

1 **Evaluation of Mekong River Commission Operational Flood Forecasts, 2000-2012**

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13 1. **Introduction**

14

15 The Mekong River is one of the few large rivers where its flow has not yet been
16 drastically modified by human development. It is a complex and varied system, both naturally
17 and institutionally, originating in the Tibetan Plateau, flowing through six countries, and
18 discharging to the Mekong Delta in Viet Nam. The region and the River are less developed, and
19 there are anticipated major geopolitical, economic, social, and environmental changes - such as
20 the planned five-fold increase in reservoir storage in the next ten years (Johnston and Kumm,
21 2012) - to support the irrigation and hydropower needs of a rapidly growing population (Pech
22 and Sunada, 2008). Deforestation and urbanization are likely, along with the construction of
23 roads, embankments, and flood protection works.

24 Flood forecasts help the economic development of the region while mitigating flood
25 damages and mortalities. The first flood forecasting program was established following a very
26 large flood in 1966 (Plate and Insisiengmay, 2005), and a sequence of nearly unprecedented
27 floods in 2000-2001 lead to the establishment of the Mekong River Commission's (MRC)
28 Regional Flood Management and Mitigation Center (RFMMC) in Phnom Penh, Cambodia. The
29 RFMMC and the flood forecasts it produces are part of a broader water management plan that
30 includes both structural measures designed to keep floods away from people and non-structural
31 measures designed to keep people away from floods.

32 The RFMMC generates 1 to 5 day-ahead forecasts, updated daily, during the wet season
33 (June-October) and 1 to 7 day-ahead outlooks, updated weekly, during the dry season
34 (November-May). It also creates qualitative flood forecasts, which describe the expectation of
35 flooding (i.e. may not refer to a specific place but could be used for flash flood advice or for
36 seasonal outlooks). The forecasts are bundled with recent observed data and distributed as the

37 Mekong Bulletin to 39 water-related government, non-government, and United Nations agencies
38 in Viet Nam, Thailand, Lao People’s Democratic Republic (PDR), and Cambodia; and made
39 publicly available on the Internet (MRC, 2013). National television, radio broadcasting,
40 telephone, facsimile, e-mail, websites, and newspaper networks are used to deliver flood
41 information to the public. However, many people find it difficult to obtain real time alerts as they
42 do not have access to email and websites (Keoduangsiang and Goodwin, 2012).

43 Performance evaluation is a critical component of any forecasting system. Comparison of
44 actual operational forecasts (and/or retrospectively generated hindcasts) to observations can
45 highlight strengths and weaknesses of a system, helping to identify opportunities to improve
46 forecasts. Performance evaluation can also show the value of forecasts to program managers and
47 demonstrate the improvements realized from past investments in system upgrades. Users of the
48 forecasts can consider information about the expected error of any given forecast to manage risks
49 associated with taking action to protect against anticipated floods. Further, performance of
50 operational systems can be compared to experimental and research systems to evaluate the
51 potential adoption of new techniques and technologies. There have been increased calls for study
52 of “hydrologic forecasting science” as a way for forecasts to improve our understanding of
53 natural systems and vice versa (Welles et al., 2007).

54 This article is the first evaluation of the performance of the entire history of operational
55 flood forecasts of the RFMMC. This study is intended not only as an external and independent
56 investigation into forecast accuracy, but as a basis for considering and implementing further
57 improvements to the RFMMC flood forecasting system. Additionally, the operational
58 performance evaluation methods in use at RFMMC and outlined in this article may serve as
59 templates for others in the region and overseas. Finally, the archive of forecasts created by this

60 study should facilitate side-by-side comparisons of novel techniques and existing operational
61 methods. Published scientific studies of operational hydrologic forecasting system performance
62 have been rare, and this article is an attempt to highlight the importance of such evaluations and
63 to foster discussion between the operations and research communities.

64 The article begins with a discussion of the study locations and the available data. It
65 discusses the data inputs for models and tools used to generate the forecasts. It reviews past
66 efforts at evaluating Mekong River forecasts and outlines the forecast evaluation method used
67 here. Finally, the performance of the forecasts is measured and the implications are discussed.

68

69 **2. Study Locations**

70

71 The Mekong Basin (Figure 1) has several geographic features that make forecasting
72 challenging. According to MRC (2005)

73

74 [FIGURE 1]

75

76 *“Kratie is generally regarded as the point in the Mekong system*
77 *where the hydrology and hydrodynamics of the river change*
78 *significantly. Upstream from this point, the river generally flows*
79 *within a clearly identifiable mainstream channel. In all but the most*
80 *extreme flood years, this channel contains the full discharge with only*
81 *local over-bank natural storage. Downstream from Kratie, seasonal*
82 *floodplain storage dominates the annual regime and there is*

83 *significant movement of water between channels over flooded areas,*
84 *the seasonal refilling of the Great Lake and the flow reversal in the*
85 *Tonle Sap. There is extreme hydrodynamic complexity in both time*
86 *and space and it becomes impossible to measure channel discharge.*
87 *Water levels, not flow rates and volumes, determine the movement of*
88 *water across the landscape... As the water level in the mainstream*
89 *falls in late September, water flows out of the lake down the Tonle Sap*
90 *back into the Mekong mainstream. Nowhere else in the world is there*
91 *a flow reversal this large.”*

92

93 The Tonle Sap is the largest freshwater lake in Asia. The Bassac River is a distributary of
94 the Tonle Sap and the Mekong River downstream of Phnom Penh, flowing alongside the
95 mainstream channel.

96 Above Kratie, the basin is further divided at Vientiane-Nong Khai. Upstream of this
97 point, especially in China, the catchment is relatively steep and fast responding although a
98 snowmelt component contributes to flow in the dry season. The lower basin is dominated by wet-
99 season runoff originating in Lao PDR. RFMMC currently produces forecasts of water level at 22
100 locations and discharge at 14 locations; there are no discharge forecasts below Kratie (Table 1).

101

102 [TABLE 1]

103

104 The forecast points are the locations of river gauges; additional information is necessary
105 to translate the forecasts at gauges to water levels in the many local villages along the floodplain.

106 Each forecast point has a defined Flood Level (e.g. 11.8 meters at Chiang Saen) at which point
107 local and national authorities need to take urgent measures to prevent significant damage. Flood
108 Levels are determined by the member states, with the definition of Flood Level dependent on
109 national standards. Alarm Level is typically exceeded three days before Flood Level is reached
110 or exceeded. Alarm Levels are determined by the RFMMC and member states based upon the
111 defined Flood Level and an analysis of historic flood records (MRC, 2013).

112 In the lower parts of the basin, maximum river level is not the only flooding concern.
113 Prolonged periods of flow above a given discharge can cause the weakening and collapse of
114 protection dikes. Also, rice paddies can be submerged in water for 8 to 10 days and survive, but
115 longer than that and the crop begins to die (MRC, 2005). Total annual volume of flow is
116 sometimes used as a proxy for the damages caused by long-duration floods. The RFMMC
117 currently only produces 1 to 5 day-ahead forecasts but there is strong interest in medium-range
118 and seasonal forecasts.

119 The flow has strong seasonality with a well-defined wet season during June to October
120 (Figure 2). The upstream station, Luang Prabang, routinely has six or more peak flows during a
121 single season, with the greatest peak typically occurring in June. Pakse, downstream, is less
122 variable, with fewer peaks later in the season (August is a typical peak period but in 2007 floods
123 occurred as late as October). Tan Chau at the Viet Nam/Cambodia border and near the Delta is
124 nearly completely dominated by the seasonal cycle and there are instances of river heights
125 exceeding Flood Level for more than a month. When Tan Chau river height is below 2 meters
126 (usually December-July), the station is affected by ocean tides. These tides have an effect as far
127 upstream as Phnom Penh at the nadir of the dry season.

128

129 [FIGURE 2]

130

131 Total travel time between Chiang Saen and Phnom Penh is about 10 days (Niko Bakker,
132 personal communication, 7 August 2013). In the steep river reach between Chiang Saen and
133 Vientiane, floods can travel at approximately a speed of 400 km per day. Downstream of
134 Vientiane, the speed is half of this or less, especially near the Delta. Below Phnom Penh,
135 depending on the level of the Tonle Sap and tides, the river can stagnate and change direction.

136 Rain gauge density (but not spatial distribution) in Thailand and Viet Nam is sufficient,
137 but the networks are inadequate in Cambodia and Laos (Pengel et al., 2008). There is little
138 automation and telemetry of measurements, in part because human observers remain relatively
139 inexpensive and provide reliable quality data. In 2006, the RFMMC had realtime access to 20
140 rainfall stations across 250,000 km² between Chiang Saen and Pakse. This is less than one tenth
141 the density recommended by the World Meteorological Organization (Malone, 2006). Runoff
142 coefficients (runoff/precipitation) vary between 0.34 and 0.52 for individual locations, with 0.41
143 for the whole basin (Hapuarachchi et al., 2008).

144 3. Forecast Methods

145

146 The RFMMC relies on observed river height data as well as precipitation estimates as
147 inputs for models and to develop situational awareness. Ground-based stations are primarily
148 selected based on their realtime availability. In recent years, the RFMMC has expanded its use of
149 satellite-based precipitation estimates to supplement the sparse ground-based rain gauge
150 network. The RFMMC uses two satellite-based products from the National Oceanic and
151 Atmospheric Administration - Satellite Rainfall Estimation and the Tropical Rainfall Measuring

152 Mission (MRC, 2010). The RFMMC has developed statistical (regression-based) methods for
153 removing bias from the satellite-based products.

154 The RFMMC inherited several forecasting tools, including the Streamflow Synthesis and
155 Reservoir Regulation (SSARR, Rockwood, 1968) installed in 1967 to simulate flows in the main
156 river from Chiang Saen to Pakse (Johnston and Kumm, 2012). Following the recommendations
157 of a comprehensive review (Malone, 2006) the forecasting system was updated in 2008 to use
158 additional data sources, improve and extend use of rainfall forecasts and adopt improved
159 hydrologic models.

160 The RFMMC currently uses human expertise and a combination of statistical, hydrologic
161 and hydraulic models to generate flood forecasts. Empirical methods such as statistical
162 regression are used downstream of Pakse, for example, estimating the recent rate of change of
163 river height at the upstream river station and regressing this against the downstream station
164 height change to make a future forecast. The statistical model output serves as a “sanity check”
165 for the other model outputs, but is also useful when a lack of rainfall observations prohibit the
166 running of other models.

167 In 2008, the RFMMC shifted to the Delft-FEWS platform using the URBS event-based
168 hydrologic model with Muskingum hydraulic routing (Tospornsampan et al., 2009). URBS can
169 be forced with spatially semi-distributed station and/or satellite based rainfall. Manually-tuned
170 loss parameters control the rates of rainfall excess. The routing model is then forced with the
171 rainfall excess and the observed recent streamflow. MM5 (Fifth Generation Mesoscale Model
172 operated by the US Air Force, Cox et al., 1998) gives three, 24-hourly forecasts of rainfall for
173 consecutive days and zero rainfall is assumed subsequently (Malone, 2006).

174 The RFMMC also uses the ISIS hydrodynamic model, a generic one-dimensional model
175 for the simulation of unsteady flow in channel networks, by providing an implicit numerical
176 solver for the Saint Venant equations (Van et al., 2012). At selected intervals, it computes water
177 levels and discharges on a non-staggered grid. The ISIS model is used for forecasts from Stung
178 Treng to the ocean, receiving tributary inflows from the URBS model. ISIS is more
179 computationally intensive than URBS and therefore the latter is run routinely whereas ISIS is run
180 for retrospective analyses and as demand arises.

181 Over time, the operational forecasters have improved and gained experience with the
182 system. The system was tested by major floods in 2008 and 2011, after which the forecasters re-
183 tuned the URBS model parameters. Hydrologists use their situational awareness to quality
184 control data, adjust model parameters/outputs and synthesize the results before generating the
185 official forecasts.

186

187 **4. Data**

188

189 The primary distribution channel of the RFMMC's forecasts is the Mekong Bulletin. The
190 Bulletin's tables and graphics are created using spreadsheet templates. For this study, processing
191 scripts were used to extract the numerical values of the forecasts from the spreadsheets in order
192 to place them in a consistent structure. The layout of the spreadsheets has changed over time and
193 is designed to be human-readable (as opposed to having a strict and consistent format for
194 machine-readability). Therefore care was taken to visualize the end results to detect outliers and
195 possible processing errors.

196 Operationally, a new spreadsheet is saved for each day's forecasts, normally named "F"

197 with a suffix of the issue day, month and year (e.g. F21Aug09.xls). File names may have slightly
198 different suffixes (e.g. F21Aug09_Original.xls, F21Aug09_Isis.xls). The latter may contain raw
199 model output and not official forecasts (i.e. forecaster-approved final values that are issued to the
200 public). The suffix “Original” was allowed in the 0.65% of cases that a normal-named file (i.e.
201 with no suffix) did not exist for a given date. 3,531 spreadsheets were identified as potentially
202 containing official forecasts.

203 There are many examples of multiple files with the same name existing in various
204 locations in the RFMMC operational forecasting directory structure. The union of all forecasts
205 was retained (i.e. non-blanks overriding blanks) and in the 0.41% cases where forecasts with the
206 same location, issue date, and lead-time conflicted, the original files were manually inspected
207 and subjective judgment used to select the numbers that best reflect the forecaster’s intent (e.g.
208 4.17 is more likely than exactly 0.00). The forecasters have the option to issue a “first” (i.e.
209 provisional) forecast at 10 am and a “follow-up” forecast a few hours later. This is only done
210 around five times per season and the metadata insufficiently distinguish first and follow-up
211 forecasts.

212 This study archived the forecasts in absolute heights above Mean Sea Level and relative
213 to the gauge datum (“Zero Gauge Levels”, Table 1). The Bulletins contain these Zero Gauge
214 Levels but when one was missing, the Zero Gauge Level was inferred from earlier and later
215 forecasts.

216 The observations were collected from several sources. The Bulletins often contain
217 observed river height for the prior two days. This is the 7:00 am reading and the data are
218 provisional. Unfortunately, during the dry season when the forecasts are issued every seven days
219 and only extend to seven days ahead, there will be nearly no overlap between the Bulletins’

220 forecasts and observations (see, for example, the lack of forecast-observation pairs during the dry
221 season in Figure 2). The RFMMC also receives four other manual readings per day along with
222 continuous automated hourly data where available. These data are reviewed and corrected for
223 errors and archived as a daily average in the operational database. This second source of data
224 was time shifted to match the interpretation of the RFMMC forecasts (i.e. instantaneous height at
225 7:00 am). Thirdly, the IKMP (Integrated Knowledge Management Programme) of the Technical
226 Support Division of the MRC is the long-term custodian of the data and provides July-October
227 data for 2008-2012 on the Internet (http://ffw.mrcmekong.org/historical_rec.htm).

228 The observations from these three sources (Bulletins, Operational Database, and IKMP)
229 were visualized together to discover and remove obvious outliers. The data were merged in order
230 of priority (lowest to highest): Bulletins, Operational Database, IKMP. There are 4598 days
231 (12.6 years) of observations for 22 stations. 21% of these observations are missing, 58% came
232 from the Operational Database, 16% from IKMP, and 4% from the Bulletins.

233 Finally, the forecasts and observations were visualized together to inspect for outliers. 73
234 of 353,547 forecasts (roughly 1 in 5000 or 5 per year) appeared as outliers and the original
235 Bulletins were examined to determine the cause. In 23 (32%) of the outlier cases, the Bulletins
236 contained forecasts for a date other than what was indicated by the filename and therefore were
237 excluded. 12% of outlier cases resulted from a keying error (e.g. 9.3 meant to be 6.3). 57%
238 appear to be genuine model malfunctions. For example, during 13-17 November 2011 (during
239 the dry season), the forecast contains unreasonably low discharges in the headwaters and errors
240 in excess of 3 meters. When available, observed flow from China is used by the RFMMC as an
241 input to the model and it is possible that 0 inflow was entered when it should have been listed as
242 missing. The forecasts with keying errors and model malfunctions are available to the public and

243 therefore are an actual part of the user experience. However, for the purposes of this study all
244 forecast outliers were removed because they are extremely rare, are not systematic, and it is
245 hoped that attentive users would know that the forecasts are unreasonable. When forecaster
246 intent was clear, keying errors were corrected to the likely true value.

247

248 **5. Previous Studies**

249

250 Although this article is the first evaluation of many years of operational forecasts, the
251 RFMMC has been evaluating its forecasts for practically as long as it has been issuing them. The
252 purpose of the evaluations has mainly been to give users a realistic view of the accuracy that can
253 be achieved, particularly by emphasizing the high uncertainty in the forecasts with longer lead-
254 times (Pengel et al., 2007).

255 Plate et al. (2008) demonstrated general evaluation concepts using water level forecasts
256 from the SSARR model during July – October 2005 (wet season) as examples. The study
257 included standard performance measures such as the Nash-Sutcliffe (NS, Nash and Sutcliffe,
258 1970). The NS is the mean squared error of the forecasts, relative to the error if the long-term
259 average water level were used in place of forecasts (1 is perfect, 0 is no-skill). The performance
260 was exceptional (i.e. NS 0.99 for 1 day-ahead, 0.8 for 5 day-ahead forecasts at Pakse) but this is
261 partly because of the strong seasonality of flows. Plate et al. presented a “Quality Index”, which
262 is similar to NS but uses persistence instead of long-term average water level as a baseline and
263 has a reverse orientation (i.e. 0 is perfect, 1 is no-skill). The formula for this index is the same as
264 the Coefficient of Prediction (CP, described in the next section) except the orientation is
265 reversed. This is a more difficult baseline to outperform and Quality scores at Pakse were 0.47

266 for 1 day ahead degrading to 0.74 for 5 days ahead (CP of 0.53 and 0.26, respectively) . They
267 explored progressively more difficult baselines, such as persistence extrapolated by trend of the
268 observations.

269 Kanning et al. (2008) expanded on these results using operational wet-season forecasts in
270 2006 and 2007. Their analysis included measures of forecasting system reliability, i.e. the
271 percentage of days a forecast was not issued at all because of a lack of real-time data (typically
272 20% and most often missing on weekends and holidays, as well as during extreme floods when it
273 was unsafe to continue manual readings). Furthermore, forecast performance at Kratie was
274 shown versus lead-time, demonstrating 1 meter standard deviation of error at 5 days ahead.
275 Average error (i.e. bias) and error standard deviation were shown for all forecast locations,
276 illustrating the highest error in the upper catchment and very little error downstream of Phnom
277 Penh. Interestingly, the raw SSARR model output was compared to the performance of the
278 official forecasts that include adjustments based on hydrologist expertise; at Stung Treng the
279 human-adjusted forecasts had better error standard deviation (about a 10% reduction in error at 3
280 days ahead lead-time but no reduction at 5 days ahead) and worse bias. Sources of error were
281 discussed and quantified, such as rainfall forecast error and stream gauge rating curve
282 uncertainty.

283 Following the major system upgrade in 2008, Smith (2009) was tasked with establishing
284 a set of performance indicators and benchmarks for the RFMMC. These include a set of forecast
285 accuracy measures such as mean error, mean absolute error, and error standard deviation; and
286 categorical measures such as false alarm rate and probability of detection of conditions above
287 Flood Level. It discussed benchmark values as well as targets for the improved system. It
288 outlined measures of the quality of service, such as the timeliness of forecast release, number of

289 website hits, customer satisfaction indices and number of staff changes during flood season,
290 among others. These guidelines are largely modelled after those used by the US National
291 Weather Service (Corby et al., 2002).

292 Informally, the RFMMC has monitored and communicated the performance of the
293 forecasts on a daily, weekly and monthly basis through internal discussions and teleconferences
294 with key users. For several years now the RFMMC has also published routine “Annual Flood
295 Season Performance Evaluation” reports and “Seasonal Flood Situation” reports describing the
296 character of the flood season and the activities of the RFMMC. Along with narrative of the
297 meteorological systems and flood response, these reports often compare the accuracy of the
298 official forecasts to several other systems (e.g. the raw model output when forced with ground
299 based rainfall observations, or the model when forced with satellite rainfall estimates, etc). They
300 include tables of the percentage of forecasts with an acceptable level of accuracy that vary by
301 location and lead-time (Table 2); in 2011 roughly 60% of the raw model output forecasts were
302 acceptable. In 2009, operational (expertise-enhanced) forecasts were, in total, 73% acceptable.
303 Tospornsampan (2009) did similar side-by-side comparisons of old and new model performance,
304 and also measured the (poor) performance of 10 day forecasts that assume zero precipitation
305 after day 5.

306

307 [TABLE 2]

308

309 In external studies (e.g., Hapuarachchi et al., 2008) and the RFMMC’s reports, the most
310 commonly cited challenge for modellers and forecasters is a lack of *in situ* data. (Pengel et al.,
311 2007) stated that climate networks in Cambodia and Lao PDR, the major water-producing areas

312 during flood season, were being upgraded from 59 to 86 realtime rainfall stations. Even under
 313 the expanded system, the coverage would be more than 4150 km² per raingage, which would be
 314 less than one fifth the minimum density recommended by the World Meteorological
 315 Organization. RFMMC uses several remotely sensed products but the satellite-based rainfall
 316 estimates commonly differ from the *in situ* measurements and each other by 20-60% on seasonal
 317 timescales (or over 200% in extreme cases).

318 In operational practice, the final products from the model are examined and analysed by
 319 the flood forecaster in charge, who may change the forecast based on his judgement by utilizing
 320 his knowledge of the system, relevant information (e.g. hydro-meteorological data, satellite
 321 images, weather charts, storm forecast etc.), and past experiences. These forecaster adjustments
 322 commonly occur upstream of Kratie and have been shown to yield substantial improvements to
 323 forecast skill over the raw model output (Kanning et al., 2008).

324 6. Performance Evaluation Methods

325

326 Aspects of performance of the forecasts are measured in a variety of ways in this study.
 327 The deterministic forecasts are of a continuous variable at point locations (river height measured
 328 in the morning at specific gauges). The accuracy of the forecasts is calculated using the standard
 329 deviation of the error, with 0 being a perfect value;

$$\sigma(\text{loc}, \text{lead}) = \sqrt{\frac{1}{N} \sum_{i=1}^N \{ [f_i(\text{loc}, \text{lead}) - o_{i+\text{lead}}(\text{loc})] - [f_i(\text{loc}, \text{lead}) - o_{i+\text{lead}}(\text{loc})] \}^2}$$

330

331 where $f_i(\text{loc}, \text{lead})$ is the forecast issued on day i for a given location and lead-time
 332 (lead = 1 to 5 days). The corresponding observation occurs at $o_{i+\text{lead}}(\text{loc})$. Forecasts and/or
 333 observations are missing on some days, and statistics were only calculated on days with valid

334 forecast-observation pairs. This measure does not consider bias (average error).

335 While the error standard deviation is a highly relevant evaluation measure for an
 336 individual user at a single location, this measure is often highly influenced by the hydrological
 337 characteristics of the river and is less influenced by the quality of the forecasts. For example, the
 338 difference between maximum and minimum height for Luang Prabang during 2000-2012 is 18.2
 339 meters whereas Tan Chau did not vary by more than 5.0 meters. Murphy (1993) lists the
 340 unconditional variance of the observations (“Uncertainty”) as one of ten aspects of forecast
 341 quality - highly variable observations are intrinsically more challenging to forecast (in absolute
 342 terms) than observations with low variability.

343 To facilitate easier comparison of performance across locations, it is useful to normalize
 344 the results. The Nash Sutcliffe (NS) is one minus the mean squared error of the forecasts divided
 345 by the variance of the observations;

$$NS(\text{loc}, \text{lead}) = 1 - \frac{\sum_{i=1}^N \{ [f_i(\text{loc}, \text{lead}) - o_{i+\text{lead}}(\text{loc})] - \overline{[f_i(\text{loc}, \text{lead}) - o_{i+\text{lead}}(\text{loc})]} \}^2}{\sum_{i=1}^N [o_{i+\text{lead}}(\text{loc}) - \overline{o_{i+\text{lead}}(\text{loc})}]^2}$$

346
 347 An NS of 1 is perfect, 0 indicates no skill over always guessing the long-term average,
 348 and values less than 0 imply negative skill.

349 For slowly varying rivers and/or rivers with a strong seasonal cycle, the long-term
 350 average is an uninformative baseline. Instead, researchers commonly use a Coefficient of
 351 Persistence (CP) that is similar to NS but the baseline uses the value of the observation at the
 352 start of the forecast issuance (Kitanidis and Bras, 1980)

$$CP(\text{loc}, \text{lead}) = 1 - \frac{\sum_{i=1}^N \{ [f_i(\text{loc}, \text{lead}) - o_{i+\text{lead}}(\text{loc})] - [f_i(\text{loc}, \text{lead}) - o_i(\text{loc})] \}^2}{\sum_{i=1}^N [o_{i+\text{lead}}(\text{loc}) - o_i(\text{loc})]^2}$$

353

354 This study also uses a baseline of persistence extrapolated using the trend of the two
 355 observations prior to forecast issuance:

$$356 \quad \hat{f}_i(\text{loc}, \text{lead}) = o_i(\text{loc}) + \text{lead} * [o_i(\text{loc}) - o_{i-1}(\text{loc})]$$

357 RFMMC commonly calculates a Percentage Satisfactory index, measuring the percentage
 358 of forecasts where the error is less than a prescribed threshold $B(\text{loc}, \text{lead})$.

$$359 \quad \text{PS}(\text{loc}, \text{lead}) = \frac{1}{N} \sum_{i=1}^N \begin{cases} |f_i(\text{loc}, \text{lead}) - o_{i+\text{lead}}(\text{loc})| < B(\text{loc}, \text{lead}) \rightarrow 1 \\ |f_i(\text{loc}, \text{lead}) - o_{i+\text{lead}}(\text{loc})| \geq B(\text{loc}, \text{lead}) \rightarrow 0 \end{cases}$$

360 PS of 1 is perfect and 0 is completely unsatisfactory. The thresholds depend on the user's
 361 concept of "satisfactory". They could be based on maintaining a consistent level of service (e.g.
 362 are this year's forecasts at least as good as last year's?) or based on the decision-making context
 363 (e.g. is the accuracy sufficient for planning purposes?).

364 Finally, perhaps the most visible and important forecasts of the RFMMC are those that
 365 predict a passing into Flood Level conditions. The continuous forecasts of water level can be
 366 converted to categorical forecasts of "Yes flood" and "No flood", based on the Flood Levels
 367 published in the Bulletins. A contingency table can then be constructed measuring the fraction of
 368 observed and/or forecast events that were correctly predicted. The false alarm rate is the fraction
 369 of times that the forecast indicated an event (e.g. flood) but no event occurred (0 is perfect). The
 370 probability of detection is the fraction of times that the forecast indicated an event, relative to all
 371 the times the event occurred (1 is perfect). The Equitable Threat Score combines hits, misses,
 372 and false alarms in a manner that considers the rarity of the event (Gandin and Murphy, 1992):

$$373 \quad \text{ETS} = \frac{H - H_e}{H + \text{FA} + M - H_e}$$

374 Where H is hits (forecasts said flood, observed was flood), M is misses (forecasts said no

375 flood, flood occurred) and FA is false alarms (forecast said flood, no flood occurred). H_e is the
376 expected hits by chance and is given by

$$377 \quad H_e = \frac{(H + FA)(H + M)}{N}$$

378 Where N is the total events and non-events. For rare events, the worst value of ETS is
379 near 0 whereas a perfect score is 1.

380 Throughout this study, only forecasts issued during the wet season (June to October)
381 were evaluated. During the dry season the rivers remain predictably near baseflow and can be
382 affected by ocean tides.

383

384 **7. Results**

385

386 Upstream of Kompong Cham, with the exception of Luang Prabang (which is the lowest
387 accuracy location), 1 day-ahead forecasts have an error standard deviation of approximately 0.17
388 meters, increasing to 0.83 meters at 5 days ahead. Below Pakse, the 1 and 5 day-ahead forecasts
389 have higher accuracy with an error standard deviation of 0.06 and 0.26 meters respectively
390 (Figure 3). Most locations upstream of Phnom Penh have a wet-season observed standard
391 deviation near 2.5 meters although Kratie has a value as high as 3.6 and Chiang Saen (the most
392 upstream point) is as low as 1.4 meters. The river height at Kratie is naturally more variable than
393 neighboring locations because of Kratie's W-shaped channel cross section and nearly vertical 15-
394 meter tall banks. Below Phnom Penh, the observed standard deviation is typically close to 1.5
395 meters. Some of the observed variability is due to the seasonal cycle. The standard deviation of
396 August observations (near the peak of the wet season) is also shown at the top of Figure 3.

397

398 [FIGURE 3]

399

400 When compared to the baseline of the long-term average, the forecasts appear
401 exceptionally skillful; all locations except Chiang Saen have 1 day ahead NS scores greater than
402 0.99 (1.0 is perfect). Upstream of Kratie, 5 day ahead NS are typically 0.90, and the NS are still
403 above 0.98 for the points downstream. Undoubtedly, a substantial amount of this apparent skill
404 comes from the strong seasonal cycle and the slow variations of such a large river system. When
405 compared to persistence, the skill is more modest, with CP scores between 0.4-0.8 for 1 day-
406 ahead and 0.1-0.7 for 5 day-ahead forecasts (bottom of Figure 3). These results are similar to but
407 somewhat better than what is reported by research models (e.g., Shahzad et al., 2009, reported
408 NS ~ 0.9 and Persistence Index of 0.2-0.5). For lead-time 1 day, persistence extrapolated by a
409 linear trend of the two observations prior to forecast issuance outperforms the operational
410 forecasts for 12 out of 22 locations, however, for 2 days and greater, persistence with trend is
411 consistently worse than simple persistence only.

412 Despite the large range of error standard deviations from one location to another, the CP
413 indicates that the skill of forecasts is relatively even across the basin. There is a larger difference
414 in 1- and 5-day ahead CP for the upstream locations than there is for the downstream locations
415 between Kratie and Neak Luong, which may be attributed to the greater uncertainties in
416 initial conditions, recent and future precipitation and other meteorological influences at the
417 smaller scale watersheds found upstream. Indeed, the lowest performing forecasts (5-days ahead
418 at Chiang Saen) rely almost exclusively on the signal contained in observed upstream flows due
419 to the lack of access to rainfall observations in China. Downstream, where hydraulic routing
420 effects have a greater influence than local precipitation, there is nearly no loss of skill with

421 leadtime. The exception is the two furthest downstream forecast points, where low flow forecasts
422 have relatively high error when the river height is affected by the ocean (e.g. observe the poor
423 performance of Tan Chau forecasts in June-July, relative to those in September-October in
424 Figure 2).

425 As mentioned in previous sections, the RFMMC commonly reports the Percentage
426 Satisfactory forecasts as a measure of performance. Three benchmarks are available, the first of
427 which has been used operationally for many years (“Legacy”, included in old seasonal and
428 annual RFMMC reports), the second and third were proposed by an Australian consultant
429 (“Malone”) and a US consultant (“Operational”, Table 2), the last two extend to 10 days ahead
430 and are reported in Smith (2009). Smith’s benchmarks are more stringent than the others and
431 were intended as stretch goals after the 2008 forecast system upgrade. Smith’s benchmarks have
432 been adopted as the operational standard since 2011. All of the above benchmarks were typically
433 based on the mean absolute error of operational forecasts and/or raw model output over a single
434 year, rounded, and smoothed by a human expert. The long-term historical performance is shown
435 in figure 4.

436

437 [FIGURE 4]

438

439 The challenge in measuring the Percentage Satisfactory with baselines derived from
440 mean absolute error statistics, is that the results will depend on the distribution of errors. The
441 Mekong’s operational forecasts’ errors are leptokurtic in that the absolute errors are positively
442 skewed, more so for short lead-time forecasts. Therefore, long lead-time forecasts and forecasts
443 at certain locations will consistently appear less satisfactory than others without any special

444 circumstances. In contrast, basing the benchmarks on median absolute error ensures that
445 performance at all locations and lead-times will, over the long run with a stable system, be
446 satisfactory half of the time.

447 However, the existing measure is an established performance indicator at RFMMC and
448 users are familiar with it. Adjusting the benchmarks so that forecasts are typically 50%
449 satisfactory (instead of the current 65-80%) may leave users and program managers with the
450 false impression of a dramatic loss of skill. Instead, this study defined new benchmarks (Table 2,
451 right) based on the 70th percentile of historical errors at each location and lead-time for the wet-
452 season forecasts. The 70th percentile was chosen because it was relatively close to the overall
453 performance of the current operational benchmarks (see Figure 5). Values greater than 0.1 meter
454 were rounded to the nearest 0.05 meter, and values less than 0.1 meter were rounded to the
455 nearest 0.01 meter, to ease presentation of the results.

456 Compared to the existing operational benchmarks, these new benchmarks are stricter for
457 short lead-times at nearly all locations and more lenient for long lead-times between Chiang
458 Khan and Kratie. Compared to the Legacy benchmarks, the new benchmarks stricter at short
459 leadtimes but relatively unchanged at long leadtimes. As can be seen in Figure 4, this study's
460 proposed benchmarks give performance levels that are (by definition) more consistent across
461 locations and lead-times.

462 The Percentage Satisfactory forecasts for all locations and lead-times are displayed
463 versus time in Figure 5. The year-to-year variability of performance under existing benchmarks
464 is nearly identical to that of this study's benchmark. Although there is a gradual (albeit likely
465 insignificant) upward trend in skill between 2006 and 2012, there is no obvious cause for the
466 higher skill in 2002-2004. Individual stations and/or leadtimes do not have significant trends for

467 either Percentage Satisfactory or average absolute error (not shown).

468

469 [FIGURE 5]

470

471 A contingency table of Yes/No forecasts for conditions above Flood Level is shown in
472 Table 3. Only shown are forecasts where the preceding observation was below the Flood Level;
473 such forecasts are the most important for users because after the flood has started there are fewer
474 options to take protective action. Do note that further information is necessary to translate Flood
475 Level at a specific gauge into local flood impacts directly upstream and downstream of the
476 gauge, given that the height of the embankment varies.

477

478 [TABLE 3]

479

480 Threshold crossing events (i.e. going from non-flood to flood) are very rare; at 11 of 22
481 stations there has never been a forecast at any lead-time that indicated that the Flood Level
482 would be crossed. This may be because Flood Levels are based on local vulnerability and many
483 places are highly protected. Therefore, the collection of forecasts were pooled for all locations.

484 The vast majority (>99.7%) of forecasts correctly predict the persistence of below-Flood
485 Level conditions. Forecasts with 1 day lead-time have a moderate Probability of Detecting floods
486 (48%) and a very low False Alarm Rate (13%). Forecasts with 5 day lead-time have a lower
487 Probability of Detection (31%) and a high False Alarm Rate (74%). The 1 day ahead forecasts
488 have a higher ETS than 5 day forecasts. Between days 1 and 5 (i.e. days 2-4, not shown), the
489 skill declines nearly linearly with leadtime. Although the sample sizes are very small, forecasts

490 below Phnom Penh are somewhat better at predicting threshold crossing events than are points
491 upstream, presumably due to the dominance of hydraulics over hydrology in the lowest reaches
492 of the mainstream channel.

493

494 **8. Discussion and Conclusions**

495

496 This study analyzed thirteen years of data from the operational flood forecasts for 22
497 locations along the Mekong River. The forecasts had very low error particularly in the region
498 downstream of Phnom Penh. When measured by standard skill scores, the forecasts perform
499 exceptionally well, although a substantial part of this apparent skill is due to the strong seasonal
500 cycle and the narrow natural variability at certain locations.

501 When compared to the baseline of a persistence forecast, the operational skill is more
502 modest but still positive even at the longest lead-times suggesting that RFMMC could be
503 reasonably confident in extending its lead-times beyond 5 days. At several locations, persistence
504 with trend outperformed the 1 day-ahead operational forecasts. Given that RFMMC makes
505 extensive use of recent observed flows when generating forecasts, this result may be partly an
506 artefact of the real-time use of provisional data that has since been revised. In other words,
507 persistence with trend using provisional observations (what is available in real-time) might not
508 outperform the operational forecasts.

509 RFMMC currently creates an overall index of Percentage Satisfactory forecasts using an
510 established set of (deemed) acceptable error levels. This study showed that the current
511 benchmarks make certain locations and lead-times consistently appear to have less acceptable
512 forecasts than others. If the error levels are based on user requirements, the existing benchmarks

513 should be retained, otherwise minor modifications were proposed to the benchmarks to make the
514 results more stable and consistent.

515 During historical forecast processing, occasional but rare outliers were detected, often
516 resulting from keying errors or model malfunctions. RFMMC should strive to minimize keying
517 errors by programmatically populating forecasts into product templates from a digital database
518 (something that should be easier under new modelling software). Likewise, RFMMC should use
519 automated routines and manual checks to prevent forcing the models with obviously bad data.
520 The forecasts should be visualized in the context of the recent observations and historical
521 climatology to ensure that unreasonable forecasts are not issued. For example, the recent
522 observation can be extended into an envelope of possibilities in the future based on simple
523 autocorrelation of historical river levels at a given location (e.g. the river depth has rarely
524 changed more than 1 meter per day); the operational forecast can go outside this envelope if
525 anomalous conditions are predicted (e.g. significant rainfall has occurred and/or a flood wave has
526 been observed upstream).

527 These analyses would not be possible without the existence of archived forecasts.
528 Operational agencies are strongly encouraged to systematically preserve historical operational
529 forecasts, as well as observations, in a consistent machine-readable format to facilitate easy
530 processing. If possible, such forecast databases should include official products as well as
531 original model inputs and outputs. Adoption of a culture of continual forecast evaluation helps
532 agencies in demonstrating the value of their forecasts to users and assessing the potential benefits
533 of innovations in their forecasting systems. Historical forecasts should be conveniently
534 accessible and available to users and, as such, the archive of forecasts developed by this study
535 should be available on request from the Mekong River Commission.

536 There are many dimensions to forecast quality and this study only focused on aspects of
537 accuracy at specific streamgauges of interest. In addition to accuracy, forecasting systems can be
538 evaluated with respect to

539

- 540 - production (e.g. is the forecast process reproducible, documented, and cost effective?)
- 541 - credibility (e.g. are the forecasts perceived as honest, impartial and unprejudiced?)
- 542 - transmission (e.g. are the forecasts timely, accessible, and available in a consistent
543 format?)
- 544 - messaging (e.g. are the forecasts easy to understand, relevant and specific to user
545 vulnerabilities?)

546

547 For example, Smith (2009) proposed a holistic framework of performance indicators and
548 benchmarks for the RFMMC, ranging from forecast accuracy to the time of release of the
549 forecasts and the number of visits to the RFMMC website to satisfaction ratings from customers.
550 Forecast agencies should strive to monitor and improve all aspects of forecast quality (not just
551 forecast accuracy) to ensure that the forecasts are fit for the purposes of users' needs.

552

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554

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560 Khieu, and Dr. Pichaid Varoonchotikul. Tanya Smith provided valuable editing assistance.

561 **Tables**

562 Table 1. Characteristics of forecast points along the Mekong River. ID is the identifier in
563 the RFMMC forecasting system and number is the identifier of the station in the MRC's Master
564 Catalogue. Zero level is the datum of the river gauge. Anglicised names may vary by source (e.g.
565 Pakse versus Pakxe or Paksé). Contributing area for locations below Phnom Penh vary
566 seasonally due to the reversal of flows.

ID	Number	Lat.	Long.	Distance upstream (km)	Travel time to Phnom Penh (days)	Upstream area	Alarm Level	Flood Level	Zero Level	Name
CSA	010501	20.274	100.089	2364	10	185	11.5	11.8	357.11	Chiang Saen
LUA	011201	19.893	102.134	2010	9	262	17.5	18	267.20	Luang Prabang
CKH	011903	17.900	101.670	1716	8.5	289	17.32	17.4	194.12	Chiang Khan
VIE	011901	17.931	102.616	1584	8	295	11.5	12.5	158.04	Vientiane
NON	012001	17.881	102.732	1548	8	295	11.4	12.2	153.65	Nong Khai
PAK	012703	18.376	103.644	1395	7	332	13.5	14.5	142.13	Paksane
NAK	013101	17.425	104.774	1218	5.5	365	12.6	12.7	130.96	Nakhon Phanom
THA	013102	17.396	104.796	1216	5.5	365	13	13.5	129.63	Thakhek
SAV	013402	16.583	104.733	1125	5	382	12	13	125.02	Savannakhet
MUK	013401	16.544	104.732	1123	5	382	12.5	12.6	124.22	Mukdahan
KHO	013801	15.318	105.500	909	3.3	408	16	16.2	89.03	Khong Chiam
PKS	013901	15.100	105.813	869	3	541	11	12	86.49	Pakse
STR	014501	13.533	105.950	684	2	631	10.7	12	36.79	Stung Treng
KRA	014901	12.481	106.018	561	1	647	22	23	-1.08	Kratie
KOM	019802	11.995	105.469	439	0.5	653	15.2	16.2	-0.93	Kompong Cham
PRE	020102	11.811	104.807	364			9.5	10	0.08	Prek Kdam (Tonle Sap)
PPP	020101	11.610	104.920	332	0	663	9.5	11	0.00	Phnom Penh Port
PPB	033401	11.563	104.935	332			10.5	12	-1.02	Phnom Penh (Bassac)
KOH	033402	11.268	105.028	273			7.4	7.9	0.00	Koh Khel (Bassac)
NEA	019806	11.250	105.283	268			7.5	8	-0.33	Neak Luong
TCH	019803	10.801	105.248	209			3.5	4.5	0.00	Tan Chau
CDO	039801	10.705	105.134	203			3	4	0.00	Chau Doc (Bassac)

568 Table 2: Performance benchmarks currently used operationally (left, from Smith, 2009)
 569 and proposed by this study (right). The table is ordered from upstream to downstream. The right-
 570 most numbers are the period of record standard deviation of wet season observations. Units are
 571 in centimeters.

Satisfactory forecast accuracy benchmarks

ID	Operational					Pagano					Wet seas. observed std.dev	Name
	1 Day	2 Day	3 Day	4 Day	5 Day	1 Day	2 Day	3 Day	4 Day	5 Day		
CSA	25	50	50	75	75	15	30	45	60	70	140	Chiang Saen
LUA	25	50	50	75	75	20	35	60	80	110	280	Luang Prabang
CKH	25	50	50	50	50	15	25	40	55	75	230	Chiang Khan
VIE	10	25	25	50	50	15	20	35	50	70	240	Vientiane
NON	10	25	25	50	50	10	20	35	50	65	240	Nong Khai
PAK	10	25	25	50	50	15	25	40	55	70	250	Paksane
NAK	10	25	25	50	50	15	25	40	55	70	255	Nakhon Phanom
THA	10	25	25	50	50	15	25	40	55	70	250	Thakhek
SAV	10	25	25	50	50	15	25	40	55	70	255	Savannakhet
MUK	10	25	25	50	50	10	20	40	55	70	255	Mukdahan
KHO	10	25	25	50	50	15	25	40	55	70	310	Khong Chiam
PKS	10	25	25	50	50	15	20	35	50	70	265	Pakse
STR	10	25	25	50	50	10	20	30	40	50	200	Stung Treng
KRA	10	25	25	50	50	15	20	35	50	70	360	Kratie
KOM	10	25	25	50	50	9	10	20	30	40	315	Kompong Cham
PRE	10	10	10	25	25	4	6	9	15	15	240	(Tonle Sap) Prek Kdam
PPP	10	10	10	25	25	5	7	10	15	20	235	Phnom Penh Port
PPB	10	10	10	10	25	5	7	10	15	20	235	(Bassac) Phnom Penh
KOH	10	10	10	10	25	3	4	6	10	15	160	(Bassac) Koh Khel
NEA	10	10	10	25	25	4	6	9	15	15	180	Neak Luong
TCH	10	10	10	10	25	3	5	8	10	15	130	Tan Chau
CDO	10	10	10	10	25	3	6	9	15	15	120	(Bassac) Chau Doc

572

573

574 Table 3. Contingency table of the forecast versus observed occurrence of river levels above
 575 Flood Level (defined in Table 1). All locations and years are pooled together due to the rarity of
 576 floods. The top table is for one day ahead forecasts and the bottom is for five day ahead
 577 forecasts. Forecasts are only included if observed river level was below Flood Level at the time
 578 of forecast issuance. Also shown are the False Alarm Rate (FAR), Probability of Detecting
 579 Floods (POD), and Equitable Threat Score (ETS).

1 Day-ahead forecast:	Event:		FAR 13.3% POD 48.1% ETS 44.8%
	Flood	No flood	
Flood	26	4	
No flood	28	34,087	

5 Day-ahead forecast:	Event:		FAR 73.5% POD 31.0% ETS 16.5%
	Flood	No flood	
Flood	31	86	
No flood	69	31,547	

580

581

582 **Figures**

583 Figure 1. Map of forecast locations (black circles). The river channel, significant water bodies
584 and basin boundary are shown in grey outline.

585

586 Figure 2. Time series of river height observations (black lines) and forecasts (colored dots) for
587 Luang Prabang (top), Pakse (middle) and Tan Chau (bottom) for 2010-2011. Flood Levels and
588 Alarm Levels are horizontal lines and vertical lines divide the wet and dry seasons. Below each
589 plot of river heights is a plot of forecast errors (forecast – observed).

590

591 Figure 3. Error standard deviation (middle) and Coefficient of Persistence (bottom) for locations
592 upstream (left) to downstream (right) for wet-season forecasts from 2000-2012. The top plot
593 shows the period of record standard deviation for the wet-season observations and the
594 observations for August (only complete forecast-observation pairs were included).

595

596 Figure 4. Percentage Satisfactory for 1 (top) and 5 (bottom) day-ahead wet-season forecasts by
597 location. Forecasts are evaluated using four different benchmarks (colored lines). The benchmark
598 proposed by this study (black line with large circles) is defined to give a 70% satisfactory rate
599 over the long-term; deviations from 70% are due to the rounding of the benchmark thresholds.

600

601 Figure 5. Percentage Satisfactory for all lead-times and locations for each year (x-axis) using
602 four different benchmarks.

603

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Lower Mekong River Basin Forecast Locations









