_e^l \left[ 1 - \left( 1 - S_e^{1/m} \right)^m \right]^2 \quad (3)$$

16 where  $S_e$ , is the effective saturation [-],  $\theta_s$  and  $\theta_r$  are the saturated and residual water contents,  
17 respectively [ $L^3 L^{-3}$ ],  $K_s$  is the saturated hydraulic conductivity [ $L T^{-1}$ ],  $n$  [-] and  $\alpha$  [ $L^{-1}$ ] are shape  
18 parameters, and  $m=1-1/n$ . Similarly to previous works (Simunek et al., 1996; Simunek and van  
19 Genuchten et al. 1997; Simunek et al. 1998; Young et al. , 2002), the pore-connectivity parameter,  $l$  ,  
20 was fixed to 0.5. Because  $\theta_r$  and  $\theta_s$  can be easily measured at the beginning and end of the  
21 experiment, respectively, the hydraulic characteristics defined by Eq. (2) and (3) were reduce to three

1 unknown parameters:  $\alpha$ ,  $n$  and  $K_s$ . In this case, Eq. (2) and (3) represent wetting branches of the  
2 unsaturated hydraulic properties.

3 For saturated soils and steady state condition, Eq (1) is reduced to Darcy's law (Lichtner et al.,  
4 1996)

$$5 \quad q = -K_s \frac{dH}{dz} \quad (4)$$

6 where  $q$  is the water flux density[L T<sup>-1</sup>] and  $H=h+z$  is the total head. Note that for saturated soils  $h>0$ .

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### 8 *2.1.2. Inverse analysis*

9 The hydraulic parameters ( $\alpha$ ,  $n$  and  $K_s$ ) were estimated by minimizing an objective function,  
10  $\Phi(K_s, \alpha, n)$ , that represents the difference between the simulated and the experimental (or  
11 theoretical) data, such as the cumulative upward infiltration:

$$12 \quad \Phi(K_s, \alpha, n) = \sqrt{\frac{\sum_{i=1}^{n_i} w_i [c_e(t_i) - c_s(t_i)]^2}{n-1}} \quad (5)$$

13 where  $n_i$  is the number of measured  $(c, t)$  values,  $c_e(t_i)$  and  $c_s(t_i)$  are specific measurements at time  $t_i$   
14 and the corresponding model prediction for the vector of optimized parameters, respectively, and  
15  $w_i$  is the weight associated a particular measurement set or point. In this study, we assumed that the  
16 weighting coefficient  $w_i$  was equal to one. Minimization of the objective function  $\Phi$  was  
17 accomplished by a brute-force search (Horst and Romeijn, 2002), that enumerates all possible  
18 candidates of the hydraulic parameters to a certain precision and selecting the best result. This  
19 reference method, that requires considerable computing power, was used to study the properties of  
20 the solution space.

21

## 22 **2.2. Numerical Experiments**

1 The multiple tension upward infiltration data used in this work were generated numerically with  
2 the HYDRUS-2D software (Simunek et al., 1996). Although these simulation can be satisfactorily  
3 performed with HYDRUS-1D, the 2D version was chosen because it is more general A loam soil  
4 textural group as estimated by Carsel and Parrish (1988) was used during the simulations. The soil  
5 hydraulic parameters of the hypothetical loam were:  $\theta_r = 0.078 \text{ m}^3 \text{ m}^{-3}$ ,  $\theta_s = 0.43 \text{ m}^3 \text{ m}^{-3}$ ,  $\alpha = 0.036$   
6  $\text{cm}^{-1}$ ,  $n = 1.56$  and  $K_s = 0.017333 \text{ cm s}^{-1}$  (Simunek et al., 2008). The soil volume was discretized as a  
7 cylinder (radius of 2.5 cm and high of 5 cm), covering the axisymmetric plane with a 2-D triangular  
8 mesh of 1034 cells. Previous numerical analysis demonstrated that, under this discretization, the  
9 solution was grid independent. The initial water content of the homogeneous and isotropic soil was  
10  $0.08 \text{ m}^3 \text{ m}^{-3}$ . Atmospheric condition was imposed at the top boundary and a null evaporation rate was  
11 considered. Four different scenarios of pressure heads at the bottom boundary condition were  
12 imposed (Table 1): 0, -10 and 0, -50 and 0, and -100 and 0 cm of pressure heads. The same scenarios  
13 were again repeated but including an overpressure of 10 cm at the cylinder base during the last 30  
14 min. Once the column was saturated, a maximum tension of 0 cm was simulated constant on the top  
15 soil layer. Taking into account all above considerations, a total of 8 different scenarios were  
16 considered. Figure 1 shows an example of multiple tension cumulative upward infiltration generated  
17 by HYDRUS-2D for the different scenarios of Table 1.

18 Forward simulation was performed using HYDRUS-2D to predict the outcomes of the synthetic  
19 experiments. The three unknown hydraulic parameters  $\alpha$ ,  $n$  and  $K_s$  were varied over wide ranges  
20 ( $0.01$  to  $0.1 \text{ cm min}^{-1}$ ,  $0.01$  to  $0.1 \text{ cm}^{-1}$ , and  $1.1$  to  $2.9$ , for  $\alpha$ ,  $K_s$  and  $n$ , respectively) encompassing the  
21 true (but assumed unknown) values.  $K_s$  and  $\alpha$  were logarithmically spaced.

22 The degree of mismatch between the predictions and the synthetic experimental data were  
23 computed using the objective function  $\Phi(K_s, \alpha, n)$  given in Eq. (5). The values of the objective  
24 functions were summarized as contours (response surfaces) for the three possible combinations:  $K_s$ - $n$ ,

1  $\alpha$ - $n$ , and  $K_s$ - $\alpha$ . The parameter combinations for each response surface were calculated on a  
2 rectangular grid. Each parameter was discretized into 140 points resulting in 19600 grid points for  
3 each response surface.

4 Under real situations, experimental data is subject to several sources of uncertainty (i.e. water  
5 level measurement, initial and final water content, etc.), which are propagated to the hydraulic  
6 parameters estimates as well. For these synthetic experiments we considered uncertainty due to water  
7 level measurement and its influence on the upward infiltration data. This uncertainty arises due to the  
8 accuracy of the water level measurement sensor, and depends on the ratio of the water supply  
9 reservoir diameter to soil cylinder diameter. A preliminary experiment performed with a  $\pm 0.5$  psi  
10 pressure transducer installed in a 2.34 cm-diameter water reservoir and connected to a 5 cm-diameter  
11 soil cylinder resulted in a soil water infiltration measurement uncertainty less than  $\pm 0.1$  mm. To  
12 translate this experimental error, a sensitivity analysis was performed around each inverse solution as  
13 part of a first order uncertainty analysis. The change of the objective function (Eq. 5) associated to  
14 the uncertainty source was first calculated and superimposed on the response surfaces in the form of a  
15 contour line (0.1 mm).

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## 17 **2.3. Experimental setup**

### 18 *2.3.1. Tension sorptivimeter*

19 To test this alternative method, a device for cumulative upward infiltration measurements, which  
20 will be called from now on tension sorptivimeter, was used (Fig. 2). This device, which is a inverted  
21 tension disc infiltrometer, consisted on a stain steel cylinder (5 cm- internal diameter -i.d.- and 5 cm-  
22 high) placed on a coarse porous base (5 cm i.d.), which was contained in an aluminum receptacle of  
23 10 cm diameter. The top of the porous base was covered with a 10  $\mu$ m pore size nylon mesh.  
24 Experimental testing revealed that this pore size mesh can supply a maximum soil tension of about  
25 30-45 cm. The base of the cylinder was hermetically closed against the nylon mesh and the aluminum



1 receptacle, and it was connected to a water-supply reservoir (30 cm high and 2.33 cm i.d.). The water  
2 reservoir was connected to a bubbling tower that had a mobile tube that imposed a negative pressure  
3 head ( $h$ ) at the base of the cylinder (Fig. 2). A  $\pm 0.5$  psi differential pressure transducer (PT)  
4 (Microswitch, Honeywell), connected to a datalogger (CR1000, Campbell Scientist Inc.), was  
5 installed at the bottom of the water-supply reservoir (Casey and Derby, 2002).

6 To setup the tension sorptivimeter, the porous base plus nylon mesh should be firstly saturated. To  
7 this end, the tube of the bubble tower was removed and the air-inlet tube of the water reservoir was  
8 levelled up to the top of the porous base. Once the porous base was saturated, all air trapped between  
9 the nylon mesh and the porous base was removed with a syringe. Next, the mobile tube of the  
10 bubbling tower was placed at the desired depth, and a negative pressure head was generated in the  
11 water reservoir with a syringe (Fig. 1). The desired tension was reached when the bubbling tower  
12 started to bubble up. Then, a volume of  $100 \text{ cm}^3$  of soil was carefully dumped into the cylinder. At  
13 this point, the bubbling tower started to bubbling up, which indicated the soil started to take water.  
14 The successive tensions were reached by moving up the mobile tube of the bubbling tower. The last  
15 soil tension corresponded to the soil saturation point, in which the mobile tube of the bubbling tower  
16 was completely removed. Once the tension in the porous base was zero, the overpressure step was  
17 reached by raising the water reservoir to a desired height. The soil column was considered saturated  
18 when a water sheet was observed on the top of the cylinder. The excess of water that flowed through  
19 the soil column due to overpressure step was drained by gravity by the edges of the cylinder. The  
20 total pressure drop,  $\Delta H$ , (Eq. 4) was calculated as the distance between the air-inlet tube of the  
21 reservoir and the top soil cylinder surface. The saturated hydraulic conductivity ( $K_s$ ) was calculated  
22 from the overpressure section of the simulated cumulative upwards infiltration according to Eq.(4).  
23 During the experiment, the water losses due to evaporation were considered negligible. The initial  
24 water content was gravimetrically measured and the final water content corresponded to the saturated  
25 soil conditions.

1

## 2 2.3.2. Laboratory testing

3 The method was tested in laboratory on five soils with different textural characteristics (Table 2): a  
4 coarse (250-500  $\mu\text{m}$  of grain size) and a fine (80-160  $\mu\text{m}$  of grain size) sand, and a 1-mm sieved  
5 loam, clay loam and silt-gypseous soil. The experiment consisted on an upward infiltration process  
6 followed by an overpressure step once the wetting front arrived to the top of the soil core. The  
7 pressure heads applied from the bottom of the core and the corresponding infiltration times are shown  
8 in Table 2. The  $K_s$  was measure by applying the Darcy's law to the overpressure step, and the  
9  $\Phi(K, \alpha, n)$  response surfaces were calculated, when needed. To this end, a rectangular grid  
10 discretized into 70 discrete points, which results in 4900 grid points, were used. The value used in the  
11 inverse analysis ranged from to 0.01 to 1  $\text{cm s}^{-1}$  and  $\text{cm}^{-1}$  for  $K$  and  $\alpha$ , respectively, and from 1.1 to  
12 3.5 for  $n$ . The van Genuchten (1980)  $\alpha$  and  $n$  parameters estimated by inverse optimization of the soil  
13 water upward infiltration curves were compared with the corresponding parameters estimated from  
14 the water retention curves measured with the TDR-pressure cell method (Moret-Fernández et. al,  
15 2012). The wetting branch of the water retention curve was estimated in the sands. In these cases,  
16 pressure heads of 0.3, 0.5, 0.1, 0.2, 0.3, 0.4, 0.5 and 0.65 kPa were applied. For the sieved soils, the  
17 draining branch of  $\theta(\psi)$ , for pressure heads of 0.2, 0.5, 1, 2, 5, 25, 50, 100, 500 and 1500 kPa, was  
18 measured. The water retention curves were fitted, using the SWRC Fit Version 1.2. software (Seki,  
19 2007) (<http://seki.webmasters.gr.jp/swrc/>), to the unimodal van Genuchten (1980) function (Eq. 2).

20 The  $\alpha$  parameters obtained with both techniques for a wetting or draining processes were converted  
21 to the opposite water retention curve branch using the hysteresis index developed by Gebrenegus and  
22 Ghezzehei (2011).

23

## 24 3. Results and discussion

1 *3.1. Theoretical analysis*

2 The response surfaces (contours)  $\phi(\alpha, n)$ ,  $\phi(K_s, n)$ , and  $\phi(K_s, \alpha)$  for all the boundary condition  
3 scenarios are shown in Figure 3, 4 and 5, respectively. The thick red contours represent the  $\pm 0.1$  mm  
4 uncertainty range.

5 Note that the contours of the  $S_0$  and  $S_{-10,0}$  scenarios without the overpressure step showed an  
6 elongated experimental uncertainty contour regions. These results prevent defining a unique  
7 combination of parameters  $\alpha$ - $n$ - $K_s$  with the lowest objective function. In other words, there are  
8 infinite combinations of  $\alpha$ - $n$ - $K_s$  values within this contour region that can yield almost identical CUI.  
9 The results, thus, demonstrate that the low suction experimental conditions are not adequate to  
10 uniquely define the hydraulic parameters. However, the response surfaces corresponding to  $S_{-50,0}$  and  
11  $S_{-100,0}$  scenarios also without the overpressure step exhibit well-defined minimums. Thus, these  
12 results suggest that the higher tensions used in these examples provide sufficient information to  
13 provide reliable estimates of the soil hydraulic parameters.

14 The above results indicate that the proposed inverse analysis method provides reliable estimate of  
15 hydraulic parameters only within the range of suction that was represented in the experimental data.  
16 For example, parameters estimated using the  $S_{-10,0}$  provide hydraulic parameters that are reliable in  
17 the range 0 cm to -10 cm of suction. On the other hand, parameters derived using the  $S_{-100,0}$   
18 experiments result in parameters that adequately describe the 0 cm to -100 cm suction range. To  
19 check the dependence of the accuracy of the estimated parameters on the range of suction applied in  
20 the experiments, we compare the water retention curves of the true cumulative upward infiltration  
21 (CUI) with those for the computed CUI using the parameters within the  $\pm 0.1$  mm uncertainty range  
22 (Fig. 6). Note that in all the scenarios, the uncertainty range is very narrow up to approximately the  
23 highest suction level applied in the experiments. For this particular soil, the scenario with -100 cm  
24 spans most range of the water retention curve, and provides very accurate estimate of the hydraulic

1 parameters across the board. In this case, the average optimal  $\alpha$  and  $n$  values estimated for the loam  
2 soil, were  $0.0358 \text{ cm}^{-1}$  and  $1.566$ , respectively, an error of 0.5 and 3%, respectively. From the above  
3 discussions, we can conclude that the proposed method provide reliable estimates of hydraulic  
4 parameters when the maximum suction is higher than about  $-1/a$  cm. To verify this hypothesis, a  
5 second simulation on a loamy sand ( $\theta_r = 0.057 \text{ m}^3 \text{ m}^{-3}$ ,  $\theta_s = 0.41 \text{ m}^3 \text{ m}^{-3}$ ,  $\alpha = 0.124 \text{ cm}^{-1}$ ,  $n = 2.28$  and  
6  $K_s = 0.2432 \text{ cm s}^{-1}$ ; Simunek et al., 2008) was performed. In this case, pressure heads of -10 cm (15  
7 min), 0 cm (10 min) and 10 cm (5 min) were used. The results confirmed the above described  
8 hypothesis, where the -10 cm applied suction, which is higher than the corresponding  $-1/a$  value ( $-$   
9  $8.06 \text{ cm}$ ), was enough to provide reliable estimates of hydraulic parameters (Fig. 7). The average  
10 optimal  $\alpha$ ,  $n$  values obtained for the loamy sand were  $0.0124 \text{ cm}^{-1}$  and  $2.16$ , respectively, which  
11 means an error of 0.1 and 5%, respectively.

12 The  $K_s$ - $\alpha$  and  $K_s$ - $n$  error maps for 0 and 0-10 cm of soil tensions (Fig. 3 and 4 a2 and b2)  
13 significantly changed when the overpressure section was included. In these cases, a unique and well  
14 defined minimum was found. However, this was not the case of the  $\alpha$ - $n$  response surface, which the  
15 inclusion of  $K_s$  did not limit the experimental uncertainty contour line. To solve this problem, higher  
16 negative soil tensions should be considered (Fig. 5 c2 and d2). These analyses demonstrate that for a  
17 known  $K_s$ , the  $\alpha$  and  $n$  can be satisfactorily estimated from the inverse analysis of a CUI if moderate  
18 soil tensions are applied. In our case, the most accurate estimation of the hydraulic parameters  
19 corresponded to a CUI with -100-0 cm of pressure head. To verify this second hypothesis, a third  
20 simulation using a known  $K_s$  was performed on a clay loam soil ( $\theta_r = 0.095 \text{ m}^3 \text{ m}^{-3}$ ,  $\theta_s = 0.41 \text{ m}^3 \text{ m}^{-3}$ ,  
21  $\alpha = 0.019 \text{ cm}^{-1}$ ,  $n = 1.31$  and  $K_s = 0.0043 \text{ cm min}^{-1}$ ; Simunek et al., 2008). The applied soil tensions  
22 were -50 cm (270 min), 0 cm (30 min) and 10 cm (40 min). The results confirmed the second  
23 hypothesis, where the -50 cm of applied suction, which almost equals to  $-1/a$  value ( $-52 \text{ cm}$ ), was  
24 enough to provide reliable estimates of the hydraulic parameters (Fig. 8). The optimal  $\alpha$  and  $n$  values

1 obtained in this case were  $0.0191 \text{ cm}^{-1}$  and 1.29, respectively, which supposed an error of 0.52 and  
2 1.5%.

3 In conclusion, the analysis of the response surfaces for  $\phi(K_s, \alpha, n)$  described in the previous  
4 paragraphs reveal that two possible ways to estimate  $K_s$ ,  $\alpha$  and  $n$  from the inverse analysis of a  
5 measured CUI are possible:

6 (i) Minimization of the objective function  $\phi(K_s, \alpha, n)$  on a CUI without overpressure step, when  
7 negative enough (e.g. -100 cm) soil pressure heads are supplied.

8 (ii) Calculation of  $K_s$  from the overpressure step at the end of the upward infiltration process  
9 according to Eq. (6), and minimization of the objective function  $\phi(\alpha, n)$ . In this case, medium  
10 negative soil pressure heads (e.g. -30 cm) could be used. The theoretical analysis performed on  
11 the loam soil demonstrated that the average error to calculate  $K_s$  from the overpressure ramp of  
12 the CUI according to the Darcy's law was 0.23%.

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### 14 3.2. Laboratory experiment

15 Values of the soil bulk density ( $\rho_b$ ) and the saturated and residual water contents of the different  
16 soils used in the laboratory experiment in the tension sorptivimeter and TDR-cell are summarized in  
17 Table 3. Due to the maximum tension allowed by the tension sorptivimeter ranged between 30 and 40  
18 cm, the soil hydraulic parameters were estimated according to the procedure ii). This involved  
19 calculating  $K_s$  from the overpressure step at the end of the upward infiltration process. The  $K_s$  values  
20 calculated using the Darcy's law are shown in Table 3. The maximum and minimum  $K_s$  values  
21 corresponded to the coarse sand and the silt-gypseous soils, respectively. As example, Figure 9a and  
22 b shows the  $\alpha$ - $n$  responses surfaces for the objective function  $\phi(\alpha, n)$  and the comparison between the  
23 experimental and optimal cumulative upward infiltration obtained for the coarse sand and the 1-mm  
24 sieved loam and silt-gypseous soil. Overall, good fittings between the experimental and optimal

1 cumulative upward infiltrations (Fig. 9a) were obtained. Except for the sand, a well defined minimum  
2 (Fig. 9b) was observed in the error maps. The elongated contour line observed in the coarse sand  
3 indicates that  $n$  values ranged between 3.0 to 3.5 give very similar infiltration curves. This behavior  
4 can be explained because of quasi identical water retention curve shapes are obtained for the  $n$  values  
5 ranging between 3.0 and 3.5. The  $\alpha$  and  $n$  values estimated for the five soils with the global  
6 optimization analysis, after being recalculated for a draining process (Table 3), were within the same  
7 order of magnitude to those values obtained with the pressure cell method. A significant relationship  
8 between the  $\alpha$  ( $p < 0.02$ ) and  $n$  ( $p < 0.001$ ) values estimated with the pressure cell and the tension  
9 sorptivimeter was found (Fig. 10). The higher significance observed in  $n$  could be due to the fact that  
10 the  $n$  parameter is more related to the soil texture (Jirku et al., 2013) and  $\alpha$  is more associated to the  
11 soil structure. Thus, the lower  $\alpha$  values obtained with the pressure cell method (Fig. 10) may  
12 associated to the soil macroporosity collapse during the measurements. The shorter measurement  
13 times with the sorptivimeter could have minimized the soil micro-structure changes during the soil  
14 wetting process, and better preserve its internal architecture. Overall, the error between the  $\alpha$  (in  
15 logarithm scale) and  $n$  parameters estimated with the inverse analysis and those measured with the  
16 pressure chamber were 3.1 and 6.1%, respectively. As example, Figure 10 shows the relationship  
17 between the  $S_e$  curves estimated with both techniques in the 1-mm sieved loam soil.

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#### 19 **4. Conclusions**

20 This paper presents a modified method to estimate the soil hydraulic parameters ( $K_s$ ,  $\alpha$ ,  $n$ ) from  
21 the inverse analysis of a multiple tension cumulative upward infiltration (CUI), without using  
22 tensiometers. Using the HYDRUS-2D software, the method was tested on a theoretical loam soil for  
23 different tensions with and without an overpressure step at the end of the simulations. Next, the  
24 method was validated in laboratory on five porous media with different texture. This work

1 demonstrated that the soil hydraulic parameters can be satisfactorily estimated from a CUI without an  
2 overpressure step at the end of the infiltration process if negative enough pressure heads (e.g. -100  
3 cm) to correctly define the water retention curve are applied. Alternatively, if only medium negative  
4 soil pressure heads (e.g. -40 cm) are allowed,  $K_s$  can be calculated from the overpressure step of a  
5 CUI, and  $\alpha$  and  $n$  can be estimated by minimization of the  $\phi(\alpha, n)$  objective function. The laboratory  
6 experiments allowed a satisfactory validation of the technique. Compared to existent laboratory  
7 methods, the tension sorptivimeter resulted to be a relatively fast and simple method. The time  
8 needed to measure a CUI run about 1-2 hours, and the analysis of the measured curves, which is  
9 relatively fast if a computer cluster is available, could be improved if a more efficient optimization  
10 method was used. Compared to the Young et al. (2002) procedure, which requires similar  
11 experimental times, the method here presented allows working with smaller soils cores and does not  
12 need to employ tensiometers. This makes this technique to be less expensive and simpler handling.  
13 However, additional efforts should be done to determine, for instance, the influence of the absorption  
14 time on the hydraulic properties estimations, or to study new combinations of tensions to improve the  
15 CUI optimizations. On the other hand, the highly tension used at the beginning of the experiment,  
16 which is close to the bubbling pressure (tension) of the nylon mesh, makes that only soil samples that  
17 ensure good contact between the nylon surface and the soil (e.g. sieved soils) can be used. This  
18 problem could be solved by starting the experiment at saturation conditions. To this end, alternative  
19 tension sorptivimeter designs should be developed. Finally, because of this method needs to  
20 previously select the tensions to be used, the application of this method to all types of soil is, in any  
21 case, complex. That is, the tensions needed to characterize, for instance, a sand are different to those  
22 for a loam soil. For these reason, additional efforts are needed to develop alternative laboratory  
23 designs that allow automating the tensions to be applied, independently to the soil characteristics.

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4 Victoria López for their technical help to develop this paper.

5

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## Figures captions

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**Figure 1.** Examples of cumulative upward infiltration (CUI) generated by HYDRUS-2D in a theoretical loam soil for the different scenarios of Table 1 without (No oversat) and with oversaturation (Oversat) step at the end of the experiment.

**Figure 2.** Diagram of the tension sorptivimeter

**Figure 3.** Contours of objective function  $\phi(K_s, \alpha, n)$  for the cumulative upward infiltration of a theoretical loam soil in the  $\alpha$ - $n$  plane at pressure heads of a) 0, b) -10 and 0, c) -50 and 0, d) -100 and 0 cm, without (1) and plus (2) an overpressure head of 5 cm from the soil surface. Contour lines denote error values of 0.25, 0.5, 1, 2, 3, and 5 mm, respectively. Thick red line corresponds to the experimental uncertainty contour line (0.1 mm) due to water level measurement.

**Figure 4.** Contours of objective function  $\phi(K_s, \alpha, n)$  for the cumulative upward infiltration of a theoretical loam soil in the  $K_s$ - $n$  plane at pressure heads of a) 0, b) -10 and 0, c) -50 and 0, d) -100 and 0 cm, without (1) and plus (2) an overpressure head of 5 cm from the soil surface. Contour lines denote error values of 0.25, 0.5, 1, 2, 3, and 5 mm, respectively. Thick red line corresponds to the experimental uncertainty contour line (0.1 mm) due to water level measurement.

**Figure 5.** Contours of objective function  $\phi(K_s, \alpha, n)$  for the cumulative upward infiltration of a theoretical loam soil in the  $K_s$ - $\alpha$  plane at pressure heads of a) 0, b) -10 and 0, c) -50 and 0, d) -

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4 measurement.

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6 **Figure 6.** Water retention curves corresponding to the cumulative upward infiltration of a theoretical  
7 loam soil calculated from the  $\alpha$ - $n$  values included within 0.1 mm contour line of the  $\alpha$ - $n$  error  
8 map (Fig. 5) for: a) 0, b) -10 and 0, c) -50 and 0 cm, and d) -100 and 0 cm of pressure heads.  
9 Red curve correspond to the theoretical water retention curve. Vertical line denotes the  
10 maximum suction applied to the soil water absorption process.

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12 **Figure 7.** Contours of objective function  $\phi(K_s, \alpha, n)$  for the cumulative upward infiltration of a  
13 theoretical loamy sand soil in the a)  $K_s$ - $n$ , b)  $\alpha$ - $n$  and c)  $K_s$ - $\alpha$  planes at pressure heads of -10  
14 and 0 cm. Contour lines denote error values of 0.25, 0.5, 1, 2, 3, and 5 mm, respectively. Thick  
15 red line corresponds to the experimental uncertainty contour line (0.1 mm) due to water level

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17 **Figure 8.** Contours of objective function  $\phi(\alpha, n)$  for the cumulative upward infiltration of a  
18 theoretical clay loam soil in the  $\alpha$ - $n$  plane at pressure heads of -50, 0 and 10 cm. Contour lines  
19 denote error values of 0.25, 0.5, 1, 2, 3, and 5 mm, respectively. Thick red line corresponds to  
20 the experimental uncertainty contour line (0.1 mm) due to water level measurement.

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22 **Figure 9.** a) Experimental soil cumulative upward infiltration (CUI) (circles) and the optimal  
23 modelled curves (line). Numbers within these figures denote the soil tensions applied at the  
24 bottom of the soil core. b) Contour of the objective function  $\alpha(\alpha, n)$  for the CUI in the  $\alpha$ - $n$

1 plane estimated on the experimental coarse sand, and 1-mm sieved loam and silt gypseous  
2 soils subjected to different soil tensions at the bottom of the soil core. The  $K_s$  has been  
3 calculated from the CUI overpressure step. Thick red line corresponds to the experimental  
4 uncertainty contour line of 0.5 mm for the coarse sand and loam soil and 1.0 mm for the  
5 silt-gypseous soil.

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7 **Figure 10.** Relationship between the a)  $\alpha$  and b)  $n$  values estimated with the pressure cell and the  
8 corresponding values estimated with tension sorptivimeter for the coarse and fine sand, and 1-  
9 mm sieved loam, clay loam and silt-gypseous soils.

10  
11 **Figure 11.** Comparison between the effective saturation ( $S_e$ ) curves measured on a 1-mm sieved loam  
12 soil with the pressure cell (circles) and the corresponding curve obtained by inverse analysis  
13 (line) of a multiple tension cumulative upward infiltration (Fig. 8b) measured with the tension  
14 sorptivimeter.

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3 **Table 1.** Pressure heads at the bottom boundary condition and times intervals

4 used in theoretical simulations on a loam soil.

Scenario	Pressure heads	Time per tension
	cm	min
$S_0$	0	30
$S_{0-10}$	-10, 0	80, 30
$S_{0-50}$	-50, 0	270, 30
$S_{0-100}$	-100, 0	470, 30

**Table 2.** Soil properties of the studied soil, applied soil tensions and the corresponding infiltration times.

Texture <sup>a</sup>	Sand	Silt	Clay	CaCO <sub>3</sub>	Gypsum	Organic carbon	Soil tensions	Interval times
	g kg <sup>-1</sup>						cm	min
Coarse-sand	953	33	14	-	-	-	-15, 0, 7	30, 16, 4
Fine-sand	962	27	11	-	-	-	-12, 0, 7	30, 4, 6
Loam	280	470	250	527	-	11.7	-40, 0, 9	185, 16, 35
Clay loam	205	497	298	228	-	19.9	-35, 0, 9	152, 12, 10
Silt-gypseous	316	591	129	10	703	1.5	-35, 0, 7	30, 50, 24

<sup>a</sup> USDA classification;

**Table 3.** Soil bulk density ( $\rho_b$ ), saturated and residual water contents ( $\theta_s$  and  $\theta_r$ ), saturated hydraulic conductivity ( $K_s$ ) and the van Genuchten (1980) water retention curve parameters ( $\alpha$ ,  $n$ ) estimated with the tension sopytometer (TS) for a wetting process, and the corresponding values measured with a TDR-pressure cell (PC) in a wetting (sands) and draining (sieved soils) process. Blond italics letters indicate the corresponding  $\alpha$  values calculated from the measured  $\alpha$  parameter using the Gebrenegus and Ghezzehei (2011) model.

Soil	Method	Process	$\rho_b$ (g cm <sup>-3</sup> )	$\theta$		$K_s$ (cm min <sup>-1</sup> )	n (cm <sup>-1</sup> )	$\alpha_w$ <sup>a</sup>	$\alpha_d$ <sup>b</sup>
				$\theta_s$ (cm <sup>3</sup> cm <sup>-3</sup> )	$\theta_r$				
Coarse-sand	PC	Draining	1.51	0.40	0.02 <sup>c</sup>	-	2.94	0.066	<b><i>0.033</i></b>
	TS	Wetting	1.50	0.43	0.02	1.709	3.20	0.084	<b><i>0.041</i></b>
Fine-sand	PC	Draining	1.57	0.38	0.02	-	2.33	0.078	<b><i>0.039</i></b>
	TS	Wetting	1.54	0.43	0.02	0.763	2.71	0.113	<b><i>0.056</i></b>
Loam	PC	Draining	1.19	0.48	0.16	-	1.64	<b><i>0.076</i></b>	0.039
	TS	Wetting	1.06	0.53	0.01	0.108	1.52	0.100	<b><i>0.050</i></b>
Clay loam	PC	Draining	1.31	0.52	0.36	-	1.32	<b><i>0.102</i></b>	0.055
	TS	Wetting	1.32	0.49	0.02	0.630	1.43	0.124	<b><i>0.065</i></b>
Silt- gypseous	PC	Draining	1.07	0.49	0.41	-	1.27	<b><i>0.047</i></b>	0.026
	TS	Wetting	0.95	0.46	0.02	0.110	1.23	0.042	<b><i>0.024</i></b>

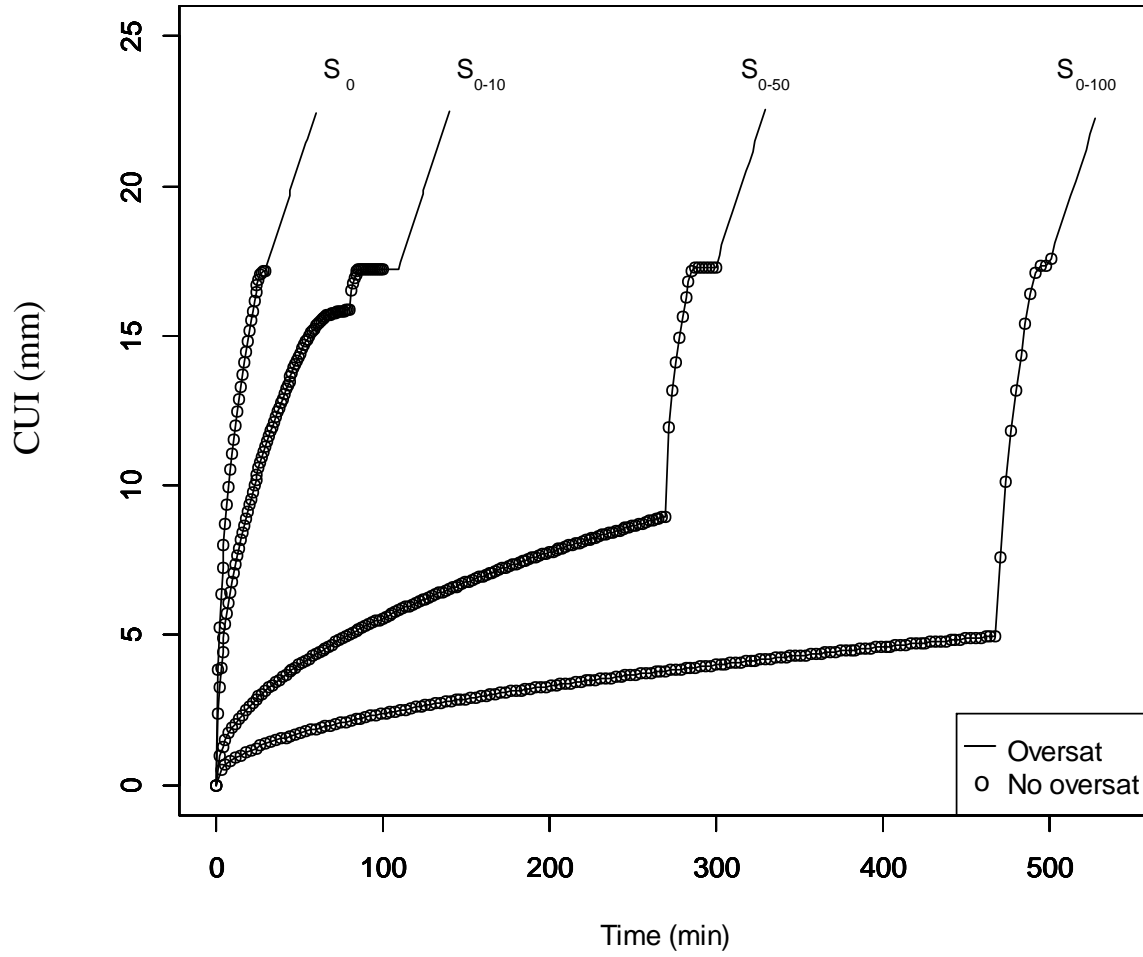
<sup>a</sup>  $\alpha$  value for a wetting process

<sup>b</sup>  $\alpha$  value for a draining process

<sup>c</sup> Estimated with the SWRC-fit software (Seki, 2007)



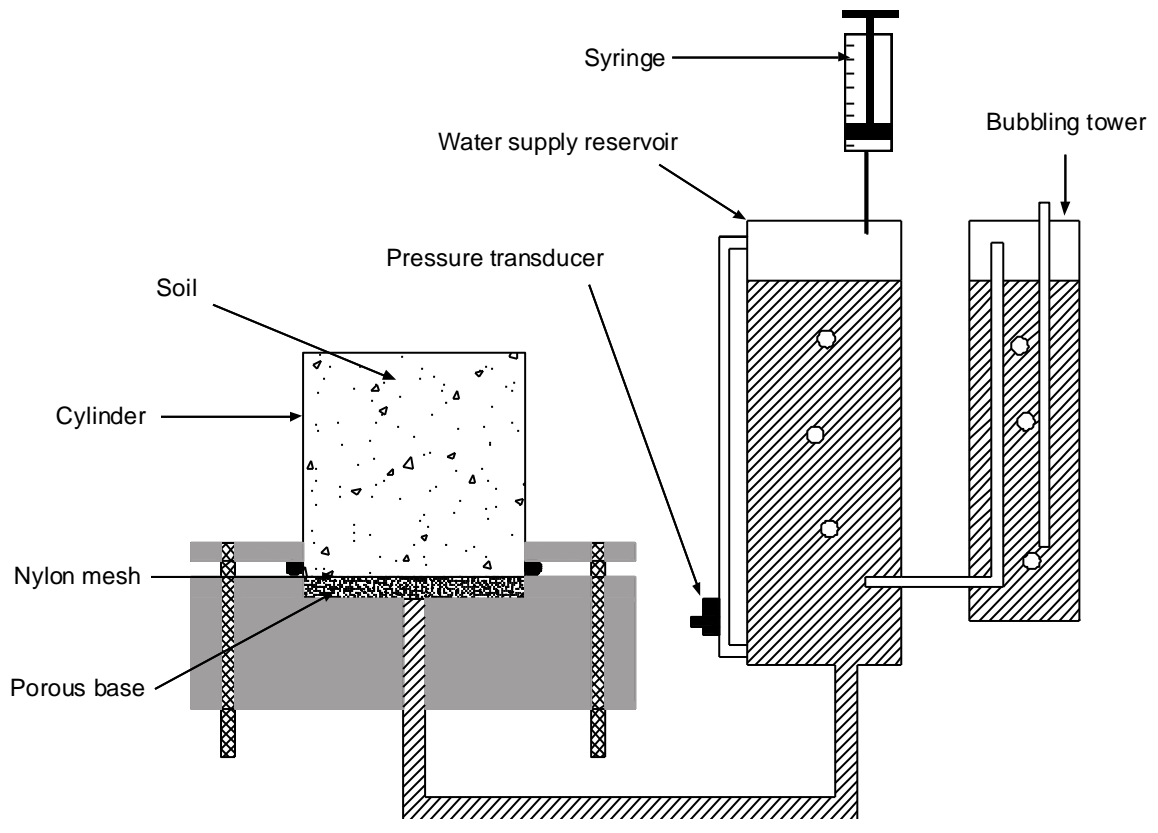
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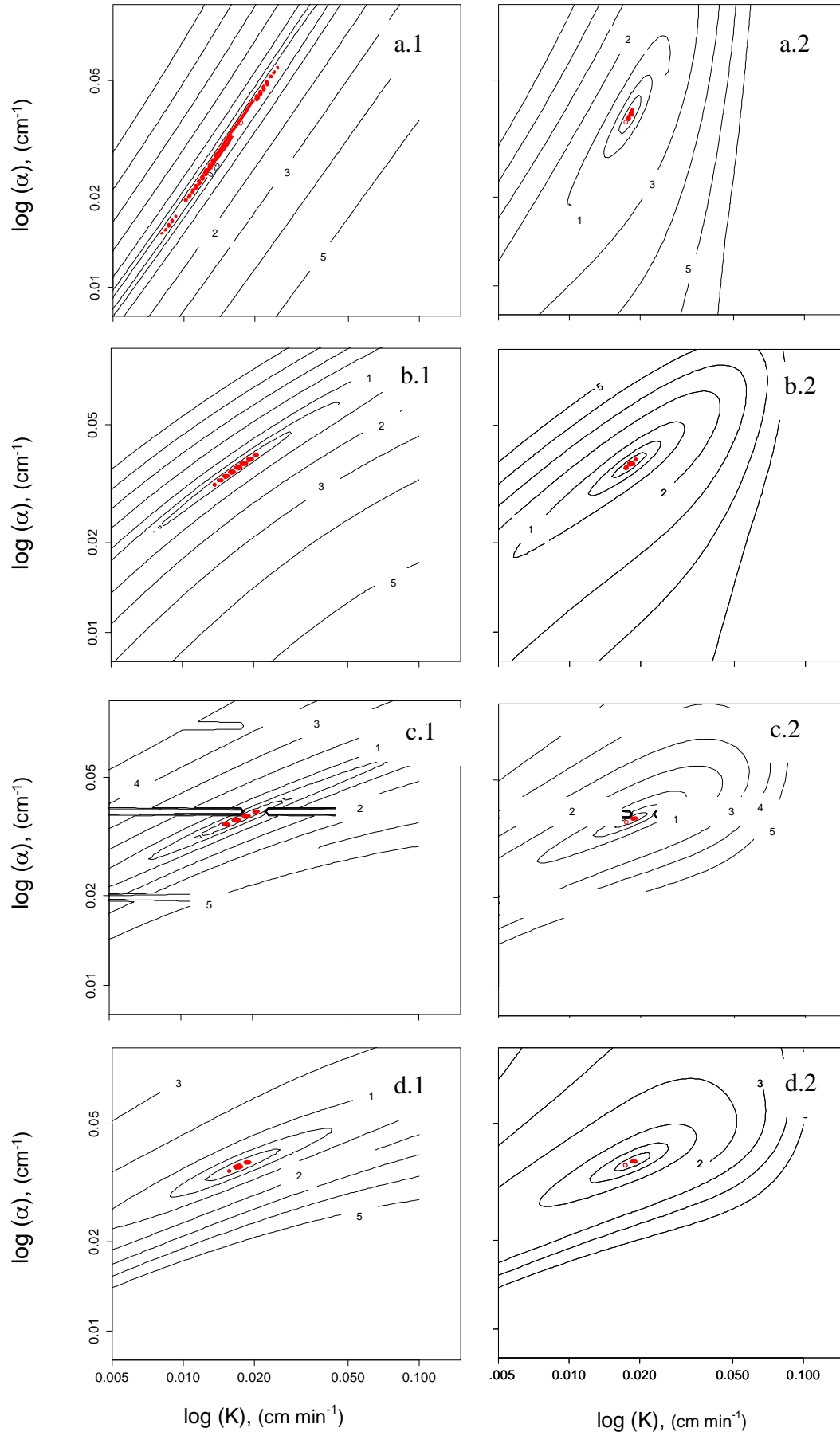
**Figure 1.** Examples of cumulative upward infiltration (CUI) generated by HYDRUS-2D in a theoretical loam soil for the different scenarios of Table 1 without (No oversat) and with oversaturation (Oversat) step at the end of the experiment.

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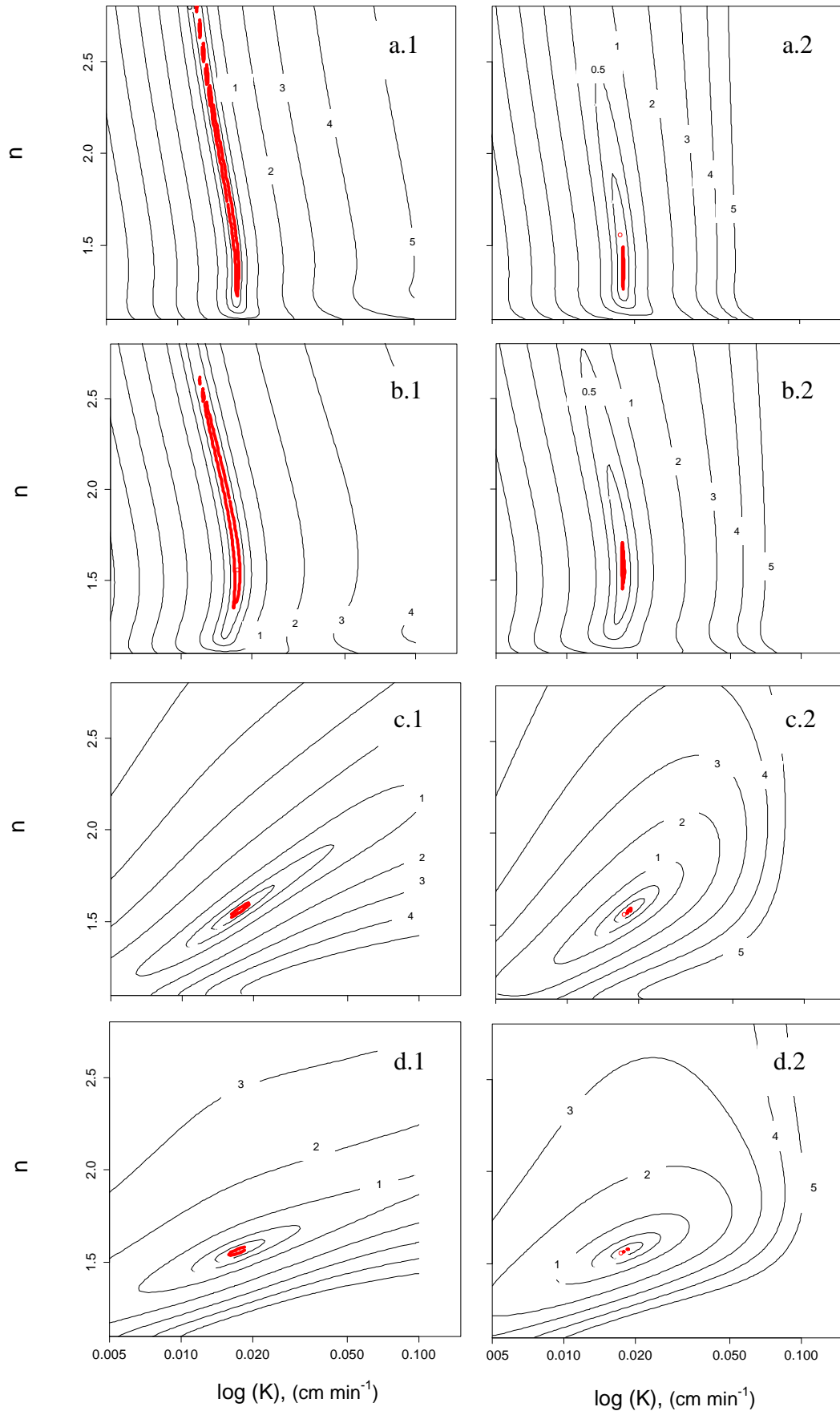


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**Figure 2.** Diagram of the tension sorptivimeter



1 **Figure 3.** Contours of objective function  $\phi(K_s, \alpha, n)$  for the cumulative upward infiltration of a  
2 theoretical loam soil in the  $\alpha$ - $n$  plane at pressure heads of a) 0, b) -10 and 0, c) -50 and 0, d) -  
3 100 and 0 cm, without (1) and plus (2) an overpressure head of 5 cm from the soil surface.  
4 Contour lines denote error values of 0.25, 0.5, 1, 2, 3, and 5 mm, respectively. Thick red line  
5 corresponds to the experimental uncertainty contour line (0.1 mm) due to water level  
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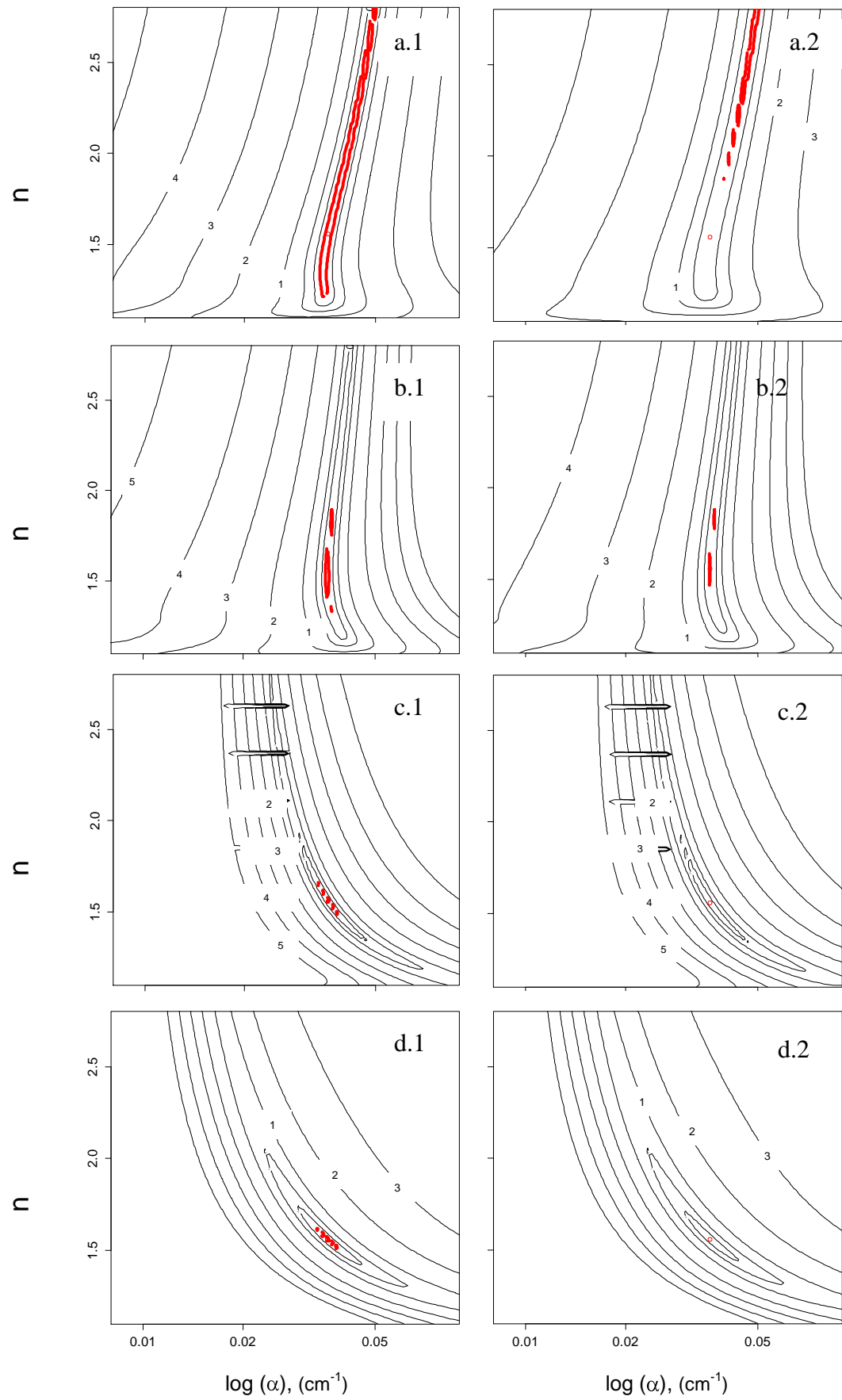
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6 corresponds to the experimental uncertainty contour line (0.1 mm) due to water level  
7 measurement.

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1 **Figure 5.** Contours of objective function  $\phi(K_s, \alpha, n)$  for the cumulative upward infiltration of a  
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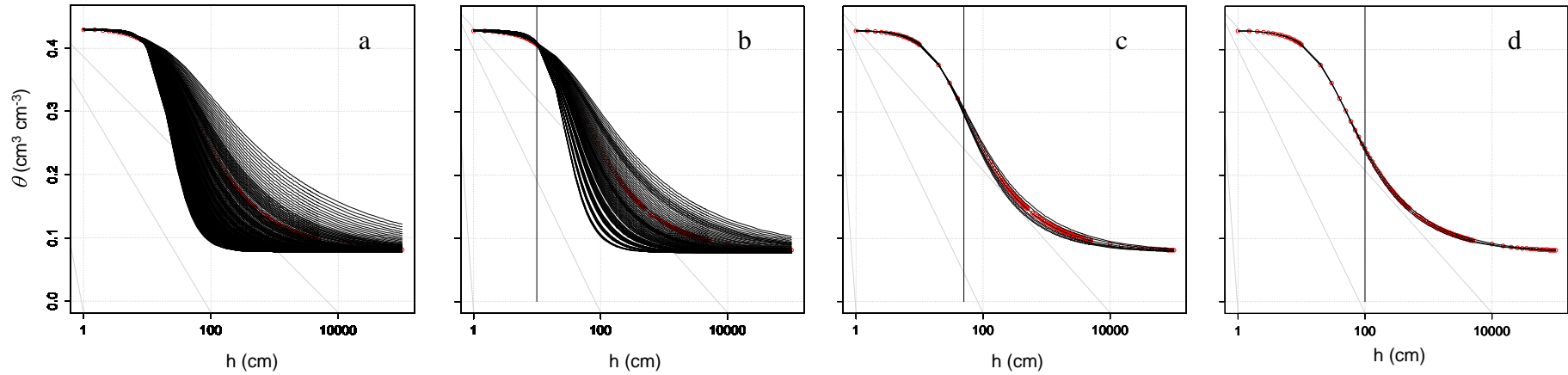
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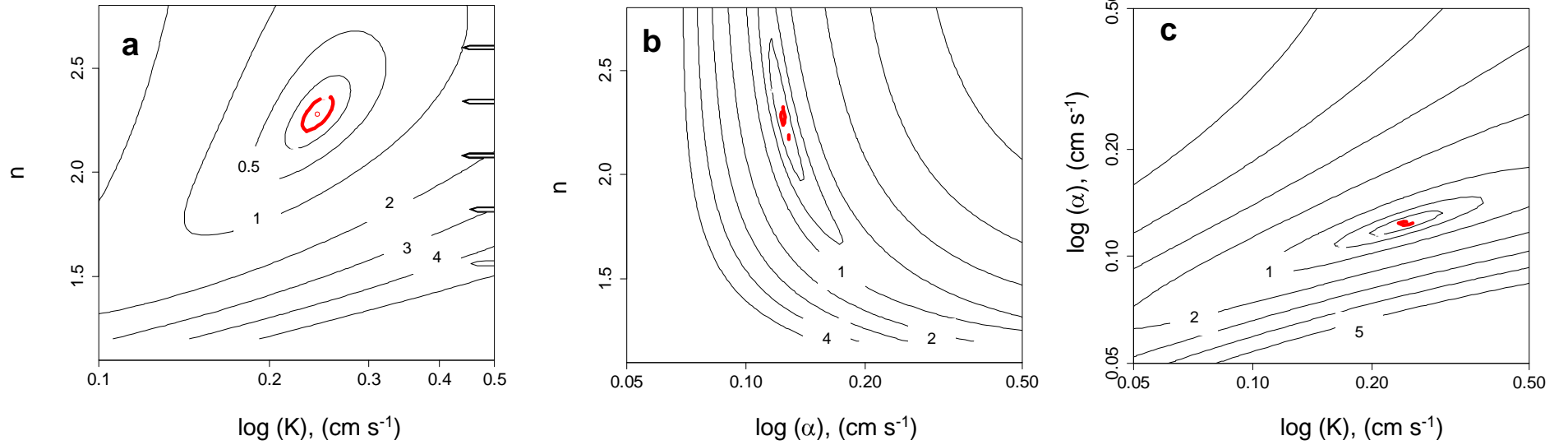
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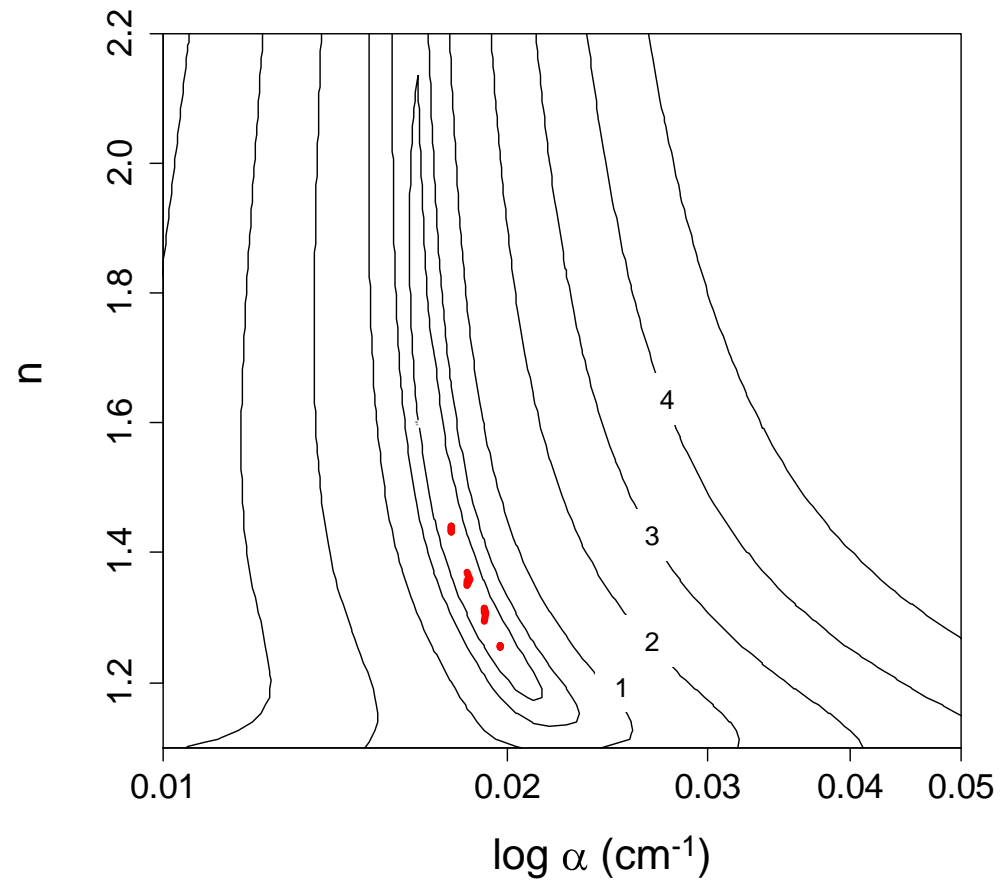
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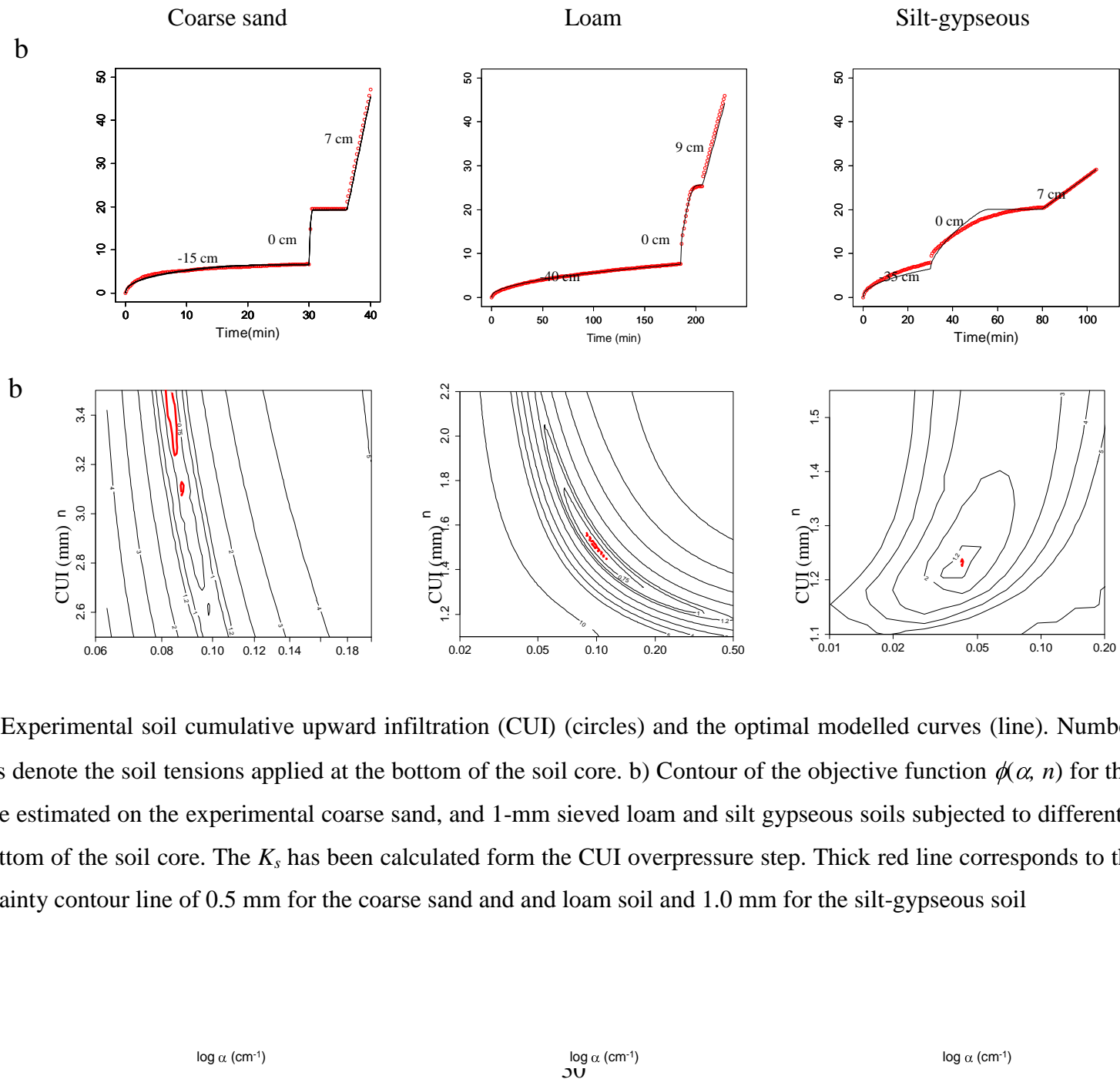
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**Figure 7.** Contours of objective function  $\phi(K_s, \alpha, n)$  for the cumulative upward infiltration of a theoretical loamy sand soil in the a)  $K_s$ - $n$ , b)  $\alpha$ - $n$  and c)  $K_s$ - $\alpha$  planes at pressure heads of -10 and 0 cm. Contour lines denote error values of 0.25, 0.5, 1, 2, 3, and 5 mm, respectively. Thick red line corresponds to the experimental uncertainty contour (0.1 mm) due to water level

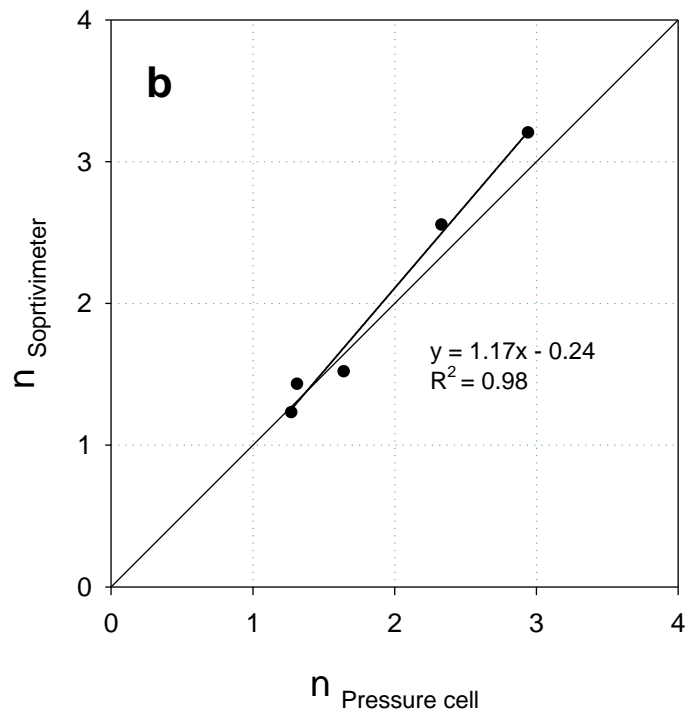
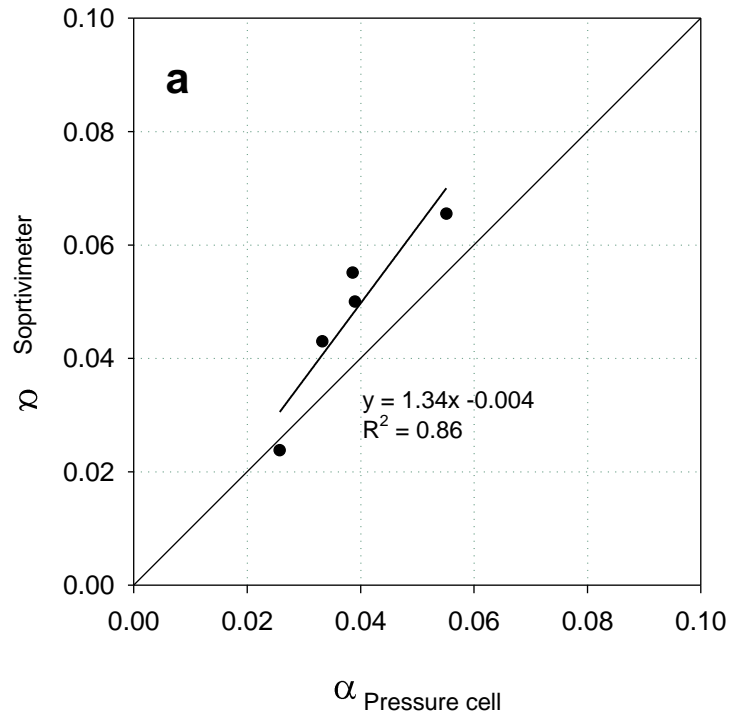


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 2 **Figure 8.** Contours of objective function  $\phi(\alpha, n)$  for the cumulative upward infiltration of a theoretical clay loam soil in the  $\alpha$ - $n$  plane at  
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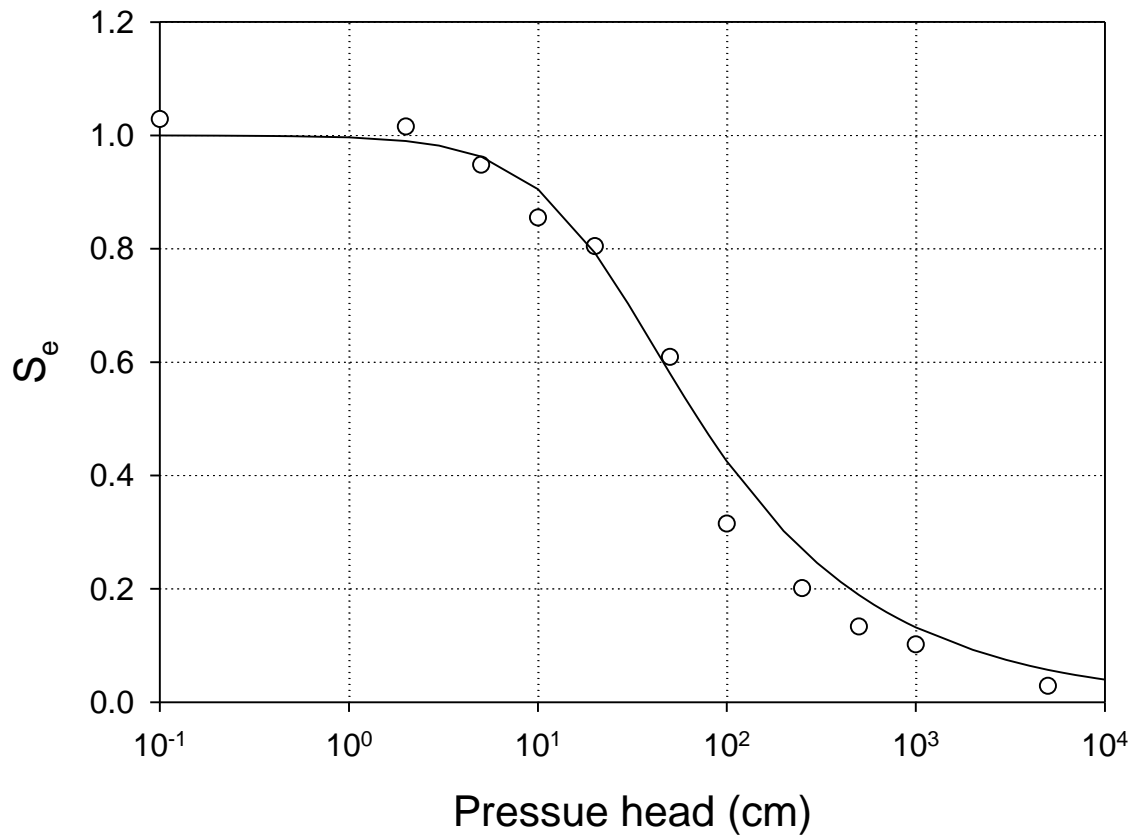
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**Figure 10.** Relationship between the a)  $\alpha$  and b)  $n$  values estimated with the pressure cell and the corresponding values estimated with tension saptivimeter for the coarse and fine sand, and 1-mm sieved loam, clay loam and silt-gypseous soils.

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5 **Figure 11.** Comparison between the effective saturation ( $S_e$ ) curves measured on a 1-mm sieved loam  
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7 (line) of a multiple tension cumulative upward infiltration (Fig. 8b) measured with the tension  
8 sorptivimeter.

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