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Improving flood forecasting capability of physically based distributed hydrological model by parameter optimization

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Abstract

29

30 Physically based distributed hydrological models(here after refers to as PBDHMs)
31 discrete the terrain of the whole catchment into a number of grid cells at fine
32 resolution, and assimilate different terrain data and precipitation to different cells, and
33 are regarded to have the potential to improve the catchment hydrological processes
34 simulation and prediction capability. In the early stage, physically based distributed
35 hydrological models are assumed to derive model parameters from the terrain
36 properties directly, so there is no need to calibrate model parameters, but
37 unfortunately, the uncertainties associated with this model deriving is very high, which
38 impacted their application in flood forecasting, so parameter optimization may also be
39 necessary. There are two main purposes for this study, the first is to propose a
40 parameter optimization method for physically based distributed hydrological models
41 in catchment flood forecasting by using PSO algorithm and to test its competence and
42 to improve its performances, the second is to explore the possibility of improving
43 physically based distributed hydrological models capability in catchment flood
44 forecasting by parameter optimization. In this paper, based on the scalar concept, a
45 general framework for parameter optimization of the PBDHMs for catchment flood
46 forecasting is first proposed that could be used for all PBDHMs. Then, with Liuxihe
47 Model as the study model, which is a physically based distributed hydrological model
48 proposed for catchment flood forecasting, the improved Particle Swarm
49 Optimization(PSO) algorithm is developed for the parameter optimization of Liuxihe
50 model in catchment flood forecasting, the improvements include to adopt the linear
51 decreasing inertia weight strategy to change the inertia weight, and the arccosine
52 function strategy to adjust the acceleration coefficients. This method has been tested
53 in two catchments in southern China with different sizes, and the results show that the

54 improved PSO algorithm could be used for Liuxihe Model parameter optimization
55 effectively, and could improve the model capability largely in catchment flood
56 forecasting, thus proven that parameter optimization is necessary to improve the flood
57 forecasting capability of physically based distributed hydrological model. It also has
58 been found that the appropriate particle number and the maximum evolution number
59 of PSO algorithm used for Liuxihe Model catchment flood forecasting is 20 and 30
60 respectively.

61

62 **Key words:** Flood forecasting, physically based distributed hydrological model,
63 Liuxihe Model, parameter optimization, Particle Swarm Optimization

64

65 **1. Introduction**

66 Improving flood forecasting capability has long been the goal of the global
67 hydrological communities, and catchment hydrological models are the main tools for
68 flood forecasting. The first model used for flood forecasting is commonly referred to
69 as the Sherman's unit hydrograph method (Sherman, 1932). Early catchment
70 hydrological models are usually referred to as lumped conceptual models (Refsgaard,
71 et al., 1996, Chen, et.al, 2011), and a large number of this kind of models have been
72 proposed, such as the Stanford Model (Crawford et. al., 1966), the Xinanjiang Model
73 (Zhao, 1977), and many other lumped models included in the the book of Computer
74 Models of Watershed Hydrology (Singh et. al., 1995). Lumped conceptual models
75 usually aggregate the hydrological forcings, state variables and model parameters
76 over the whole catchment, so could not represent the spatial distribution of the terrain
77 characteristics and hydrological forcings finely, thus reducing their flood forecasting
78 capabilities. With the development of remote sensing and GIS techniques, high
79 resolution terrain data such as the Shuttle Radar Topography Mission DEM database
80 (Falorni et al., 2005, Sharma et. al., 2014), the USGS land use type database
81 (Loveland et. al., 1991, Loveland et. al., 2000), the FAO soil type database
82 (<http://www.isric.org>), and precipitation estimated by digital weather radar(Fulton et.
83 al., 1998, Chen et. al., 2009) have been prepared and freely available globally, this
84 largely facilitated the development of physically based distributed hydrological models.
85 PBDHMs discrete the terrain of the whole catchment into a number of grid cells at

86 fine resolution, and assimilate different terrain data and precipitation to different cells,
87 thus having the potential to improve the catchment hydrological processes simulation
88 and prediction capability (Ambroise et. al., 2006). Dozen of PBDHMs have been
89 proposed since the blueprint of PBDHMs had been published by Freeze and Harlan
90 (1969), the first full PBDHM is regarded as the SHE model published in 1987 (Abbott
91 et. al., 1986a, 1986b), the others include WATERFLOOD model (Kouwen, 1988),
92 THALES model (Grayson et. al., 1992), VIC model (Liang et. al., 1994), DHSVM
93 model (Wigmosta et. al., 1994), CASC2D model (Julien et. al., 1995), WetSpa model
94 (Wang et. al., 1997), GBHM model (Yang et. al., 1997), WEP-L model (Jia et. al.,
95 2001), Vflo model (Vieux et. al., 2002), *WEHY model* (Kavvas et al., 2004, 2006),
96 Liuxihe model (Chen et. al., 2011), and more. While at the same time, the so called
97 semi-distribted hydrological models have also been proposed, such as the SWAT
98 model (Arnold et. al., 1994), TOPMODEL model (Beven et. al., 1995), HRCDHM
99 model (Carpenter et. al., 2001), and others, with model complexity between the
100 lumped model and distributed model.

101 Model parameters are very important to all kind of models as they will determine the
102 models performances in flood forecasting. Most of the model parameters could not be
103 measured directly, therefore need to be estimated by some kind of model parameter
104 estimation techniques (Madsen, 2003, Laloy et al., 2010, Teta. et. al., 2015). As the
105 lumped model has limited model parameters, the optimization techniques has long
106 been employed to calibrate the model parameters to improve the model's performance.
107 For example, Dowdy et. al. (1965) conducted a preliminary research on the parameter

108 automatic optimization, Nash et. al. (1970) and O'Connell et. al. (1970) put forward a
109 method to evaluate the accuracy of model simulation by utilizing efficiency
110 coefficient, Ibbitt et. al. (1971) design a conceptual watershed hydrological model
111 parameters fitting method, Duan et. al. proposed the Shuffle Complex Evolution
112 Algorithm(SCE) (1994), Eberhart et.al proposed the Particle Swarm Optimization
113 method (2001), Jasper et.al proposed the SCEM-UA method (2003), Chu et.al
114 proposed the SP-UCI method (2011), among others. Now lots of parameter
115 optimization methods for lumped hydrological models have been developed.
116 There are also many studies to parameter optimization to semi-distributed hydrologic
117 models, among them the most studied model is SWAT due to its open access codes
118 and simple model structures. For examples, the SCE-UA method was used to calibrate
119 SWAT model for streamflow estimation (Ajami et. al., 2004), the remote sensing
120 derived evapotranspiration is used to calibrate the SWAT parameters by using Gauss-
121 Marquardt-Levenberg algorithm (Immerzeel et. al., 2008), and a multi-site calibration
122 method with GA algorithm is also proposed for calibrating the SWAT parameters
123 (Zhang et. al., 2008). For estimating the parameters of Hydrology Laboratory
124 Distributed Hydrologic Model, the regularization method was studied (Pokhrel et. al.,
125 2007).

126 PBDHMs usually have very complex model structures, and the hydrological
127 processes are calculated by using physical meaning equations, so to run a PBDHM is
128 very time consuming compared with the lumped model. In addition, PBDHM sets
129 different model parameters to different cells, so the total model parameters of a
130 PBDHM is huge even for a small catchment, this makes it difficult to calibrate the
131 PBDHMs parameters like that widely exercised in lumped models. In the early stage

132 of PBDHMs, the PBDHMs are assumed to derive model parameters from the terrain
133 properties directly, so there is no need to calibrate model parameters. This is true and
134 all the proposed PBDHMs could determine the model parameters with their own
135 methods (Refsgaard, 1997, De Smedt et. al., 2000, Vieux et. al., 2002, Chen 2009). It
136 is fair when they are used to study the future impacts of the hydrological processes
137 caused by climate changes, or by terrain changes due to human activities, in which
138 there is no observation data to evaluate the model performance or to calibrate the
139 model parameters, and the hydrological processes simulation/prediction accuracy is
140 not so important, while detecting the changing trends is the key issue. But like the
141 lumped model, parameter uncertainty still exists in PBDHMs, and parameter
142 optimization is still needed to reduce this uncertainty (Gupta et al., 1998, Madsen,
143 2003, Vieux and Moreda, 2003, Reed et al., 2004, Smith et al., 2004, Pokhrel et. al.,
144 2012), particularly for those application with high prediction accuracy requirement,
145 such as the catchment flood forecasting. The scalar method (Vieux et. al., 2003, Vieux,
146 2004) proposed to adjust Vflo model parameters in its application to flood forecasting
147 could be regarded as the first exploration of PBDHMs parameter optimization. In this
148 method, every parameters are adjusted manually with a factor or a multiplier(scalar)
149 based on the initially derived parameters from the terrain properties. The scalars for
150 the same parameter in different cells are taken the same values, so the parameters to
151 be adjusted are only a few. This is feasible computationally, and proven to be
152 effective. For MIKE SHE model, an automatic parameter optimization method with
153 SCE (Duan et.al, 1994) was employed in simulating catchment runoff (Madsen, 2003),
154 which considers two objectives, one is fitting the surface runoff at the catchment
155 outlet, another is minimizing the error on simulated underground water level at
156 different wells. In Liuxihe Model, a half automated method was proposed to adjust

157 the model parameter (Chen, 2009, Chen et. al., 2011). In simulating a medium-sized
158 catchment runoff processes with WetSpa Model, a multi-objective genetic algorithm
159 was used to optimize the WetSpa parameter (Shafii et. al., 2009). Compared with
160 lumped model and semi-distributed model, studies to parameter optimization of
161 PBDHMs are very few, particularly for their uses in flood forecasting, further works
162 needs to be done.

163 Current optimization methods are mainly used in lumped hydrological model
164 parameter calibration, and could be divided into two categories, including global
165 optimization and local optimization((Sorooshian et.al, 1995). Local optimization
166 method search the parameter starting from a given initial parameter value with a fixed
167 step length step by step, such as the simplex method (Nelder et.al, 1965), Rosenbrock
168 method (Rosenbrock, 1960), Pattern search method (Hooke and Jeeves, 1961), among
169 others. Local optimization methods are widely applied in early stage (Sorooshian et.al,
170 1983, Hendrickson et.al, 1988, Franchini et.al, 1996), but local optimization method is
171 difficult to find the global optimum parameters. Lots of global optimization methods
172 have been proposed since then for lumped models in the past decades after realizing
173 the disadvantages of the local optimization method, such as the Genetic Algorithm
174 (Holland et.al, 1975, Goldberg et.al, 1989), Adaptive Random Search (Masri et.al,
175 1980), Simulated Annealing (Kirkpatrick et.al, 1983), Ant Colony System (Dorigo
176 et.al, 1996), Shuffle Complex Evolution Algorithm (SCE) (Duan et.al, 1994),
177 Differential Evolution (DE) (Storn and Price,1997), Particle Swarm Optimization
178 algorithm (PSO) (Eberhart et.al, 2001), SCEM-UA (Jasper et.al, 2003), SP-UCI (Chu
179 et.al, 2011, Li et.al, 2007), AMALGAM (Vrugt and Robinson, 2007), among others.
180 Global optimizatoin methods have been widely studied and applied in lumped model
181 parameter calibration, with SCE and PSO the most widely used algorithms. SCE has

182 been used for parameter optimization of Mike SHE (Madsen, 2003, Shafii et. al.,
183 2009), but PSO has never been used for PBDHMs parameter optimization. PSO
184 algorithm has the advantages of flexibility, easy implementation and efficiency (Poli
185 et al., 2007, Poli, 2008), it has the potential to be employed to optimize the PBDHMs
186 parameters.

187 There are two main purposes for this study, the first is to propose a parameter
188 optimization method for PBDHMs in catchment flood forecasting by using PSO
189 algorithm and to test its competence and improve its performances, the second is to
190 explore the possibility of improving PBDHMs capability in catchment flood
191 forecasting by parameter optimization, i.e., if PBDHMs parameter optimization could
192 improve model performance significantly and achievable. In this paper, based on the
193 scalar concept, a general framework for parameter optimization of the PBDHMs for
194 catchment flood forecasting is first proposed that could be used for all PBDHMs.
195 Then, with Liuxihe Model as the study model, which is a physically based distributed
196 hydrological model proposed for catchment flood forecasting, the improved Particle
197 Swarm Optimization(PSO) algorithm is developed for the parameter optimization of
198 Liuxihe model in catchment flood forecasting. The method has been tested in two
199 catchments in southern China with different sizes, and the results show that the
200 improved PSO algorithm could be used for Liuxihe Model parameter optimization
201 effectively, and could improve the model capability largely in catchment flood
202 forecasting.

203 **2. Methodology**

204 Based on the scalar concept, a general methodology for parameter optimization of the
205 physically based distributed hydrological model for catchment flood forecasting is

206 proposed, which is applicable to all physically based, distributed hydrological models.
207 This methodology has 3 steps, including parameter classification, parameter
208 initialization and normalization, and automated parameter optimization.

209 **2.1 Parameter classification**

210 In physically based distributed hydrological model, the whole terrain is divided into
211 large numbers of grid cells, and the model parameters in each cell is different, so the
212 total parameter number is huge. The methodology proposed in this paper classifies the
213 parameters into a few types, so to reduce the parameter numbers need to be optimized.
214 It is assume that all model parameters of a PBDHM are related and only related to one
215 physical property of the terrain they belong, including the topography, soil type and
216 vegetation type, then the parameters of a PBDHM could be classified as 4 types, i.e.,
217 the climate related parameters, the topography related parameters, the vegetation(land
218 use) related parameters and soil related parameters, this classification could be used
219 for all PBDHMs. With this classification, the parameters in different cells will have
220 the same values if they have the same terrain properties, and the independent
221 parameters are defined based on this classification, i.e., the independent parameters
222 are the parameters with the same terrain properties in each cells, and only the
223 independent parameters need to be estimated and optimized. With this treatment, the
224 number of model parameters with their values need to be estimated will be largely
225 reduced, i.e., from millions to tens, so the independent parameters could be optimized
226 by employing optimization methods.

227 **2.2 Parameter initialization and normalization**

228 After classified the model parameters into independent parameters, the feasible values
229 of all the independent parameters will be derived from the terrain properties directly,

230 these values, in this paper, are called the initial values of the model parameters. As
231 mentioned above, all proposed PBDHMs have their own methods to determine the
232 initial model parameters.

233 Then the parameters are normalized with the initial values as follow:

$$234 \quad X_i = X_i' / X_{i0} \quad (1)$$

235 Where X_i' is the original value of parameter i, X_{i0} is the initial value of parameter i,
236 x_i is the normalized value of parameter i. With this normalization, all parameters
237 become no-unit variables.

238 **2.3 Automated parameter optimization**

239 The normalized independent parameters will be automatically optimized with
240 optimization methods. To do this, two important things need to be determined, the
241 first one is to choose an optimization technique, in this study as mentioned above, the
242 PSO algorithm will be employed. The second thing is to choose the optimization
243 criterion (objective function), different objective function will result in different
244 model parameters, thus different model performances. There are two main practices,
245 including the single objective function and multiple objective functions ([Tang et. al.,](#)
246 [2006](#)). Single objective optimization uses one objective function in the parameter
247 optimization, and is the prevailing practice for both lumped model and distributed
248 model parameter optimization. Multiple objective optimization considers
249 simultaneously two or more objective functions, the different objectives could have
250 same measures quantitatively, such as to minimize the model efficiency and model
251 efficiency for logarithmic transformed discharges simultaneously ([Shafii et. al., 2009](#)),
252 or even have different measures quantitatively, such as to minimize the streamflow

253 simulation error and the well water level simulation error simultaneously (Madsen,
254 2003). Not producing one set of optimal parameters like in single objective
255 optimization, multiple objective optimization produces pareto-optimal parameter sets,
256 each pareto-optimal parameter is a feasible parameter, which provides the user the
257 opportunity to trade off among different simulation purposes. For example, if the user
258 want to have a better simulation to the high flow of the streamflow, then the high
259 weight will be given to the model efficiency, but if a better simulation to the low flow
260 is expected, then the priority should be put on the model efficiency for logarithmic
261 transformed discharges (Shafii et. al., 2009). Multiple objective optimization is more
262 flexible than single objective optimization, but requires much more computation, so if
263 the model simulation purpose is determined, i.e., the objective is known, then the
264 single objective optimization is enough. In this study, the purpose is to optimize the
265 model parameter for flood forecasting, so the purpose is obvious, the one objective
266 function to minimize the peak flow relative error of the catchment discharge at outlet
267 is chosen, and the single objective optimization is carried out.

268 **2.4 Liuxihe Model and parameter classification**

269 Liuxihe Model (Chen, 2009, Chen et. al, 2011) is a physically based distributed
270 hydrological model mainly for catchment flood forecasting. In Liuxihe model, the
271 studied area is divided into a number of cells horizontally by using a DEM, the cells
272 are called a unit-basin, and are treated as a uniform basin in which elevation,
273 vegetation type, soil characteristics, rainfall, and thus model parameters are
274 considered to take the same value. The unit-basin is then divided into three layers
275 vertically, including the canopy layer, the soil layer and the underground layer. The
276 boundary of the canopy layer is from the terrain surface to the top of the vegetation.

277 The evapotranspiration takes place in this layer, and the Evapotranspiration Model is
278 used to determine the evapotranspiration at the unit-basin scale. In the soil layer, soil
279 water is filled by the precipitation and depleted via evapotranspiration. The
280 underground layer is beneath the soil layer with a steady underground flow that is
281 recharged by percolation. All cells are categorized into 3 types, namely hill slope cell,
282 river cell and reservoir cell.

283 There are 5 different runoff routings in Liuxihe model, including hill slope routing,
284 river channel routing, interflow routing, reservoir routing and underground flow
285 routing. Hill slope routing routes the surface runoff produced in one hill slope cell to
286 its neighbouring cell, and the kinematic wave approximation is employed to make this
287 routing. For the river channel routing, the shape of the channel cross-section is
288 assumed to be trapezoid, which makes it estimated by satellite images, and the one
289 dimensional diffusive wave approximation is employed to make this routing.

290 The parameters in Liuxihe model are divided into unadjustable parameters and
291 adjustable parameters. The flow direction and slope are unadjustable parameters
292 which are derived from the DEM directly and remain unchanged. The other
293 parameters are adjustable parameters, and could be adjusted to improve the model
294 performance. The adjustable parameters are classified as 4 types, including climate
295 based parameters, topography based parameters, vegetation based parameters and soil
296 based parameters. Currently in Liuxihe Model, there is method for determining initial
297 values of adjustable parameters, and then the adjustable parameters are optimized by a
298 half-automated parameter adjusting method, i.e., based on the initial parameter values,
299 the parameter values are adjusted by hand to improve the model performance, and the
300 parameter adjusting is done one parameter by one parameter. In this way, it is very
301 tedious and time-consuming, and takes months to adjust the parameters even in a very

302 small catchment, so it is not highly proficiency though it could improve the model
303 performance, and is also not a global optimization method. An automatic, global
304 optimization method of Liuxihe Model is needed. In this study, the Liuxihe Model
305 will be employed as the representing PBDHM.

306 **2.5 Improved PSO algorithm for Liuxihe Model**

307 **2.5.1 Principles of Particle Swarm Optimization (PSO)**

308 Particle Swarm Optimization (PSO) algorithm was first proposed by American
309 psychologist, James Kennedy and electrical engineer, Russell Eberhart (1995) during
310 their studying to the social and intelligent behaviors of a school of birds in searching
311 for food and better living places, now it is widely used in parameter calibration of
312 lumped hydrological model. Resffa et. al. (2013) used the PSO algorithm to
313 optimize strategies for designing the membership functions of Fuzzy Control Systems
314 for the water tank and inverted pendulum, Mauricio et. al. (2013) used the PSO
315 Optimisation software for SWAT model calibration, Zambrano-Bigiari et. al. (2013)
316 developed a HydroPSO software for model parameter optimization, Bahareh et. al.
317 (2013) used single-objective and multi-objective PSO algorithms to optimize
318 parameters of HEC-HMS model, Leila et. al. (2013) employed a multi-swarm version
319 of particle swarm optimization (MSPSO) in connection with the well-known
320 HEC-Res PRM simulation model in a parameterization - simulation - optimization
321 (parameterization SO) approach, Richard et. al. (2014) compared the PSO algorithm
322 with other algorithms in Hydrological Model Calibration, Jeraldin et. al. (2014) used
323 PSO in the tank system, these PSO applications are for lumped models only.

324 PSO is a global searching algorithm, in which, each particle represents a feasible
 325 solution to the model parameters, and usually an appropriate number of particles is
 326 chosen to act like a school of birds, the appropriate number of particles is a very
 327 important PSO parameter that will impact the PSO' s performance. In the
 328 optimization process, these particles move forward over the searching space at the
 329 same time following certain rules, which include each particle' s moving direction
 330 and moving speed, that could be determined with the following equations.

$$V_{i,k} = \omega \times V_{i,k-1} + C_1 \times rand \times (X_{i,pBest} - X_{i,k-1}) + C_2 \times rand \times (X_{gBest} - X_{i,k-1}) \quad (2)$$

$$X_{i,k} = X_{i,k-1} + V_{i,k} \quad (3)$$

331 Where $V_{i,k}$ is the moving speed of i^{th} particle at k^{th} step, $X_{i,k}$ is the position of i^{th}
 332 particle at k^{th} step, $X_{i,pBest}$ is the best position of i^{th} particle at k^{th} step(current), X_{gBest} is
 333 the best position of all particles at k^{th} step, ω is inertia acceleration speed, C_1 and C_2
 334 are learning factors, *rand* is a random number between 0 and 1, here ω , C_1 and C_2 are
 335 also important PSO parameters that will impact the PSO's performance.

336 For one step optimization, it is also called one evolution, all particles move forward
 337 one step, all particles will then have their best positions up to now, and the best
 338 position of all particles represents the global optimal positions of all particles. With
 339 step by step evolution, the global positions of all the particles will be approached, and
 340 the corresponding parameter values are the optimal parameters values. In the
 341 evolution process, a maximum number of evolution is usually set to keep the
 342 optimization process in a reasonable time limit.

343 **2.5.2 Improved PSO algorithm**

344 In the early PSO algorithm, particle number, ω , C_1 and C_2 are fixed, studies showed

345 that changing the values of ω , C1 and C2 in the PSO search process will improve the
346 PSO's performance (El-Gohary et. al., 2007, Song et. al., 2008, Acharjee et. al., 2010,
347 Chuang et. al., 2011). In this study, current research progress in improving PSO's
348 performance will be introduced to improve PSO algorithm, the strategies employed in
349 changing ω , C1 and C2 are stated below, and will be tested in the studied catchments.
350 In this paper, the appropriate PSO particle number, ω , C1 and C2 are called PSO
351 parameters.

352 **(1) Inertia weight ω**

353 The inertia weight ω is a PSO parameter impacting the global search capability (Shi
354 and Eberhart, 1998). In the early study, ω takes a fixed value of less than 1, current
355 studies show that changing ω could improve the PSO performance, and a few
356 methods for dynamically adjusting ω have been proposed, such as linear decreasing
357 inertia weight strategy(LDIW) (Shi and Eberhart, 2001), adaptive adjustment strategy
358 (Ratnaweera et. al., 2004), random inertia weight(RIW) (Shu et. al., 2009), fuzzy
359 inertia weight (FIW) (Eberhart and Shi, 2001). In this study, the LDIW strategy is
360 employed to dynamically determining the value of ω with the following equation.

$$\omega = \omega_{\max} - \frac{t(\omega_{\max} - \omega_{\min})}{T} \quad (4)$$

361 Where, t is the current evolution number, T is the maximum evolution number, ω_{\max}
362 takes the value of 0.9, ω_{\min} takes the value of 0.1.

363 **(2) Acceleration coefficients C1 and C2**

364 Acceleration coefficients C1 and C2 also impact PSO's performance. In early studies,
365 acceleration coefficients C1 and C2 usually take the same value of 2, and are fixed in
366 the evolution process. Studies show that dynamically adjusting C1 and C2 and take

367 different values for C1 and C2 could improve PSO's performances, and a few
 368 methods have been proposed, such as the linear strategy (Ratnaweera et. al., 2004),
 369 concave function strategy (Chen et. al., 2006), arccosine function strategy (Chen et.
 370 al., 2007). In this study, the arccosine function strategy is employed to determine the
 371 values of C1 and C2, the equations are listed below.

$$c_1 = c_{1min} + (c_{1max} - c_{1min}) \left(1 - \frac{\arccos\left(\frac{-2 \times i}{MaxN} + 1\right)}{\pi} \right) \quad (5)$$

$$c_2 = c_{2max} - (c_{2max} - c_{2min}) \left(1 - \frac{\arccos\left(\frac{-2 \times C_i}{MaxN} + 1\right)}{\pi} \right) \quad (6)$$

372 Where C_{1max} , C_{1min} are the maximum and minimum value of C_1 , and the values of
 373 2.75 and 1.25 are recommended, C_{2max} , C_{2min} are the maximum and minimum values
 374 of C_2 , and the values of 2.5 and 0.5 are recommended, i is the current evolution
 375 number.

376 2.5.3 PSO procedure

377 The parameter optimization method based on PSO is summarized below.

- 378 1) Choose the independent parameters to be optimized. In the case that the
 379 computation load is a great challenge, only highly sensitive parameter will be
 380 optimized, otherwise, all parameters could be optimized;
- 381 2) Initialize independent parameters to be optimized and normalize them;
- 382 3) Choose optimization criterion, particle number, maximum evolution number, ω , C1
 383 and C2;
- 384 4) Initialize every particles, i.e., determine their initial positions, and calculate the

385 value of the current objective function;
386 5) Evolution calculation: for every evolution, first determine the best position of every
387 particle and the global positions of all particles, then calculate the moving directions
388 and speeds of every particles at current evolution by using equation (2) and equation
389 (3), finally check the optimization criterion, if it is satisfied, then the optimization end,
390 otherwise, continue to the next evolution.

391 **3. Studied Catchment and Liuxihe Model Set Up**

392 **3.1 Studied catchment and hydrological data**

393 Two catchments in southern China have been selected as the case study catchments.
394 The first catchment is Tiantoushui catchment in Lechang County of Guangdong
395 Province, it is a small watershed with a drainage area of 511km² and channel length of
396 70km, which is a typical mountainous catchment with frequent flash flooding in
397 southern China. Tiantoushui catchment will mainly be used to test the PSO
398 parameters impacts to the algorithm performance, so to propose the optimal PSO
399 parameters for the Liuxihe Model parameter optimization. As this work needs lots of
400 model runs, so a small catchment helps to keep the running time in a feasible limit.
401 There are 50 rain gauges within the catchment and one river flow gauges in the
402 catchment outlet, the high density rain gauge network is built not only for flash flood
403 forecasting, but also for some kinds of scientific experiments, this will also help to
404 reduce the uncertainties caused by the uneven precipitation spatial distribution. Figure
405 1(a) is the sketch map of Tiantoushui Catchment with locations of rain gauges and the
406 tributaries.

407

Figure 1 is here

408 Hydrological data of 9 flood events has been collected for this study, including the
409 river flow at the catchment outlet and precipitation at each rain gauges at an hourly
410 interval. The precipitation measured by the rain gauges will be interpolated to the grid
411 cells by employing Thiessen Polygon method(Derakhshan et. al., 2011).

412 The second studied catchment is the upper portion of Wujiang catchment in southern
413 China, and is called in this paper the upper and middle Wujiang catchment(UMWC).

414 UMWC is in the upper and middle stream of Wujiang catchment with a drainage area
415 of 3622km², flooding in the catchment is also very frequent and heavy. The purpose
416 of studying this big catchment is to show that PSO could still work in large catchment.

417 There is one river flow gauge in the outlet of UMWC, and 17 rain gauges within the
418 catchment. Figure 1(b) shows the sketch map of the catchment with locations of rain
419 gauges and the tributaries. Hydrological data of 14 flood events from UMWC has
420 been collected, including the river flow at the catchment outlet and precipitation at
421 each rain gauges at one hour interval, the precipitation measured by the rain gauges
422 will also be interpolated to the grid cells employing Thiessen Polygon method.

423 **3.2 Property data for Liuxihe Model setting up**

424 Catchment property data used for model set up in this study are DEM, land use types
425 and soil types, these data of the studied catchments are downloaded from the open
426 access databases. The DEM is downloaded from the Shuttle Radar Topography
427 Mission database at <http://srtm.csi.cgiar.org>, the land use type is downloaded from
428 <http://landcover.usgs.gov>, and the soil type is downloaded from <http://www.isric.org>.

429 The downloaded DEM is at the spatial resolution of 90mX90m, but the other two data
430 are at the 1000mX1000m spatial resolution, so they are rescaled to the spatial
431 resolution of 90mX90m. Figure 2 and Figure 3 show the property data of DEM, land
432 use types and soil types of the two catchments respectively.

433 **Figure 2 is here**

434 **Figure 3 is here**

435 In the Tiantoushui Catchment, the highest, lowest and average elevation are 1874 m,
436 174 m and 782 m respectively. There are 4 land use types, including evergreen
437 coniferous forest, evergreen broadleaved forest, bush and farmland, accounting for
438 27.6%, 36.5%, 25.5%, and 10.4% of the total catchment area respectively. There are
439 10 soil types, including water body, Humicacrisol, Haplic and high activitive acrisol,
440 Ferralic cambisol, Haplic luvisols, Dystric cambisol, Calcaric regosol, Dystric regosol,
441 Artificial accumulated soil and Dystric rankers, accounting for 4.8%, 56.5%, 1.7%,
442 3.4%, 6.5%, 4.5%, 0.7%, 5.6%, 9.8% and 6.5% of the total catchment area
443 respectively.

444 In the UMWC catchment, the highest, lowest and average elevation are 1793 m, 170
445 m and 982 m respectively. There are 8 land use types, including evergreen coniferous
446 forest, evergreen broadleaved forest, shrub, sparse wood, mountains and alpine
447 meadow, slope grassland, lakes and cultivated land, accounting for 26.4%, 24.3%,
448 35%, 2.1%, 0.1%, 2.6%, 0.5% and 9.1% of the total catchment area respectively.
449 There are 12 soil types, including water body, Humicacrisol, Haplic and high
450 activitive acrisol, Ferralic cambisol, Haplic luvisols, Dystric cambisol, Calcaric
451 regosol, Dystric regosol, Haplic and weak active acrisol, Artificial accumulated soil,
452 Eutricregosols and Black limestone soil and Dystric rankers, accounting for 4.8%,
453 56.5%, 0.5%, 3.4%, 6.5%, 4.5%, 0.7%, 5.6%, 9.8%, 6.6%, 1.0% and 0.2% of the total

454 catchment area respectively.

455 **3.3 Liuxihe Model set up**

456 To set up the Liuxihe Model in the studied catchments is to divide the whole catchment
457 into grids with DEM. In this study, the Tiantoushui Catchment is divided into 65011
458 grid cells using the DEM with grid cell size of 90mx90m, then they are categorized
459 into reservoir cell, river channel cell and hill slope cell. In the studied catchments,
460 there are no significant reservoirs, so there are no reservoir cells set. Based on the
461 method for cell type classification proposed in Liuxihe Model, the river channel
462 system is treated as a 3-order channel system, and 1364 river channel cells and 63647
463 hill slope cells have been produced in Tiantoushui Catchment respectively. Further, 10
464 nodes have been set on the Tiantoushui Catchment, and the river channel system is
465 divided into 14 virtual sections, and their cross-section sizes have been estimated by
466 referencing to satellite remote sensing images. The Liuxihe Model structure of
467 Tiantoushui Catchment is shown in Figure 4(a).

468 **Figure 4 is here**

469 The Liuxihe Model is also set up in UMWC, the Catchment is first divided into
470 460695 grid cells using the DEM with grid cell size of 90mx90m. The river channel
471 system is treated as a 3-order channel system, and 3295 river channel cells and
472 457400 hill slope cells have been produced respectively. 32 nodes have been set on
473 UMWC, and their cross-section sizes have been estimated by referencing to satellite
474 remote sensing images. The Liuxihe Model structure of UMWC is shown in Figure
475 4(b).

476 **3.4 Determination of initial parameter values**

477 In Liuxihe Model, the flow direction and slope are two unadjustable parameters which

478 will be derived from the DEM, and will remain unchanged. Based on the DEM shown
479 in Figure 1(a), the flow direction and slope of the studied catchments are derived. The
480 other parameters are adjustable parameters, which need initial values for further
481 optimization. Evaporation capacity is a climate based parameter, and its initial value
482 is set to 5mm/d at both catchment based on the observation near the catchment outlet.
483 Evaporation coefficient and roughness are land use based parameters, and are
484 less-sensitive parameters in Liuxihe Model, the initial values of evaporation
485 coefficient are set to 0.7 at both catchments as recommended by Liuxihe Model (Chen,
486 2009), while the initial values of roughness are derived based on reference (Wang et.
487 al., 1997) and are listed in Table 1 and table 2 respectively for the two catchments.

488 **Table 1 is here**

489 **Table 2 is here**

490 The other parameters are soil based parameters. In Liuxihe Model, b is recommended
491 to take the value of 2.5, soil water content at wilting condition takes 30% of the soil
492 water content at saturated condition, the initial values of other soil based parameters
493 are calculated by using the Soil Water Characteristics Hydraulic Properties Calculator
494 (Arya et al., 1981) that calculates soil water content at saturation and field condition
495 and the hydraulic conductivity at saturation based on the soil texture, organic matter,
496 gravel content, salinity, and compaction. The initial values of soil based parameters
497 are determined by using the program developed by Keith E. Saxton that could be
498 downloaded freely at <http://hydrolab.arsusda.gov/soilwater/Index.htm>, the initial
499 values of the soil based parameters at the two studied catchments are listed in Table 3
500 and Table 4 respectively.

501 **Table 3 is here**

502 **Table 4 is here**

503 **4. Discussions and results**

504 **4.1 Impacting of particle number to PSO performance and the** 505 **determination of appropriate particle number**

506 Particle number is an important parameter of PSO, to understand the impact of the
507 particle number to the PSO performance and to determine the appropriate particle
508 number, 6 values of particle number, including 10, 15, 20, 25, 50 and 100 have been
509 used to optimize the model parameters of Liuxihe Model setting up in Tiantoushui
510 Catchment, while maximum evolution number is set to 50, ω , C1 and C2 are
511 dynamically adjusted with equation (4), equation (5) and equation (6), and flood event
512 flood2006071409 is used to do this calculation. 5 evaluation indices, including
513 Nash-Sutcliffe coefficient C, correlation coefficient R, process relative error P(%),
514 peak flow relative error E(%) and The coefficient of water balance W(%) have been
515 computed, and listed in Table 5, the computation times for each optimization also
516 have been listed in Table5.

517 **Table 5 is here**

518 We first analysis the impact of particle number to the computation time. From the
519 results of table 5 we found that with the increasing of the particle number from 10 to
520 100, the computation time used decreases first, but when the particle number is bigger
521 than 20, the computation time increases then, and when the particle number is 20, the
522 computation time is 12.1 hours, which is the shortest among others. This means that
523 particle number impacts the computation time used in optimization, the small and big
524 particle number is not the best particle number, there exist an appropriate particle
525 number to make the optimization at the least time. In the Tiantoushui Catchment, 20 is
526 an appropriate particle number from the view of computational efficiency.

527 We further analysis the impact of particle number to the model performances by
528 comparing the 5 evaluation indices. From the results, obvious trend could be found
529 that with the increasing of the particle number, the Nash-Sutcliffe coefficient C, the
530 correlation coefficient R and water balance coefficient increase first, but when the
531 particle number reaches 20, the three indices decrease. While for the process relative
532 error W and peak flow relative error E, the trend is inversed, i.e., with the increasing
533 of the particle number, the process relative error W and peak flow relative error E
534 decrease first, but when the particle number reaches 20, the two indices increase. This
535 also means that with the increasing of the particle number, the model performance
536 increases first and then decreases. So from the view of model performance, we could
537 assume 20 is the appropriate particle number in Tiantoushui Catchment. So in this
538 paper, from the results above, we could suggests that 20 is the the appropriate particle
539 number of PSO algorithm for Liuxihe Model in catchment flood forecasting in
540 Tiantoushui Catchment.

541 The particle number of 20 is also used in the parameter optimization of UMWC
542 catchment, and the model performance are also very satisfactory, and the computation
543 time is acceptable, so in this study, we assume that 20 is the appropriate particle
544 number for Liuxihe Model parameter optimization when employing PSO algorithm
545 for catchment flood forecasting nomatter the size of the catchment, this conclusion
546 can also be derived from the results of PSO's convergence in next section.

547 **4.2 PSO's Convergence**

548 PSO algorithm is an evolution algorithm, its searching process is an iteration process,
549 so the convergence is a key issue, i.e., the algorithm should convergence to its optimal
550 state in a limited iteration number, otherwise it could not be used practically. In PSO,

551 the iteration is called evolution, one iteration is called one evolution. To explore
552 PSO's convergence, we first draw the optimization evolution process of PSO in
553 Tiantoushui Catchment in Figure 5, both the objective and parameter evolution
554 processes are included.

555 **Figure 5 is here**

556 From Figure 5 we found that during the evolution process, the objective function
557 steadily decreases, that means the model performance is constantly improved. But for
558 all the parameters, they do not change in the same direction, i.e., the parameters may
559 increase in one evolution, and decrease in the next evolution, but after more than 25
560 evolutions, most of the parameters converge to their optimal values, with about 30
561 evolutions, all of the parameters converge to their optimal values, after that, there is
562 almost no parameter changes, this means 30 is the maximum evolution number for
563 PSO in Tiantoushui Catchment.

564 From Figure 5, we also found that the optimal parameter values of several parameters
565 are quite different with the initial parameters, but some remain little changes, this also
566 implies that the PSO algorithm has very good performance in convergence even the
567 initial values of the parameters are far from its optimal values.

568 We further analysis PSO's performance in UMWC, but this time we only draw the
569 parameter evolution process of PSO in UMWC in Figure 6, the objective evolution
570 process of PSO in UMWC is similar with that in Tiantoushui Catchment.

571 **Figure 6 is here**

572 From Figure 6 we also found that during the evolution process, the objective function
573 steadily decreases, but the parameters do not increase or decrease in a constant way,
574 the changing patten is similar with that shown in Figure 5. After 25 evolutions, most

575 of the parameters converge to their optimal values, with about 30 evolutions, all of the
576 parameters converge to their optimal values. The patten in UMWC is the same with
577 that in Tiantoushui Catchment.

578 From Figure 6, we also found that the optimal parameter values of several parameters
579 are quite different with the initial values, but some remain little changes, this patten in
580 UMWC is the same with that in Tiantoushui Catchment also.

581 From the above results both in UMWC and Tiantoushui Catchment, we could assume
582 that PSO algorithm has a very good performance in convergence in catchments with
583 different sizes, and we could assume that the maximum evoluion number could be set
584 to 30 no matter the size of the studied catchments. This conclusion also supports the
585 conclusion that 20 is the appropriate particle number for Liuxihe Model parameter
586 optimization when employing PSO algorithm for catchment flood forecasting no
587 matter the size of the catchment.

588 **4.3 Computational Efficiency**

589 The computation time needed for physically based distributed hydrological model run
590 is huge, for the parameter optimization, many many model runs are needed, so the
591 computation time needed for the parameter optimization is also a key factor to impact
592 the performance of the PSO. From Table 5, we know in Tiantoushui Catchment, the
593 computation time for parameter optimization is about 12 hours, this is acceptable. The
594 time needed for parameter optimization in UMWC is about 82.6 hours, it is also
595 acceptable. The computer used for this study is a general server, but if use advanced
596 computer, the time needed could be reduced largely.

597 **4.4 Model validation in Tiantoushui Catchment**

598 The parameters of Liuxihe Model in Tiantoushui Catchment have been optimized by
599 employing PSO algorithm proposed in this paper, the particle number used is 20,
600 maximum evolution number is set to 50, ω , C1 and C2 are dynamically adjusted with
601 equation (4), equation (5) and equation (6), flood event flood2006071409 is used to
602 optimize the parameters.

603 The other 8 observed flood events of Tiantoushui Catchment are simulated by the
604 model with parameters optimized above to validate the model performance for
605 catchment flood forecasting. To analysis the effect of parameter optimization to model
606 performance improvement, Figure 7 shows 4 of the simulatd hydrographes, the
607 hydrographes simulated by the model with initial parameter values are also drawn in
608 Figure 7.

609 **Figure 7 is here**

610 From the results, it has been found that the 8 simulated hydrographes fit the observed
611 hydrographes well, particularly the simulated peak flow is quite good. From the
612 results we also found that the model with initial parameter values do not simulate the
613 observed flood events satisfactorily, i.e., the uncertainties are high.

614 To further analysis the model performance with parameter optimization, the 5
615 evaluation indices of the 8 simulated flood events have been calculated and listed in
616 Table 6.

617 **Table 6 is here**

618 From Table 6 we found that the 5 evaluation indices have been improved by
619 parameter optimization at different extent. For the results simulated by the model with
620 initial parameters, the 5 evaluation indices, including the Nash-Sutcliffe coefficient,
621 correlation coefficient, process relative error, peak flow relative error and water

622 balance coefficient, have an average values of 0.66, 0.85, 72%, 21% and 1.03
623 respectively. While for the results simulated by the model with optimized parameters,
624 the 5 evaluation indices have average values of 0.88, 0.939, 25%, 6% and 0.97
625 respectively. The average Nash-Sutcliffe coefficient has a 33% increasing, the
626 correlation coefficient a 9.6% increasing, process relative error a 65.28% decreasing,
627 peak flow relative error a 71.43% decreasing, and the water balance coefficient a 5.83%
628 decreasing. Among the 5 evaluation indices, the peak flow relative error and the
629 process relative error have the biggest improvement.

630 The above results imply that with parameter optimization by using the PSO algorithm
631 proposed in this paper, the model performance of Liuxihe Model for catchment flood
632 forecasting has been improved in Tiantoushui Catchment, optimizing parameters of
633 Liuxihe Model is necessary.

634 **4.6 Model validation in UMWC**

635 The parameters of Liuxihe Model in UMWC have been optimized by employing PSO
636 algorithm proposed in this paper, the particle number and maximum evolution number
637 are also set to 20 and 50 respectively, ω , C1 and C2 are dynamically adjusted with
638 equation (4), equation (5) and equation (6), flood event flood1985052618 is used to
639 optimize the parameters.

640 The other 13 observed flood events of UMWC are simulated by the model with
641 parameters optimized above, Figure 8 shows 4 of the simulated hydrographes. To
642 compare, the flood events also have been simulated with the parameters optimized
643 with a half-automated parameter adjusting method (Chen, 2009), and the results are
644 also shown in Figure 8. From the simulated results, it has been found that the 13

645 simulated hydrographes fit the observed hydrographes well, particularly the simulated
646 peak flow is quite good, this conclusion is the same with the results in Tiantoushui
647 Catchment. From the results we also found that the model with initial parameter
648 values do not simulate the observed flood event satisfactorily, the simulated results
649 with parameters optimized with a half-automated parameter adjusting method is a big
650 improvement to that simulated with the initial model parameters, but the simulated
651 results with the PSO optimized model parameters are the best among the three results.

652 **Figure 8 is here**

653 To further analysis the model performance with parameter optimization, the 5
654 evaluation index of the 13 simulated flood events have been calculated and listed in
655 Table 7.

656 **Table 7 is here**

657 From Table 7 we found that the 5 evaluation index have been improved by parameter
658 optimization at different extent. For the results simulated by the model with initial
659 parameters, the 5 evaluation indices, including the Nash-Sutcliffe coefficient,
660 correlation coefficient, process relative error, peak flow relative error and water
661 balance coefficient, have an average values of 0.757, 0.771, 38.8%, 25.1% and 0.924
662 respectively. While for the results simulated by the model with optimized parameters,
663 the 5 evaluation indices have average values of 0.888, 0.960, 24.8%, 2.4% and 0.949
664 respectively. The peak flow relative error has been reduced from 25.1% to 2.4% after
665 parameter optimization, that is 90.44% down and also the biggest improvement
666 among the 5 evaluation indices. While the average Nash-Sutcliffe coefficient has a
667 17.31% increasing, the correlation coefficient a 24.51% increasing, process relative
668 error a 36.08% decreasing and water balance coefficient a 2.71% increasing. The

669 results have similar trend with that in Tiantoushui Catchment, this also implies that
670 with parameter optimization by using the PSO algorithm proposed in this paper, the
671 model performance of Liuxihe Model for catchment flood forecasting has been
672 improved in UMWC Catchment, i.e., even for a larger catchment, PSO works well for
673 Liuxihe Model. Liuxihe Model's capability for catchment flood forecasting could be
674 improved by parameter optimization with PSO algorithm, and Liuxihe Model
675 parameter optimization is necessary.

676 **5. Conclusion**

677 In this study, based on the scalar concept, a general framework for automatic
678 parameter optimization of the physically based distributed hydrological model is
679 proposed, and the improved Particle Swarm Optimization algorithm is employed for
680 the Liuxihe Model parameter optimization for catchment flood forecasting. The
681 proposed method have been tested in two catchments in southern China with different
682 size, one is small, one is large. Based on the study results, the following conclusions
683 have been found.

684 1) When employing physically based distributed hydrological model for catchment
685 flood forecasting, uncertainty in deriving model parameters physically from the
686 terrain properties is high, parameter optimization is still necessary to improve the
687 model's capability for catchment flood forecasting.

688 2) Capability of physically based distributed hydrological model for catchment flood
689 forecasting, specifically the Liuxihe Model studied in this paper, could be improved
690 largely by parameter optimization with PSO algorithm, and the model performance is
691 quite good with the optimized parameters to satisfy the requirement of real-time
692 catchment flood forecasting.

693 3) Improved Particle Swarm Optimization(PSO) algorithm proposed in this paper for
694 physically based distributed hydrological model for catchment flood forecasting,
695 specifically the Liuxihe Model studied in this paper, has very good optimization
696 performance, the optimized model parameters are global optimal parameters, and
697 could be used for Liuxihe Model parameter optimization for catchment flood
698 forecasting at different size catchments.

699 4) The appropriate particle number of PSO algorithm used for Liuxihe Model
700 parameter optimization for catchment flood forecasting is 20.

701 5) The maximum evolution number of PSO algorithm used for Liuxihe Model
702 parameter optimization for catchment flood forecasting is 30.

703 6) The PSO algorithm has high computational efficiency, and could be used in large
704 scale catchments flood forecasting.

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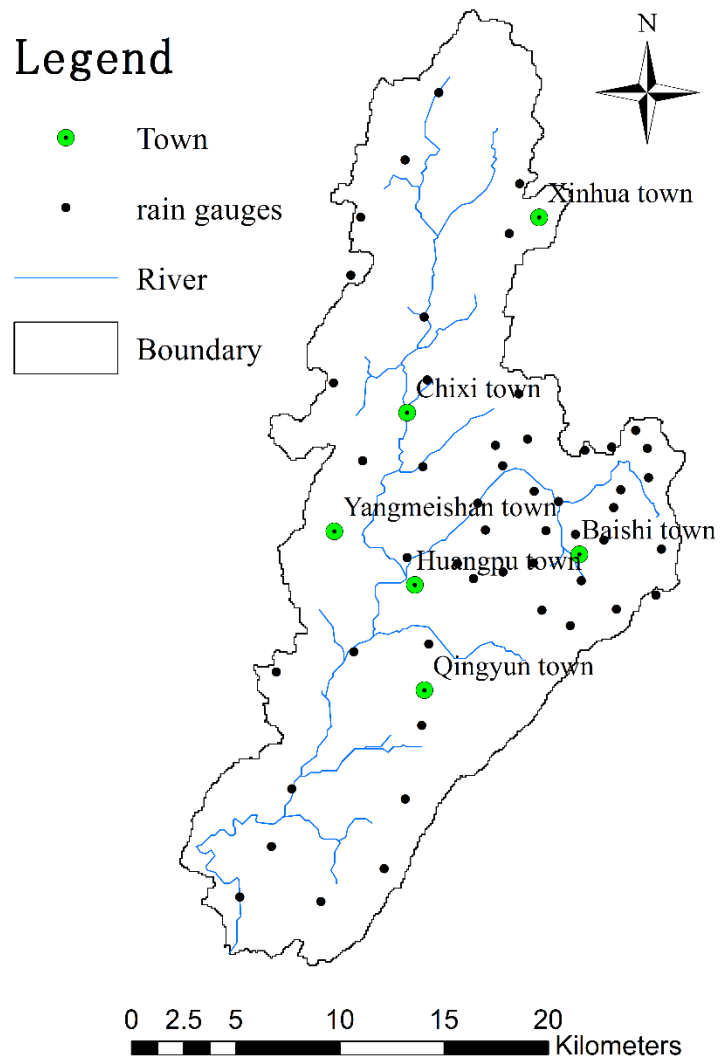
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940 **Figures**

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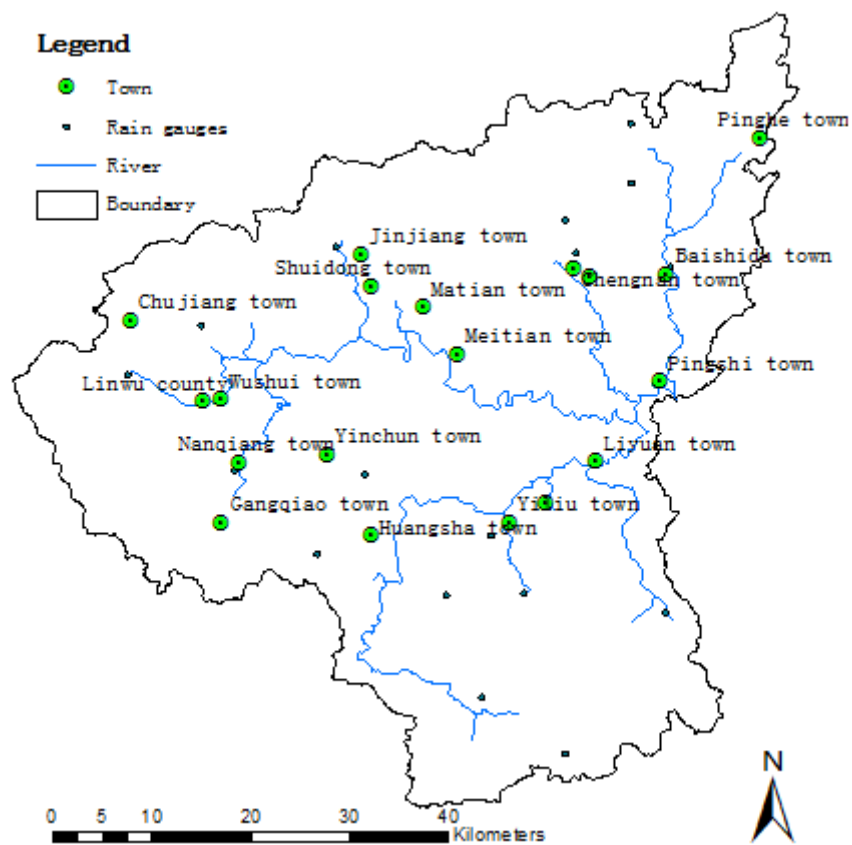


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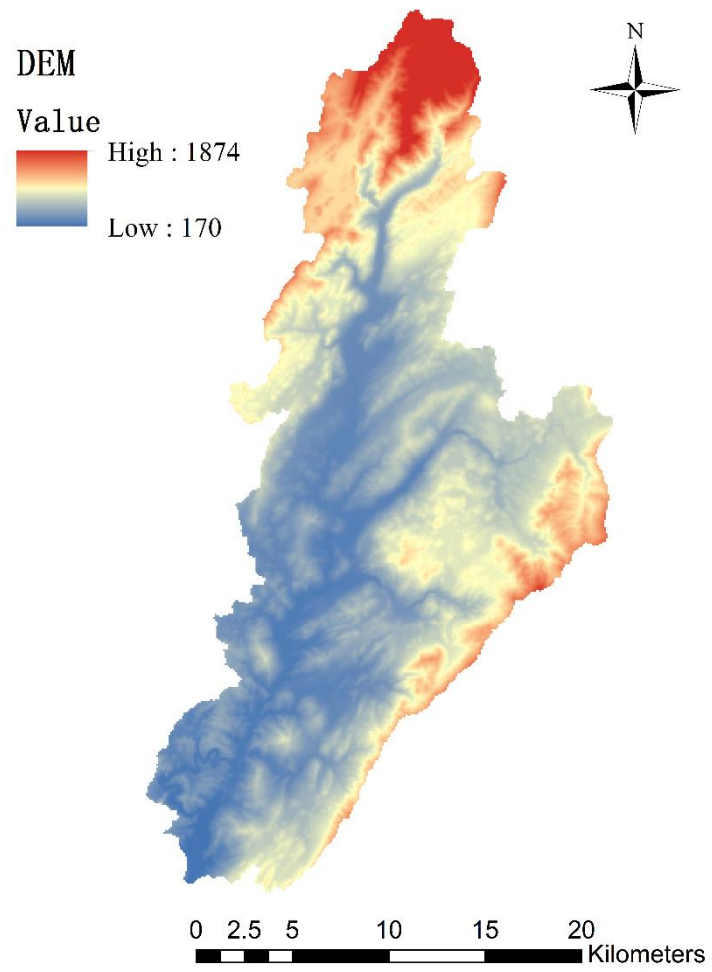
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(a) Tiantoushui Catchment



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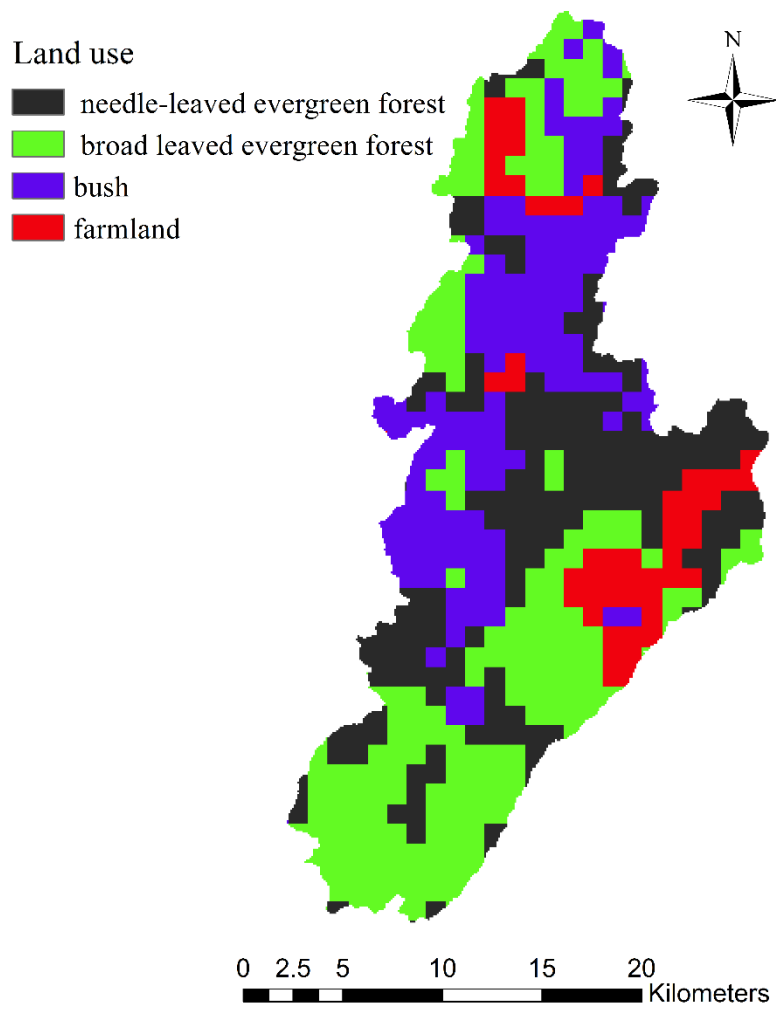
(b) Upper and middle Wujiang Catchment(UMWC)
 Figure 1 sketch map of the studied Catchments



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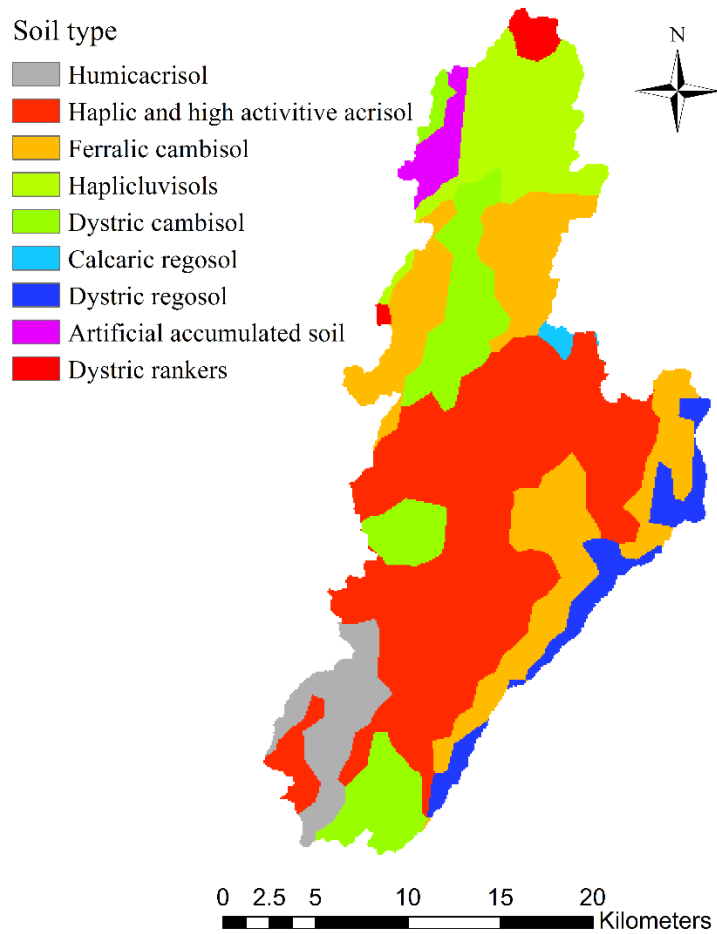
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(a) DEM



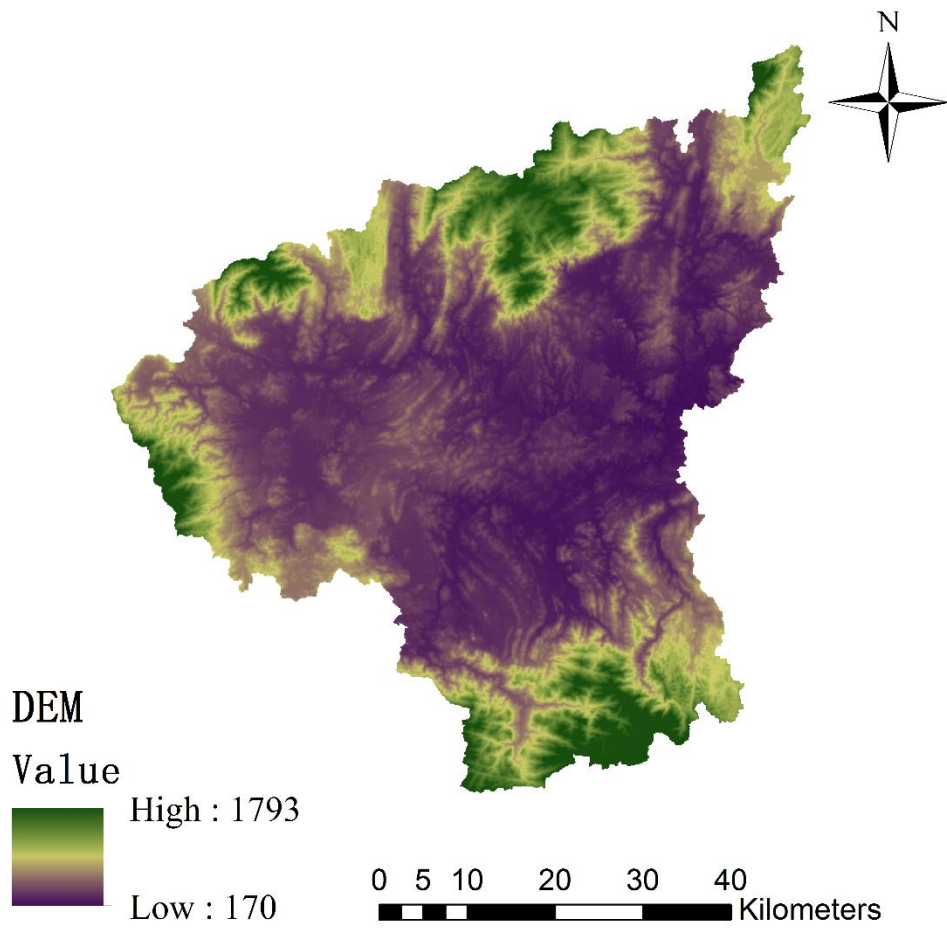
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(b) Land use type



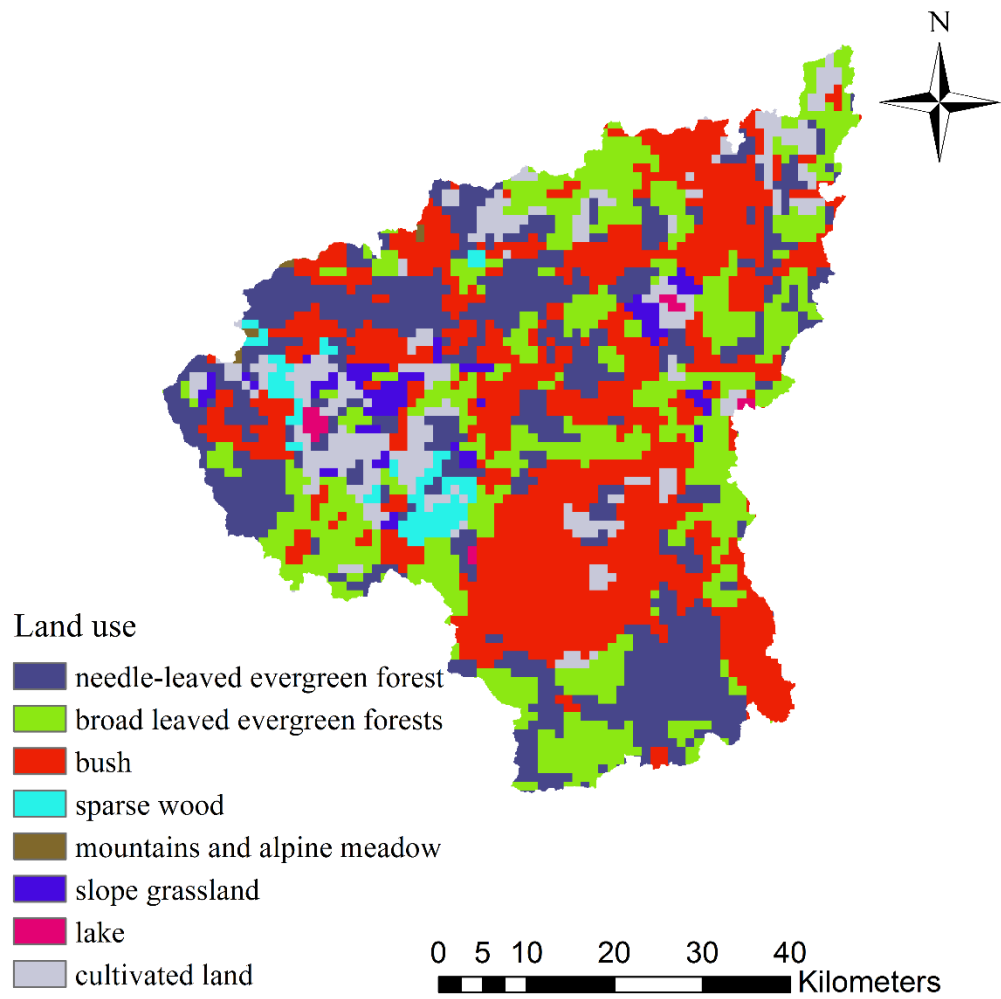
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(c) Soil type
 Figure 2 terrain property of Tiantoushui Catchment



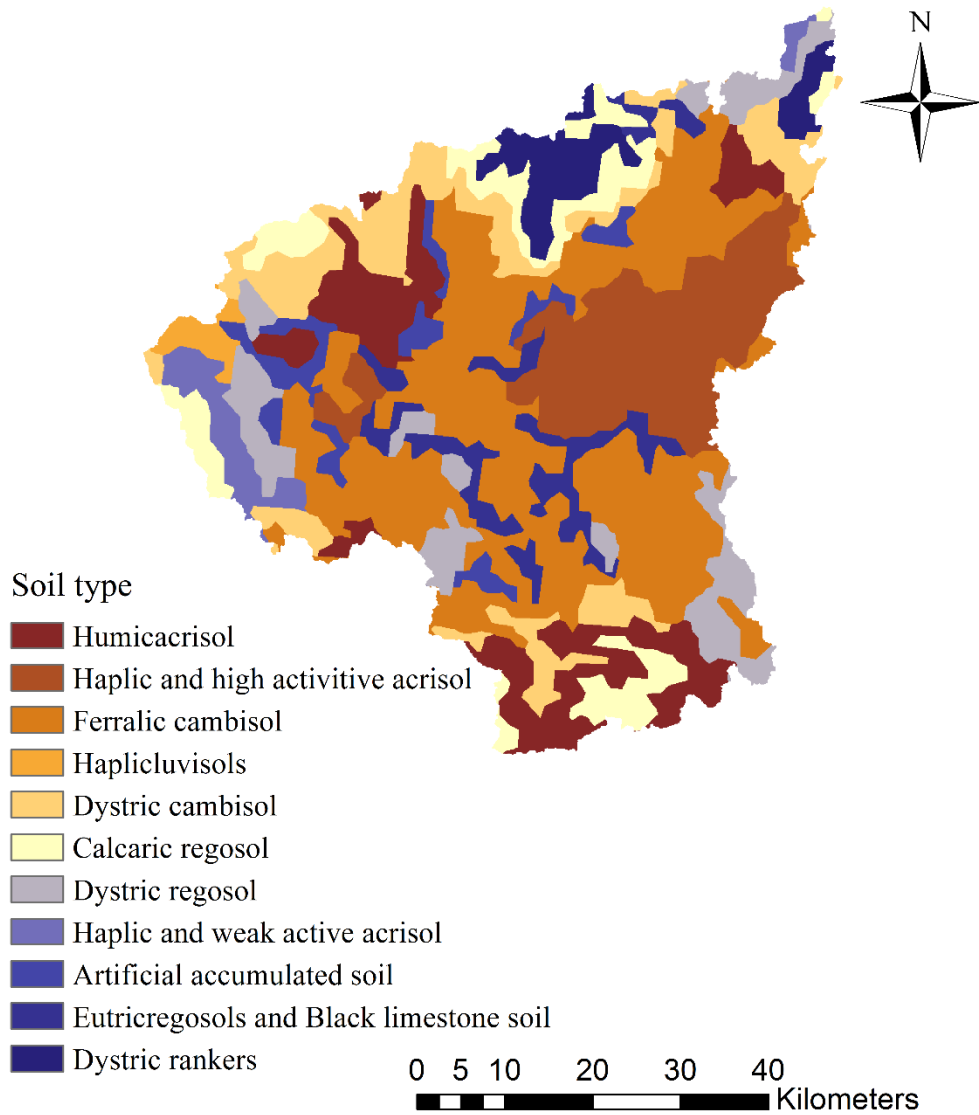
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(a) DEM



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(b) Land use type

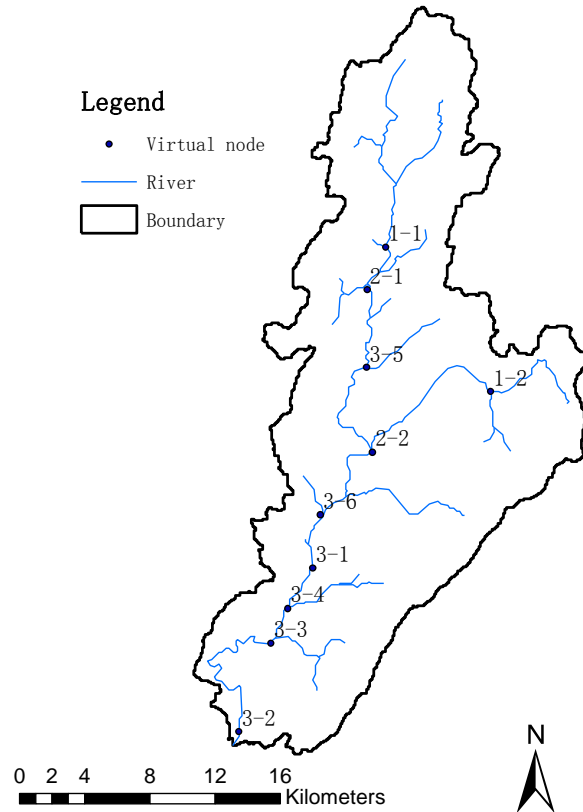


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(c) Soil type
 Figure 3 terrain property data of UMWC

Legend

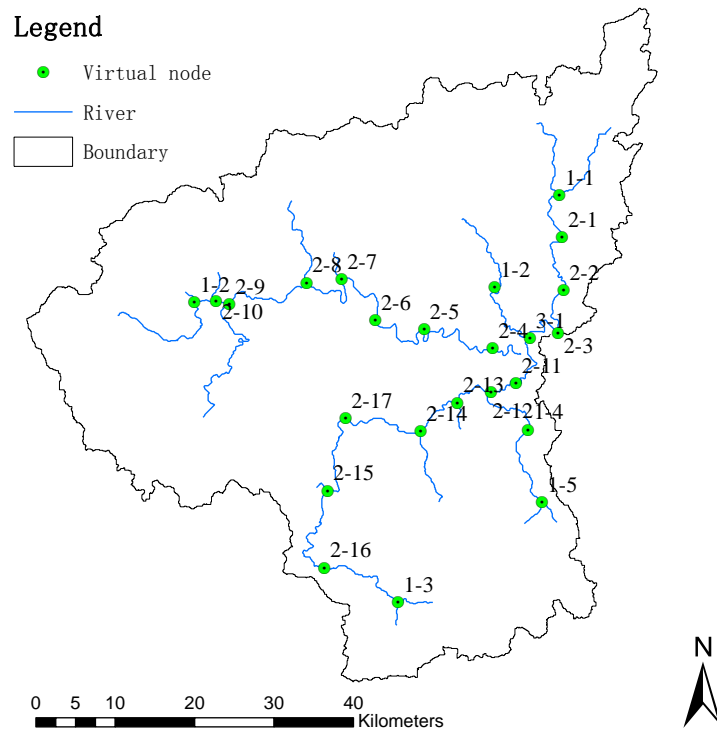
- Virtual node
- River
- Boundary



(a) Tiantoushui Catchment

Legend

- Virtual node
- River
- Boundary



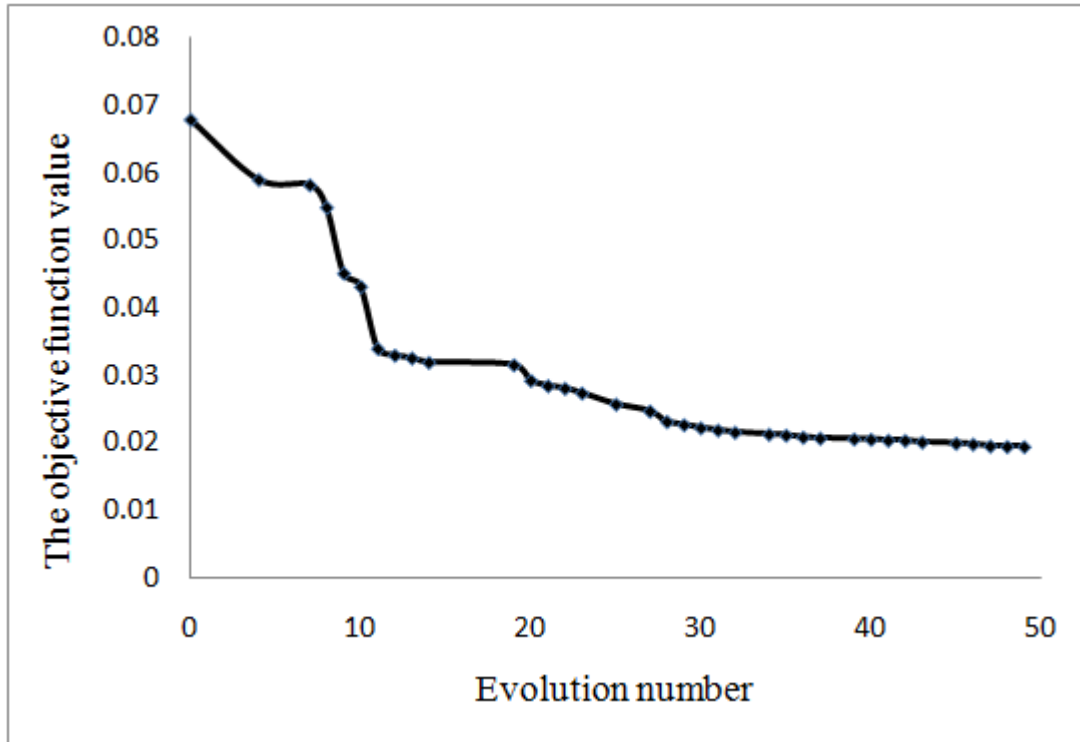
(b) UMWC Catchment

Figure 4 model set up results in Tiantoushui Catchment

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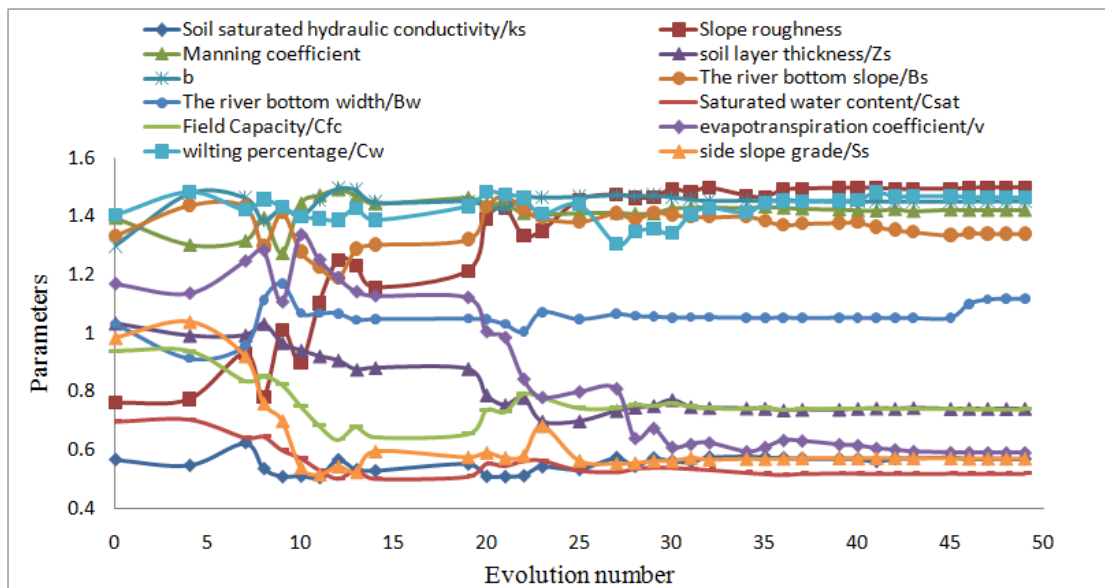
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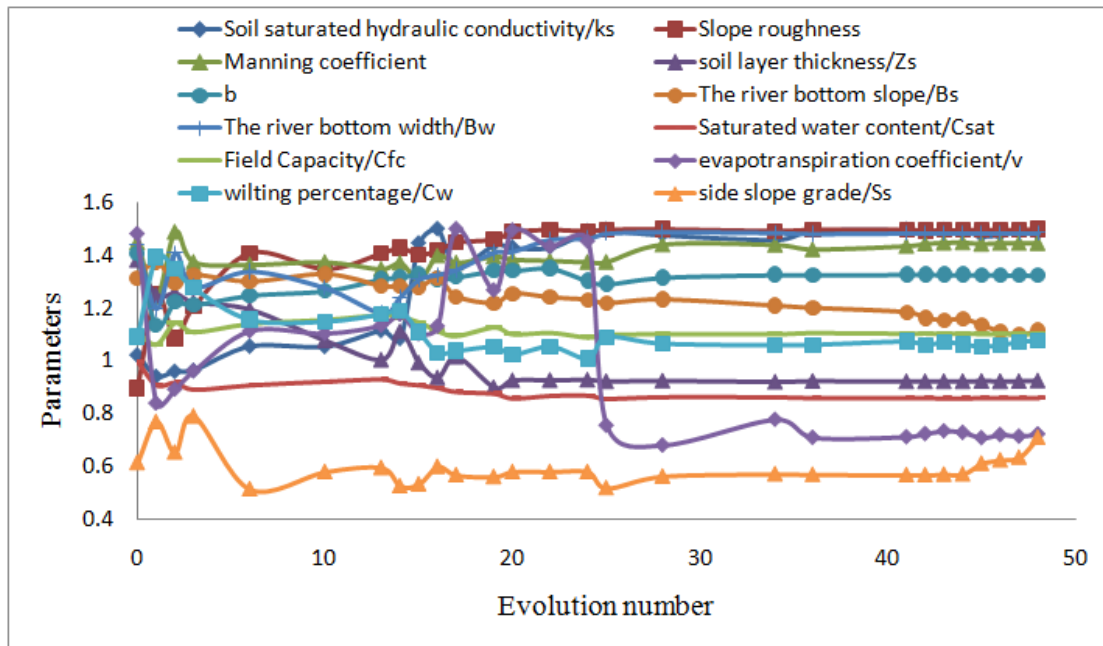
(a) evolution of objective function



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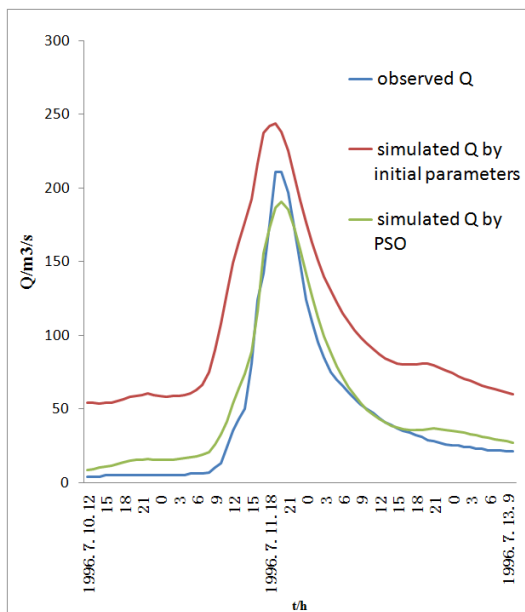
(b) evolution of parameters

Figure 5 The evolution process of parameter optimization with PSO in Tiantoushui Catchment

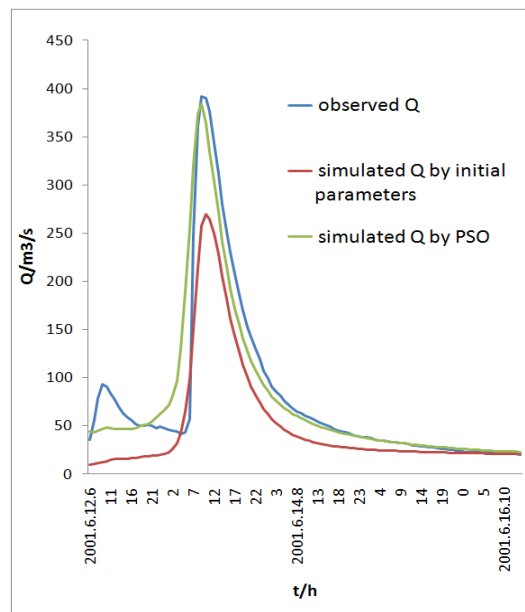


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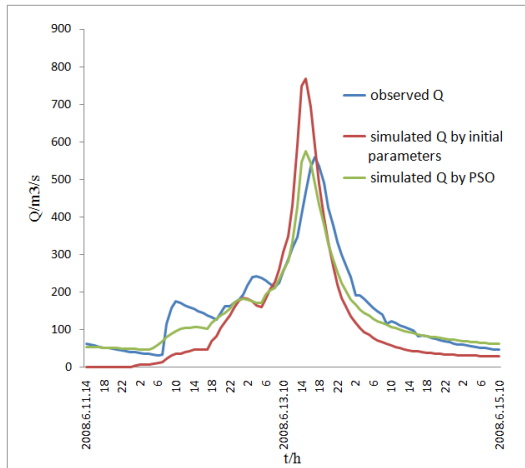
Figure 6 The evolution processes of parameter optimization with PSO in UMWC



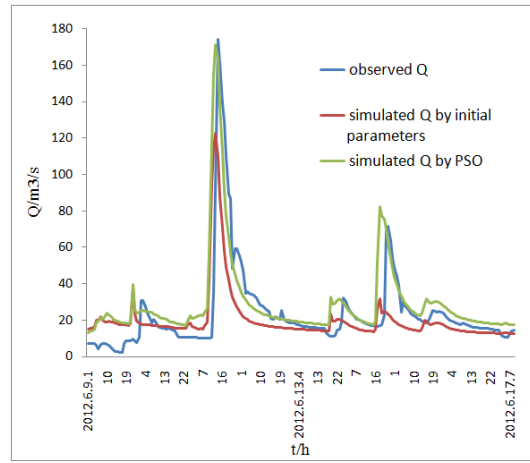
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(b) flood2001061206

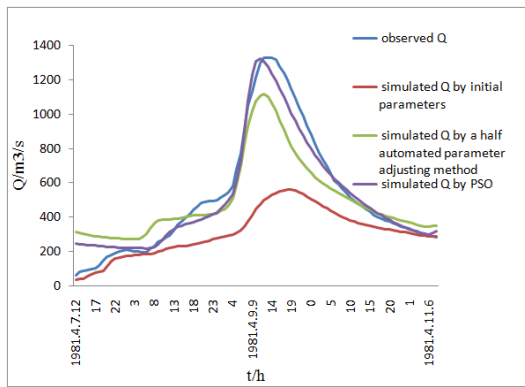


(c) flood2008061114

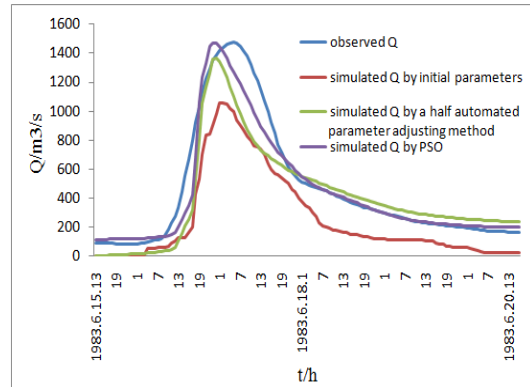


(d) flood2012060901

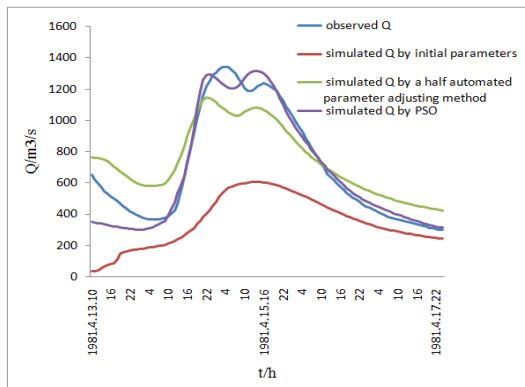
Figure 7 simulated flood events of Tiantoushui Catchment



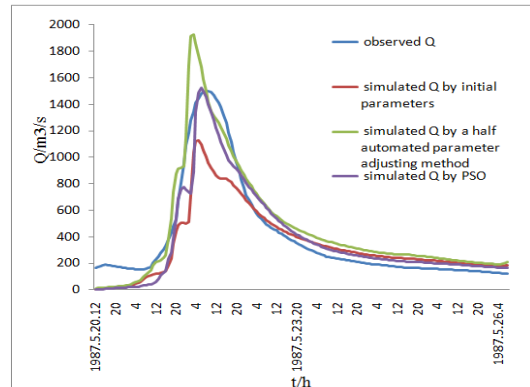
(a) flood1981040712



(c) flood1983022720



(b) flood1981041310



(d) flood1987052012

Figure 8 simulated flood events of UMWC

Tables

Table 1 Initial values of land use based parameters in Tiantoushui Catchment

ID	name	evaporation coefficient	roughness coefficient
2	evergreen coniferous forest	0.7	0.4
3	evergreen broadleaved forest	0.7	0.6
5	shrub	0.7	0.4
15	cultivated land	0.7	0.35

Table 2 Initial values of land use based parameters in UMWC

ID	name	evaporation coefficient	roughness coefficient
2	evergreen coniferous forest	0.7	0.4
3	evergreen broadleaved forest	0.7	0.6
5	shrub	0.7	0.4
6	sparse wood	0.7	0.5
7	mountains and alpine meadow	0.7	0.2
8	slope grassland	0.7	0.3
10	lakes	0.7	0.05
15	cultivated land	0.7	0.35

Table 3 Initial values of soil based parameters in Tiantoushui Catchment

Soil Type	Thickness/mm	Saturated water content	Field Capacity	Saturated hydraulic conductivity/mm/h	b	wilting percentage
Humicacrisol	700	0.515	0.362	3	2.5	0.2
Haplic and high active acrisol	1000	0.517	0.369	3	2.5	0.206
Ferralic cambisol	700	0.419	0.193	15	2.5	0.1
Haplicluvisols	1000	0.55	0.501	2	2.5	0.357
Dystric cambisol	820	0.385	0.164	34	2.5	0.076
Calcaric regosol	1000	0.5	0.324	3	2.5	0.172
Dystric regosol	950	0.388	0.169	33	2.5	0.077
Artificial accumulated soil	1000	0.459	0.25	8	2.5	0.121
Dystric rankers	150	0.43	0.203	10	2.5	0.113

Table 4 Initial values of soil based parameters in UMWC

Soil Type	Thickness /mm	Saturated water content	Field Capacity	Saturated hydraulic conductivity/mm/h	b	wilting percentage
Humicacrisol	700	0.515	0.362	3	2.5	0.2
Haplic and high activitive acrisol	1000	0.517	0.369	3	2.5	0.206
Ferralic cambisol	700	0.419	0.193	15	2.5	0.1
Haplicluvisols	1000	0.55	0.501	2	2.5	0.357
Dystric cambisol	820	0.385	0.164	34	2.5	0.076
Calcaric regosol	1000	0.5	0.324	3	2.5	0.172
Dystric regosol	950	0.388	0.169	33	2.5	0.077
Haplic and weak active acrisol	1000	0.55	0.501	2	2.5	0.357
Artificial accumulated soil	1000	0.459	0.25	8	2.5	0.121
Eutricregosols and Black limestone soil	430	0.495	0.312	4	2.5	0.156
Dystric rankers	150	0.43	0.203	10	2.5	0.113

Table 5 Performances of PSO algorithm in Tiantoushui Catchment

Particle number	computation time/hours	Nash-Sutcliffe coefficient/C	correlation coefficient/R	process relative error/P	peak flow relative error/ E	water balance coefficient/W
10	21	0.793	0.896	0.319	0.086	0.894
15	13	0.849	0.925	0.235	0.077	0.903
20	12.1	0.962	0.951	0.13	0.07	0.917
25	18.6	0.852	0.927	0.237	0.056	0.884
50	45	0.862	0.932	0.242	0.043	0.885
100	86.8	0.838	0.92	0.256	0.054	0.867

Table 6 The evaluation index of the simulated flood events in Tiantoushui Catchment

Flood events	Nash-Sutcliffe coefficient/ C		correlation coefficient/ R		process relative error P(%)		peak flow relative error E(%)		water balance coefficient /W	
	(1)*1	(2)*2	(1)*1	(2)*2	(1)*1	(2)*2	(1)*1	(2)*2	(1)*1	(2)*2
flood1996071012	0.964	0.85	0.990	0.79	16.3	0.3	11.2	0.156	1.102	2.19
flood1998061811	0.862	0.613	0.930	0.876	21.4	1.946	20.8	0.397	0.963	1.194
flood2001061206	0.836	0.758	0.926	0.969	31.8	0.35	0.9	0.311	0.841	0.64
flood2007082100	0.866	0.343	0.942	0.775	13.9	0.409	0.7	0.329	0.966	0.581
flood2008061114	0.882	0.74	0.943	0.883	20.8	0.71	2.5	0.31	0.930	0.36
flood2012040607	0.792	0.766	0.893	0.891	27.0	0.764	5.0	0.115	0.913	1.058
flood2012060901	0.912	0.454	0.958	0.752	37.0	0.745	3.2	0.015	1.072	1.238
flood2012062113	0.91	0.778	0.955	0.896	0.301	0.498	0.005	0.084	0.972	0.987
average	0.88	0.66	0.94	0.85	0.25	0.72	0.06	0.21	0.97	1.03

*1: results simulated by model with optimized parameters, *2: results simulated by model with initial parameters

Table 7 The evaluation index of the simulated flood events in UMWC

Flood events	Nash-Sutcliffe coefficient/ C			correlation coefficient/ R			process relative error/ P		
	(1)*1	(2)*2	(3)*3	(1)*1	(2)*2	(3)*3	(1)*1	(2)*2	(3)*3
flood1980050620	0.906	0.610	0.810	0.958	0.831	0.931	0.168	0.480	0.288
flood1980042313	0.892	0.724	0.824	0.972	0.768	0.968	0.282	0.270	0.307
flood1981041014	0.917	0.700	0.451	0.967	0.830	0.883	0.141	0.417	0.317
flood1981040712	0.805	0.686	0.686	0.964	0.738	0.938	0.154	0.550	0.255
flood1981041310	0.739	0.796	0.796	0.938	0.758	0.958	0.221	0.260	0.265
flood1982051014	0.831	0.793	0.793	0.924	0.852	0.952	0.271	0.440	0.174
flood1983061513	0.904	0.810	0.839	0.954	0.850	0.925	0.327	0.530	0.363
flood1983022720	0.896	0.750	0.850	0.974	0.740	0.934	0.152	0.220	0.102
flood1984050310	0.971	0.800	0.816	0.989	0.684	0.980	0.085	0.380	0.388
flood1985092216	0.967	0.840	0.940	0.986	0.785	0.978	0.375	0.480	0.380
flood1987051422	0.961	0.853	0.913	0.986	0.731	0.973	0.266	0.241	0.281
flood1987052012	0.902	0.727	0.927	0.951	0.628	0.968	0.332	0.362	0.262
flood2008060902	0.850	0.756	0.800	0.923	0.825	0.820	0.140	0.414	0.214
average	0.888	0.757	0.8	0.960	0.771	0.94	0.248	0.388	0.28
Flood events	peak flow relative error/E			water balance coefficient/W					
	(1)*1	(2)*2	(3)*3	(1)*1	(2)*2	(3)*3			
flood1980050620	0.004	0.230	0.013	0.913	0.760	0.796			
flood1980042313	0.003	0.270	0.008	0.867	0.620	0.792			
flood1981041014	0.043	0.180	0.185	0.973	0.729	0.729			
flood1981040712	0.159	0.228	0.228	0.990	0.850	1.328			
flood1981041310	0.006	0.146	0.146	0.830	1.160	1.061			
flood1982051014	0.013	0.230	0.230	0.922	1.230	1.010			
flood1983061513	0.007	0.350	0.072	0.944	0.680	0.967			
flood1983022720	0.018	0.420	0.078	1.017	0.650	1.045			
flood1984050310	0.010	0.210	0.010	0.951	0.720	0.820			
flood1985092216	0.022	0.320	0.055	1.071	1.350	1.034			
flood1987051422	0.012	0.280	0.013	0.925	1.510	0.892			
flood1987052012	0.015	0.160	0.034	0.955	0.840	0.979			
flood2008060902	0.004	0.240	0.104	0.985	0.910	0.850			
average	0.024	0.251	0.09	0.949	0.924	0.95			

*1: results simulated by model with optimized parameters, *2: results simulated by model with initial parameters, *3: results simulated by model with half-automated optimized parameters