

1  
2  
3 **Improving flood forecasting capability of physically based distributed**  
4 **hydrological model by parameter optimization**  
5

6 Yangbo Chen\* Ji Li Huijun Xu  
7

8 Yangbo Chen  
9 Department of Water Resources and Environment  
10 Sun Yat-sen University  
11 Room 108, Building 572  
12 Guangzhou 510275, China  
13 Email: eescyb@mail.sysu.edu.cn  
14 Tel(fax): +86-20-84114269  
15

16 Ji Li  
17 Department of Water Resources and Environment  
18 Sun Yat-sen University  
19 Guangzhou 510275, China  
20

21 Huijun Xu  
22 Bureau of Hydrology and Water Resources of Fujiang Province  
23 Fuzhou, Fujiang, China  
24

25 \*Corresponding author: Yangbo Chen

26 Submitted date: October 1, 2015, revised date: ~~TD~~December 25, 2015January 5,

27 2016  
28  
29

## Abstract

30

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

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

62

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

65

## 66 1. Introduction

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

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

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

109 automatic optimization, Nash et. al. (1970) and O'Connell et. al. (1970) put forward a  
110 method to evaluate the accuracy of model simulation by utilizing efficiency  
111 coefficient, Ibbitt et. al. (1971) design a conceptual watershed hydrological model  
112 parameters fitting method, Duan et. al. proposed the Shuffle Complex Evolution  
113 Algorithm(SCE) (1994), Eberhart et.al proposed the Particle Swarm Optimization  
114 method (2001), Jasper et.al proposed the SCEM-UA method (2003), Chu et.al  
115 proposed the SP-UCI method (2011), among others. Now lots of parameter  
116 optimization methods for lumped hydrological models have been developed.  
117 There are also many studies to parameter optimization to semi-distributed hydrologic  
118 models, among them the most studied model is SWAT due to its open assess codes  
119 and simple model sturctures. For examples, the SCE-UA method was used to calibrate  
120 SWAT model for streamflow estimation (Ajami et. al., 2004), the remote sensing  
121 derived evapotranspiration is used to calibrate the SWAT parameters by using Gauss-  
122 Marquardt-Levenberg algorithm (Immerzeel et. al., 2008), and a multi-site calibration  
123 method with GA algorithm is also proposed for calibrating the SWAT parameters  
124 (Zhang et. al., 2008). For estimating the parameters of Hydrology Laboratory  
125 Distributed Hydrologic Model, the regularization method was studied (Pokhrel et. al.,  
126 2007).

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

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

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

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



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

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

## 205 **2. Methodology**

206 Based on the scalar concept, a general methodology for parameter optimization of the

207 physically based distributed hydrological model for catchment flood forecasting is  
208 proposed, which is applicable to all physically based, distributed hydrological models.  
209 This methodology has 3 steps, including parameter classification, parameter  
210 initialization and normalization, and automated parameter optimization.

## 211 **2.1 Parameter classification**

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

## 229 **2.2 Parameter initialization and normalization**

230 After classified the model parameters into independent parameters, the feasible values

231 of all the independent parameters will be derived from the terrain properties directly,  
232 these values, in this paper, are called the initial values of the model parameters. As  
233 mentioned above, all proposed PBDHMs have their own methods to determine the  
234 initial model parameters.

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

$$236 \quad X_i = X_i' / X_{i0} \quad (1)$$

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

### 240 **2.3 Automated parameter optimization**

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

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

## 270 **2.4 Liuxihe Model and parameter classification**

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

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

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

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

303 parameter adjusting is done one parameter by one parameter. In this way, it is very  
304 tedious and time-consuming, and takes months to adjust the parameters even in a very  
305 small catchment, so it is not highly proficiency though it could improve the model  
306 performance, and is also not a global optimization method. An automatic, global  
307 optimization method of Liuxihe Model is needed. In this study, the Liuxihe Model  
308 will be employed as the representing PBDHM.

## 309 **2.5 Improved PSO algorithm for Liuxihe Model**

### 310 **2.5.1 Principles of Particle Swarm Optimization (PSO)**

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

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

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

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

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

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

### 346 **2.5.2 Improved PSO algorithm**

347 In the early PSO algorithm, particle number,  $\omega$ ,  $C_1$  and  $C_2$  are fixed, studies showed

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

### 355 **(1) Inertia weight $\omega$**

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

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

364 Where, t is the current evolution number, T is the maximum evolution number,  $\omega_{\max}$   
365 takes the value of 0.9,  $\omega_{\min}$  takes the value of 0.1.

### 366 **(2) Acceleration coefficients C1 and C2**

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



370 different values for  $C_1$  and  $C_2$  could improve PSO's performances, and a few  
 371 methods have been proposed, such as the linear strategy (Ratnaweera et. al., 2004),  
 372 concave function strategy (Chen et. al., 2006), arccosine function strategy (Chen et.  
 373 al., 2007). In this study, the arccosine function strategy is employed to determine the  
 374 values of  $C_1$  and  $C_2$ , the equations are listed below.

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

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

375 Where  $C_{1max}$ ,  $C_{1min}$  are the maximum and minimum value of  $C_1$ , and the values of  
 376 2.75 and 1.25 are recommended,  $C_{2max}$ ,  $C_{2min}$  are the maximum and minimum values  
 377 of  $C_2$ , and the values of 2.5 and 0.5 are recommended,  $i$  is the current evolution  
 378 number.

### 379 2.5.3 PSO procedure

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

- 381 1) Choose the independent parameters to be optimized. In ~~Liuxihe Model, as the~~  
 382 ~~adjustable parameters are catigorized as highly sensitive, sensitive and less sensitive~~  
 383 ~~parameter, so in~~ the case that the computation load is a great challenge, only highly  
 384 sensitive ~~and sensitive~~ parameters ~~will be are~~ optimized, ~~otherwise, all parameters~~  
 385 ~~could be optimized~~;
- 386 2) Initialize independent parameters to be optimized and normalize them;
- 387 3) Choose optimization criterion, particle number, maximum evolution nember,  $\omega$ ,  $C_1$

388 and C2;  
389 4) Initialize every particles, i.e., determine their initial positions, and calculate the  
390 value of the current objective function;  
391 5) Evolution calculation: for every evolution, first determine the best position of every  
392 particle and the global positions of all particles, then calculate the moving directions  
393 and speeds of every particles at current evolution by using equation (2) and equation  
394 (3), finally check the optimization criterion, if it is satisfied, then the optimization end,  
395 otherwise, continue to the next evolution.

### 396 **3. Studied Catchment and Liuxihe Model Set Up**

#### 397 **3.1 Studied catchment and hydrological data**

398 Two catchments in southern China have been selected as the case study catchments.  
399 The first catchment is Tiantoushui catchment in Lechang County of Guangdong  
400 Province, it is a small watershed with a drainage area of 511km<sup>2</sup> and channel length of  
401 70km, which is a typical mountainous catchment with frequent flash flooding in  
402 southern China. Tiantoushui catchment will mainly be used to test the PSO  
403 parameters impacts to the algorithm performance, so to propose the optimal PSO  
404 parameters for the Liuxihe Model parameter optimization. As this work needs lots of  
405 model runs, so a small catchment helps to keep the running time in a feasible limit.  
406 There are 50 rain gauges within the catchment and one river flow gauges in the  
407 catchment outlet, the high density rain gauge network is built not only for flash flood  
408 forecasting, but also for some kinds of scientific experiments, this will also help to  
409 reduce the uncertainties caused by the uneven precipitation spatial distribution. Figure

410 1(a) is the sketch map of Tiantoushui Catchment with locations of rain gauges and the  
411 tributaries.

412 **Figure 1 is here**

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

417 The second studied catchment is the upper portion of Wujiang catchment in southern  
418 China, and is called in this paper the upper and middle Wujiang catchment(UMWC).  
419 UMWC is in the upper and middle stream of Wujiang catchment with a drainage area  
420 of 3622km<sup>2</sup>, flooding in the catchment is also very frequent and heavy. The purpose  
421 of studying this big catchment is to show that PSO could still work in large catchment.  
422 There is one river flow gauge in the outlet of UMWC, and 17 rain gauges within the  
423 catchment. Figure 1(b) shows the sketch map of the catchment with locations of rain  
424 gauges and the tributaries. Hydrological data of 14 flood events from UMWC has  
425 been collected, including the river flow at the catchment outlet and precipitation at  
426 each rain gauges at one hour interval, the precipitation measured by the rain gauges  
427 will also be interpolated to the grid cells employing Thiessen Polygon method.

### 428 **3.2 Property data for Liuxihe Model setting up**

429 Catchment property data used for model set up in this study are DEM, land use types  
430 and soil types, these data of the studied catchments are downloaded from the open  
431 access databases. The DEM is downloaded from the Shuttle Radar Topography

432 Mission database at <http://srtm.csi.cgiar.org>, the land use type is downloaded from  
433 <http://landcover.usgs.gov>, and the soil type is downloaded from <http://www.isric.org>.  
434 The downloaded DEM is at the spatial resolution of 90mX90m, but the other two data  
435 are at the 1000mX1000m spatial resolution, so they are rescaled to the spatial  
436 resolution of 90mX90m. Figure 2 and Figure 3 show the property data of DEM, land  
437 use types and soil types of the two catchments respectively.

438 **Figure 2 is here**

439 **Figure 3 is here**

440 In the Tiantoushui Catchment, the highest, lowest and average elevation are 1874 m,  
441 174 m and 782 m respectively. There are 4 land use types, including evergreen  
442 coniferous forest, evergreen broadleaved forest, bush and farmland, accounting for  
443 27.6%, 36.5%, 25.5%, and 10.4% of the total catchment area respectively. There are  
444 10 soil types, including water body, Humicacrisol, Haplic and high activitive acrisol,  
445 Ferralic cambisol, Haplic luvisols, Dystric cambisol, Calcaric regosol, Dystric regosol,  
446 Artificial accumulated soil and Dystric rankers, accounting for 4.8%, 56.5%, 1.7%,  
447 3.4%, 6.5%, 4.5%, 0.7%, 5.6%, 9.8% and 6.5% of the total catchment area  
448 respectively.

449 In the UMWC catchment, the highest, lowest and average elevation are 1793 m, 170  
450 m and 982 m respectively. There are 8 land use types, including evergreen coniferous  
451 forest, evergreen broadleaved forest, shrub, sparse wood, mountains and alpine  
452 meadow, slope grassland, lakes and cultivated land, accounting for 26.4%, 24.3%,  
453 35%, 2.1%, 0.1%, 2.6%, 0.5% and 9.1% of the total catchment area respectively.  
454 There are 12 soil types, including water body, Humicacrisol, Haplic and high  
455 activitive acrisol, Ferralic cambisol, Haplic luvisols, Dystric cambisol, Calcaric  
456 regosol, Dystric regosol, Haplic and weak active acrisol, Artificial accumulated soil,

457 Eutricregosols and Black limestone soil and Dystric rankers, accounting for 4.8%,  
458 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  
459 catchment area respectively.

### 460 **3.3 Liuxihe Model set up**

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

473 **Figure 4 is here**

474 The Liuxihe Model is also set up in UMWC, the Catchment is first divided into  
475 460695 grid cells using the DEM with grid cell size of 90mx90m. The river channel  
476 system is treated as a 3-order channel system, and 3295 river channel cells and  
477 457400 hill slope cells have been produced respectively. 32 nodes have been set on  
478 UMWC, and their cross-section sizes have been estimated by referencing to satellite  
479 remote sensing images. The Liuxihe Model structure of UMWC is shown in Figure  
480 4(b).

### 481 **3.4 Determination of initial parameter values**

482 In Liuxihe Model, the flow direction and slope are two unadjustable parameters which  
483 will be derived from the DEM, and will remain unchanged. Based on the DEM shown  
484 in Figure 1(a), the flow direction and slope of the studied catchments are derived. The  
485 other parameters are adjustable parameters, which need initial values for further  
486 optimization. Evaporation capacity is a climate based parameter, and its initial value  
487 is set to 5mm/d at both catchment based on the observation near the catchment outlet.  
488 Evaporation coefficient and roughness are land use based parameters, and are  
489 less-sensitive parameters in Liuxihe Model, the initial values of evaporation  
490 coefficient are set to 0.7 at both catchments as recommended by Liuxihe Model (Chen,  
491 2009), while the initial values of roughness are derived based on reference (Wang et.  
492 al., 1997) and are listed in Table 1 and table 2 respectively for the two catchments.

493 **Table 1 is here**

494 **Table 2 is here**

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

506

[Table 3 is here](#)

507

[Table 4 is here](#)

508

## **4. Discussions and results**

509

### **4.1 Impacting of particle number to PSO performance and the**

510

#### **determination of appropriate particle number**

511

Particle number is an important parameter of PSO, to understand the impact of the

512

particle number to the PSO performance and to determine the appropriate particle

513

number, 6 values of particle number, including 10, 15, 20, 25, 50 and 100 have been

514

used to optimize the model parameters of Liuxihe Model setting up in Tiantoushui

515

Catchment, while maximum evolution number is set to 50,  $\omega$ , C1 and C2 are

516

dynamically adjusted with equation (4), equation (5) and equation (6), and flood event

517

flood2006071409 is used to do this calculation. 5 evaluation indices, including

518

Nash-Sutcliffe coefficient C, correlation coefficient R, process relative error P(%),

519

peak flow relative error E(%) and The coefficient of water balance W(%) have been

520

computed, and listed in Table 5, the computation times for each optimization also

521

have been listed in Table5.

522

[Table 5 is here](#)

523

We first analysis the impact of particle number to the computation time. From the

524

results of table 5 we found that with the increasing of the particle number from 10 to

525

100, the computation time used decreases first, but when the particle number is bigger

526

than 20, the computation time increases then, and when the particle number is 20, the

527

computation time is 12.1 hours, which is the shortest among others. This means that

528

particle number impacts the computation time used in optimization, the small and big

529 particle number is not the best particle number, there exist an appropriate particle  
530 number to make the optimization at the least time. In the Tiantoushui Catchment, 20 is  
531 an appropriate particle number from the view of computational efficiency.

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

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



## 552 **4.2 PSO's Convergence**

553 PSO algorithm is an evolution algorithm, its searching process is an iteration process,  
554 so the convergence is a key issue, i.e., the algorithm should convergence to its optimal  
555 state in a limited iteration number, otherwise it could not be used practically. In PSO,  
556 the iteration is called evolution, one iteration is called one evolution. To explore  
557 PSO's convergence, we first draw the optimization evolution process of PSO in  
558 Tiantoushui Catchment in Figure 5, both the objective and parameter evolution  
559 processes are included.

560 **Figure 5 is here**

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

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

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

576

**Figure 6 is here**

577 From Figure 6 we also found that during the evolution process, the objective function  
578 steadily decreases, but the parameters do not increase or decrease in a constant way,  
579 the changing patten is similar with that shown in Figure 5. After 25 evolutions, most  
580 of the parameters converge to their optimal values, with about 30 evolutions, all of the  
581 parameters converge to their optimal values. The patten in UMWC is the same with  
582 that in Tiantoushui Catchment.

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

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

### 593 **4.3 Computational Efficiency**

594 The computation time needed for physically based distributed hydrological model run  
595 is huge, for the parameter optimization, many many model runs are needed, so the  
596 computation time needed for the parameter optimization is also a key factor to impact  
597 the performance of the PSO. From Table 5, we know in Tiantoushui Catchment, the  
598 computation time for parameter optimization is about 12 hours, this is acceptable. The

599 time needed for parameter optimization in UMWC is about 82.6 hours, it is also  
600 acceptable. The computer used for this study is a general server, but if use advanced  
601 computer, the time needed could be reduced largely.

#### 602 **4.4 Model validation in Tiantoushui Catchment**

603 The parameters of Liuxihe Model in Tiantoushui Catchment have been optimized by  
604 employing PSO algorithm proposed in this paper, the particle number used is 20,  
605 maximum evolution number is set to 50,  $\omega$ , C1 and C2 are dynamically adjusted with  
606 equation (4), equation (5) and equation (6), flood event flood2006071409 is used to  
607 optimize the parameters.

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

614 **Figure 7 is here**

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

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

622 **Table 6 is here**

623 From Table 6 we found that the 5 evaluation indices have been improved by

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

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

#### 639 **4.6 Model validation in UMWC**

640 The parameters of Liuxihe Model in UMWC have been optimized by employing PSO  
641 algorithm proposed in this paper, the particle number and maximum evolution number  
642 are also set to 20 and 50 respectively,  $\omega$ , C1 and C2 are dynamically adjusted with  
643 equation (4), equation (5) and equation (6), flood event flood1985052618 is used to  
644 optimize the parameters.

645 The other 13 observed flood events of UMWC are simulated by the model with  
646 parameters optimized above, Figure 8 shows 4 of the simulated hydrographes. To

647 compare, the flood events also have been simulated with the parameters optimized  
648 with a half-automated parameter adjusting method (Chen, 2009), and the results are  
649 also shown in Figure 8. From the simulated results, it has been found that the 13  
650 simulated hydrographes fit the observed hydrographes well, particularly the simulated  
651 peak flow is quite good, this conclusion is the same with the results in Tiantoushui  
652 Catchment. From the results we also found that the model with initial parameter  
653 values do not simulate the observed flood event satisfactorily, the simulated results  
654 with parameters optimized with a half-automated parameter adjusting method is a big  
655 improvement to that simulated with the initial model parameters, but the simulated  
656 results with the PSO optimized model parameters are the best among the three results.

657 **Figure 8 is here**

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

661 **Table 7 is here**

662 From Table 7 we found that the 5 evaluation index have been improved by parameter  
663 optimization at different extent. For the results simulated by the model with initial  
664 parameters, the 5 evaluation indices, including the Nash-Sutcliffe coefficient,  
665 correlation coefficient, process relative error, peak flow relative error and water  
666 balance coefficient, have an average values of 0.757, 0.771, 38.8%, 25.1% and 0.924  
667 respectively. While for the results simulated by the model with optimized parameters,  
668 the 5 evaluation indices have average values of 0.888, 0.960, 24.8%, 2.4% and 0.949  
669 respectively. The peak flow relative error has been reduced from 25.1% to 2.4% after

670 parameter optimization, that is 90.44% down and also the biggest improvement  
671 among the 5 evaluation indices. While the average Nash-Sutcliffe coefficient has a  
672 17.31% increasing, the correlation coefficient a 24.51% increasing, process relative  
673 error a 36.08% decreasing and water balance coefficient a 2.71% increasing. The  
674 results have similar trend with that in Tiantoushui Catchment, this also implies that  
675 with parameter optimization by using the PSO algorithm proposed in this paper, the  
676 model performance of Liuxihe Model for catchment flood forecasting has been  
677 improved in UMWC Catchment, i.e., even for a larger catchment, PSO works well for  
678 Liuxihe Model. Liuxihe Model's capability for catchment flood forecasting could be  
679 improved by parameter optimization with PSO algorithm, and Liuxihe Model  
680 parameter optimization is necessary.

## 681 **5. Conclusion**

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

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

693 2) Capability of physically based distributed hydrological model for catchment flood

694 forecasting, specifically the Liuxihe Model studied in this paper, could be improved  
695 largely by parameter optimization with PSO algorithm, and the model performance is  
696 quite good with the optimized parameters to satisfy the requirement of real-time  
697 catchment flood forecasting.

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

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

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

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

710 **Acknowledgements:** This study is supported by the Special Research Grant for  
711 the Water Resources Industry(funding no. 201301070), the National Science &  
712 Technology Pillar Program during the Twentieth Five-year Plan Period(funding no.  
713 2012BAK10B06), the Science and Technology Program of Guangdong  
714 Province(funding no.2013B020200007) and Water Resources Science Program of  
715 Guangdong Province(funding no. 2009-16).

## 716 **References**

- 717 [1] Abbott, M.B. et al.:An Introduction to the European Hydrologic System-System Hydrologue  
718 European, 'SHE', a: History and Philosophy of a Physically-based, Distributed Modelling  
719 System, *Journal of Hydrology*, 87, 45-59, 1986.
- 720 [2] Abbott, M.B. et al.: An Introduction to the European Hydrologic System-System Hydrologue  
721 European, 'SHE', b: Structure of a Physically based, distributed modeling System, *Journal of*  
722 *Hydrology*, 87, 61-77, 1986.
- 723 [3] Acharjee, P., Goswami, S. K.:Chaotic particle swarm optimization based robust load flow,  
724 *International Journal of Electrical Power & Energy Systems*, 32(2),141-146, 2010.
- 725 [4] Ajami,N.K.,Gupta H., Wagener,T.,Sorooshian, S.:Calibration of a semi-distributed  
726 hydrologic model for streamflow estimation along a river system, *Journal of Hydrology*,  
727 298,112-135, 2004.
- 728 [5] Ambroise, B., Beven, K., and Freer, J.:Toward a generalization of the TOPMODEL concepts:  
729 Topographic indices of hydrologic similarity, *Water Resources Research*, 32, 2135-2145,1996.
- 730 [6] Arnold ,J.G., Williams,J.R., Srinivasan R.:SWAT:Soil water assessment tool,US Department  
731 of Agriculture, Agricultural Research Service, Grassland, Soil and Water Research  
732 Laboratory,Temple, Texas,USA,1994.
- 733 [7] Arya, L.M., and Paris, J.F.: An empirical model to predict the soil moisture characteristic  
734 from particle-size distribution and bulk density data,*Soil Sci. Soc. Am. J*,45, 1023-1030,1981.
- 735 [8] Bahareh, K. S., Mousavi, J. and Abbaspour, K.C.: Automatic calibration of HEC-HMS using  
736 single-objective and multi-objective PSO algorithms , *Hydrol.Process.* 27 ,4028-4042, 2013.
- 737 [9] Beven, K, Lamb, R., Quinn, P., Romanowicz, R. & Freer, J. (1995) TOPMODEL. In.  
738 *Computer Models of Watershed Hydrology* (ed. by V. Singh), 627–668. Baton Rouge, Florida,  
739 USA.
- 740 [10] Carpenter, T.M., Georgakakos, K.P., and Sperflagea,J.A.:On the parametric and  
741 NEXRAD-radar sensitivities of a distributed hydrologic model suitable for operational use,  
742 *Journal of Hydrology*, 253,169-193,2001.
- 743 [11] Chen, G., Jia, J., and Han, Q.:Study on the Strategy of Decreasing Inertia Weight in Particle  
744 Swarm Optimization Algorithm , *Journal of Xi'an Jiantong University*, 40,53-56,2006.
- 745 [12] Chen, S., Cai G. R.,et.al.:Study on the Nonlinear Strategy of Acceleration Coefficient in  
746 Particle Swarm Optimization (PSO) Algorithm ,*Journal of Yangtze University(Nat Sci Edit)*,  
747 1-4, 2007.



- 748 [13] Chen, Y.: Liuxihe Model, Beijing, Science Press, 198pp, 2009.
- 749 [14] Chen, Y., Ren, Q.W., Huang, F.H., Xu, H.J., and Cluckie, I.: Liuxihe Model and its modeling to  
750 river basin flood, Journal of Hydrologic Engineering, 16, 33-50, 2011.
- 751 [15] Chen Y., Zhu X., Han J., Cluckie I.: CINRAD data quality control and precipitation estimation,  
752 Water Management, 162(WM2), 95-105, 2009.
- 753 [16] Chu, W., Gao, X., and Sorooshian, S.: A new evolutionary search strategy for global  
754 optimization of high-dimensional problems, Information Sciences, 181, 4909-4927, 2011.
- 755 [17] Chuang, L. Y., Hsiao, C. J., Yang, C. H.: Chaotic particle swarm optimization for data clustering,  
756 Expert Systems with Applications, 38(12), 14555-14563, 2011.
- 757 [18] Crawford, N. H. & Linsley, R. K.: Digital simulation in hydrology, Stanford Watershed  
758 Model IV. Stanford Univ. Dep. Civ. Eng. Tech. Rep. 39, 1966.
- 759 [19] Dawdy, D.R., and O'Donnell, T.: Mathematical models of catchment behavior, J. Hydraul.  
760 Div. ASCE, 91, 123-137, 1965.
- 761 [20] De Smedt, F., Liu, Y.B., Gebremeskel, S.: Hydrological modeling on a watershed scale using  
762 GIS and remote sensed land use information. In: Brebbia, C.A. (Ed.), Risk Analyses. WIT  
763 press, Southampton, Boston, p. 10, 2000.
- 764 [21] Derakhshan, H., Talebbeydokhti N.: Rainfall disaggregation in non-recording gauge stations  
765 using space-time information system. Scientia Iranica, Vol. 18(5), pp. 995-1001, 2011.
- 766 [22] Dorigo, M., Maniezzo, V., and Coloni, A.: Ant system: optimization by a colony of  
767 cooperating agents. Systems, Man, and Cybernetics, Part B: Cybernetics, IEEE Transactions  
768 on, 26, 29-41, 1996.
- 769 [23] Duan, Q., Sorooshian, S., and Gupta, V.K.: Optimal use of the SCE-UA global optimization  
770 method for calibrating watershed models, Journal of Hydrology, 158, 265-284, 1994.
- 771 [24] Eberhart, R.C., and Shi, Y.: Tracking and optimizing dynamic systems with particle swarms,  
772 IEEE, 2001.
- 773 [25] Eberhart, R.C., and Shi, Y.: Particle swarm optimization: developments, applications and  
774 resources, 2001.
- 775 [26] El-Gohary, A., Al-Ruzaiza, A. S.: Chaos and adaptive control in two prey, one predator system  
776 with nonlinear feedback, Chaos, Solitons & Fractals, 34(2), 443-453, 2007.
- 777 [27] Falorni, G., Teles, V., Vivoni, E.R., Bras, R.L., Amaratunga, K.S.: Analysis and  
778 characterization of the vertical accuracy of digital elevation models from the Shuttle Radar  
779 Topography Mission. J. Geophys. Res. F: Earth Surface, 110 (2), 2005.
- 780 [28] Franchini, M.: Use of a genetic algorithm combined with a local search for the automatic  
781 calibration of conceptual rainfall-runoff models, Hydrological Sciences Journal,  
782 41, 21-39, 1996.
- 783 [29] Freeze, R. A., and Harlan, R.L.: Blueprint for a physically-based, digitally simulated,  
784 hydrologic response model, Journal of Hydrology, 9, 237-258, 1969.
- 785 [30] Fulton R. A., Breidenbach J. P. and Seo D-J., et al.: The WSR-88D rainfall algorithm. Weather  
786 and Forecasting, 13, 377-395, 1998.
- 787 [31] Goldberg, D.E.: Genetic algorithms in search, optimization and machine learning: Reading,  
788 MA: Addison-Wesley, 1989.
- 789 [32] Grayson, R.B., Moore, I. D., and McMahon, T.A.: Physically based hydrologic modeling: I. A  
790 Terrain-based model for investigative purposes, Water Resources Research,  
791 28, 2639-2658, 1992.

- 792 [33] Gupta, H.V., Sorooshian, S., Yapo, P.O.: Toward improved calibration of hydrological models:  
793 multiple and non-commensurable measures of information. Water Resour. Res. 34 (4),  
794 751-763, 1998.
- 795 [34] Hendrickson, J.D., Sorooshian, S., and Brazil, L.E.: Comparison of Newton-type and direct  
796 search algorithms for calibration of conceptual rainfall-runoff models, Water Resources  
797 Research, 24,691-700,1988.
- 798 [35] Holland, J.H.: Adaptation in natural and artificial systems: An introductory analysis with  
799 applications to biology, control, and artificial intelligence, Cambridge, MA: University of  
800 Michigan Press, 1975.
- 801 [36] Hooke, R., and Jeeves, T.A.: "Direct Search" Solution of Numerical and Statistical  
802 Problems, Journal of the ACM (JACM), 8, 212-229, 1961.
- 803 [37] Ibbitt, R.P., and O'Donnell, T.: Designing conceptual catchment models for automatic fitting  
804 methods, IAHS Publication, 101, 462-475, 1971.
- 805 [38] Immerzeel, W.W., Droogers, P.: Calibration of a distributed hydrological model based on  
806 satellite evapotranspiration, Journal of Hydrology, 349, 411-424, 2008.
- 807 [39] Jasper, A., Vrugt, H. V., Gupta, W.B.: A Shuffled Complex Evolution Metropolis algorithm  
808 for optimization and uncertainty assessment of hydrologic model parameters, Water  
809 Resources Research, 39, 1201, 2003.
- 810 [40] Jeraldin, A. D., and Anitta, T.: PSO tuned PID-based Model Reference Adaptive Controller  
811 for coupled tank system, Applied Mechanics and Materials Trans Tech Publications,  
812 Switzerland doi:10.4028/www.scientific.net/AMM.626.167, 626 pp, 167-171, 2014.
- 813 [41] Jia, Y., Ni, G., and Kawahara, Y.: Development of WEP model and its application to an urban  
814 watershed, Hydrological Processes, 15, 2175- 2194, 2001.
- 815 [42] Julien, P.Y., Saghafian, B., and Ogden, F. L.: Raster-Based Hydrologic Modeling of  
816 spatially-Variied Surface Runoff, Water Resources Bulletin, 31, 523-536, 1995.
- 817 [43] [Kavvas, M., Chen, Z., Dogrul, C., Yoon, J., Ohara, N., Liang, L., Aksoy, H., Anderson, M.,](#)  
818 [Yoshitani, J., Fukami, K., and Matsuura, T. \(2004\). "Watershed Environmental Hydrology](#)  
819 [\(WEHY\) Model Based on Upscaled Conservation Equations: Hydrologic Module." J. Hydrol.](#)  
820 [Eng., 10.1061/\(ASCE\)1084-0699\(2004\)9:6\(450\), 450-464.](#)
- 821 [42][44] [Kavvas, M., Yoon, J., Chen, Z., Liang, L., Dogrul, E., Ohara, N., Aksoy, H., Anderson,](#)  
822 [M., Reuter, J., and Hackley, S. \(2006\). "Watershed Environmental Hydrology Model:](#)  
823 [Environmental Module and Its Application to a California Watershed." J. Hydrol. Eng.,](#)  
824 [10.1061/\(ASCE\)1084-0699\(2006\)11:3\(261\), 261-272.](#)
- 825 [43][45] Kennedy, J., Eberhart, R.: Particle swarm optimization: Proceedings., IEEE International  
826 Conference on Neural Networks, 1995, Piscataway NJ, 1995[C]. IEEE Service Center.
- 827 [44][46] Kirkpatrick, S., Gelatt, C.D., and Vecchi, M.: Optimization by simulated annealing.  
828 science, 220, 671-680, 1983.
- 829 [45][47] Kouwen, N.: WATFLOOD: A Micro-Computer based Flood Forecasting System based  
830 on Real-Time Weather Radar, Canadian Water Resources Journal, 13, 62-77, 1988.
- 831 [46][48] Laloy, E., Fashbender, D., Bielders, C.L.: Parameter optimization and uncertainty  
832 analysis for plot-scale continuous modeling of runoff using a formal Bayesian approach. J.  
833 Hydrol. 380 (1-2), 82-93, 2010.
- 834 [47][49] Leila, O., Miguel, A., and Mariño, A. A.: Multi-reservoir Operation Rules: Multi-swarm  
835 PSO-based Optimization Approach, Water Resour Manage 26, 407-427, 2012.

带格式的: 字体: 五号, 非倾斜

带格式的: 定义网格后自动调整  
右缩进, 编号 + 级别: 1 + 编号样  
式: 1, 2, 3, ... + 起始编号: 1 +  
对齐方式: 左侧 + 对齐位置: 0  
厘米 + 制表符后于: 0.74 厘米 +  
缩进位置: 0.75 厘米, 孤行控制,  
调整中文与西文文字的间距, 调  
整中文与数字的间距

- 836 | ~~{48}~~[50] Leta O. T, Nossent J., Velez C., Shrestha N. K., Griensven, A. and Bauwens W.:  
837 | Assessment of the different sources of uncertainty in a SWAT model of the River Senne  
838 | (Belgium), *Environmental Modelling & Software*, 68, 129-146, 2015.
- 839 | ~~{49}~~[51] Liang, X., Lettenmaier, D.P., Wood, E.F., and Burges, S.J.:A simple hydrologically  
840 | based model of land surface water and energy fluxes for general circulation models, *J.*  
841 | *Geophys. Res.*, 99,14415-14428,1994.
- 842 | ~~{50}~~[52] Loveland, T.R., Merchant, J.W., Ohlen, D.O., and Brown, J.F.:Development of a Land  
843 | Cover Characteristics Data Base for the Conterminous U.S., *Photogrammetric Engineering*  
844 | *and Remote Sensing*, 57(11), 1453-1463, 1991.
- 845 | ~~{51}~~[53] Loveland, T.R., Reed, B.C., Brown, J.F., Ohlen, D.O., Zhu, J, Yang, L., and Merchant,  
846 | J.W.: Development of a Global Land Cover Characteristics Database and IGBP DISCover  
847 | from 1-km AVHRR Data. *International Journal of Remote Sensing*, 21( 6-7), 1303-1330,  
848 | 2000.
- 849 | ~~{52}~~[54] Madsen, H.:Parameter estimation in distributed hydrological catchment modelling using  
850 | automatic calibration with multiple objectives, *Advances in Water Resources*, 26,205-216,  
851 | 2003.
- 852 | ~~{53}~~[55] Masri, S.F., Bekey, G.A., and Safford, F.B.:A global optimization algorithm using  
853 | adaptive random search, *Applied mathematics and computation*, 7,353-375,1980.
- 854 | ~~{54}~~ [Mauricio, Z.B., and Rodrigo, R.: A model independent Particle Swarm Optimisation  
855 | software for model calibration, \*Environmental Modelling & Software\*, 1-21, 2013.](#)
- 856 | ~~{55}~~[56] Nash, J.E., and Sutcliffe, J.V.:River flow forecasting through conceptual models part I  
857 | -A discussion of principles,*Journal of Hydrology*, 10,282-290,1970.
- 858 | ~~{56}~~[57] Nelder, J.A., and Mead, R.:A simple method for function minimization,*The computer*  
859 | *journey*, 7,308-313,1965.
- 860 | ~~{57}~~[58] O'Connell, P. E, Nash,J.E., and Farrell, J.P.:River flow forecasting through conceptual  
861 | models part II -The Brosna catchment at Ferbane,*Journal of Hydrology*, 10,317-329,1970.
- 862 | ~~{58}~~[59] Pokhrel, P., Gupta, H. V. ,and Wagener,T.:A spatial regularization approach to parameter  
863 | estimation for a distributed watershed model, *Water Resour. Res.*, 44, W12419,  
864 | doi:10.1029/2007WR006615, 2008.
- 865 | ~~{59}~~[60] Pokhrel, P., Yilmaz, K. K., Gupta, H.V.:Multiple-criteria calibration of a distributed  
866 | watershed model using spatial regularization and response signatures, *Journal of*  
867 | *Hydrology*,418-419,49-60,2012.
- 868 | ~~{60}~~[61] Poli, R.: Analysis of the publications on the applications of particle swarm optimisation.  
869 | *Journal of Artificial Evolution and Applications*, 1-10, 2008.
- 870 | ~~{61}~~[62] Poli, R., Kennedy, J., Blackwell, T.: Particle swarm optimization. *Swarm Intelligence*, 1,  
871 | 33-57, 2007.
- 872 | ~~{62}~~[63] Ratnaweera ,A., Halgamuge,S. K., and Watson ,H. C.:Self-organizing hierarchical  
873 | particle swarm optimizer with time-varying acceleration coefficients, *Evolutionary*  
874 | *Computation*, *IEEE Transactions on*, 8,240-255,2004.
- 875 | ~~{63}~~[64] Reed, S., Koren, V., Smith, M., Zhang, Z., Moreda, F., Seo, D.-J., DMIP participants:  
876 | Overall distributed model intercomparison project results. *J. Hydrol.* 298 (1-4), 27-60, 2004.
- 877 | ~~{64}~~[65] Refsgaard, J.C., Storm, B.: Construction, calibration and validation of hydrological  
878 | models. In: Abbott, M.B., Refsgaard, J.C. (Eds.), *Distributed Hydrological Modelling*.  
879 | Kluwer Academic, pp. 41-54, 1996.

带格式的: 字体颜色: 红色

880 | ~~{65}~~[66] Refsgaard, J.C.: Parameterisation, calibration and validation of distributed hydrological  
881 | models, *Journal of Hydrology*, 198, 69–97, 1997.

882 | ~~{66}~~[67] Resffa ,F., O' Castillo., Fevrier, V., and Leticia, C.:Design of Optimal Membership  
883 | Functions for Fuzzy Controllers of the Water Tank and Inverted Pendulum with PSO  
884 | Variants , IFSA World Congress and NAFIPS Annual Meeting (IFSA/NAFIPS), 1068-1073,  
885 | 2013.Rosenbrock, H.H.:An automatic method for finding the greatest or least value of a  
886 | function,*The computer journey*, 3,175-184,1960.

887 | ~~{67}~~[68] Richard ,A., et.al.:Comparison of Stochastic Optimization Algorithms in Hydrological  
888 | Model Calibration , DOI:10.1061/(ASCE)HE.1943-5584.0000938, American Society of  
889 | Civil Engineers, 2004.

890 | ~~{68}~~[69] Shafii, M. and Smedt, F. De: Multi-objective calibration of a distributed hydrological  
891 | model (WetSpa) using a genetic algorithm, *Hydrol. Earth Syst. Sci.*, 13, 2137–2149, 2009.

892 | ~~{69}~~[70] Sharma, A., Tiwari, K.N.: A comparative appraisal of hydrological behavior of SRTM  
893 | DEM at catchment level, *Journal of Hydrology*, 519,1394-1404, 2014.

894 | ~~{70}~~[71] Sherman, L. K.:Streamflow from Rainfall by the Unit-Graph Method, *Eng. News-Rec.*  
895 | 1932, 108, 501-505.

896 | ~~{71}~~[72] Shi, Y., and Eberhart, R. C.:A modified particle swarm optimizer,1998.

897 | ~~{72}~~[73] Shi, Y., and Eberhart ,R .C.: Fuzzy adaptive particle swarm optimization, 2001.

898 | ~~{73}~~[74] Shu X.J.,et.al. :Application of PEST in the Parameter Calibration of Wetspa Distributed  
899 | Hydrological Model,*Journal of China Hydrology*, 29,45-49, 2009.

900 | ~~{74}~~[75] Singh, V. P.: *Computer Models of Watershed Hydrology*, Water Resources Publications,  
901 | Colorado, 1995.

902 | ~~{75}~~[76] Smith, M.B., Seo, D.-J., Koren, V.I., Reed, S., Zhang, Z., Duan, Q.-Y., Cong, S., Moreda,  
903 | F., Anderson, R.:The distributed model intercomparison project (DMIP): motivation and  
904 | experiment design. *J. Hydrol.* 298 (1-4), 4-26, 2004.

905 | ~~{76}~~[77] Song, S. L., Kong, L., Gan, Y., et al.:Hybrid particle swarm cooperative optimization  
906 | algorithm and its application to MBC in alumina production, *Progress in Natural*  
907 | *Science*,18(11),1423-1428, 2008.

908 | ~~{77}~~[78] Sorooshian, S., Gupta,V.K., and Fulton, J. L.:Evaluaiion of maximum likelihood  
909 | parameter estimation techniques for conceptual rainfall-runoff models:Influence of  
910 | calibration data variability and length on model credibility, *Water Resources Research*,  
911 | 19,251-259,1983.

912 | ~~{78}~~[79] Sorooshian, S.,Gupta, V. K.:Model calibration. In: Singh VP, editor. *Computer models*  
913 | *of watershed hydrology*. Colorado: Water Resources Publications; 1995. p. 23-68.

914 | ~~{79}~~[80] Storn, R., Price, K.:Differential evolution e a simple and efficient heuristic for global  
915 | optimization over continuous spaces. *Journal of Global Optimization*, 11, 341-359, 1997.

916 | ~~{80}~~[81] Tang, Y., Reed, P., and Wagener, T.: How effective and efficient are multiobjective  
917 | evolutionary algorithms at hydrologic model calibration?, *Hydrol. Earth Syst. Sci.*, 10,  
918 | 289-307, 2006.

919 | ~~{81}~~[82] Vieux, B. E., and Vieux, J. E.:Vflo<sup>TM</sup>: A Real-time Distributed Hydrologic Model[A].  
920 | In:Proceedings of the 2nd Federal Interagency Hydrologic Modeling Conference, July  
921 | 28-August 1, Las Vegas, Nevada. Abstract and paper on CD-ROM, 2002.

922 | ~~{82}~~[83] Vieux, B.E., Moreda, F.G.:Ordered physics-based parameter adjustment of a distributed  
923 | model. In: Duan, Q., Sorooshian, S., Gupta, H.V., Rousseau, A.N., Turcotte, R. (Eds.),

924 Advances in Calibration of Watershed Models. Water Science and Application Series, vol. 6.  
 925 American Geophysical Union, pp. 267-281. ISBN:0-87590-335-X (Chapter 20) , 2003.

926 | ~~[83]~~[84] Vieux, B.E.:Distributed Hydrologic Modeling Using GIS, second ed. Water Science  
 927 Technology Series, vol. 48. ISBN:1-4020-2459-2. Kluwer Academic Publishers, Norwell,  
 928 Massachusetts, p. 289, 2004.

929 | ~~[84]~~[85] Vieux, B.E., Cui Z., Gaur A.: Evaluation of a physics-based distributed hydrologic  
 930 model for flood forecasting, Journal of Hydrology, 298, 155-177, 2004.

931 | ~~[85]~~[86] Wigmosta, M. S., Vai, L. W., and Lettenmaier, D. P.: A Distributed  
 932 Hydrology-Vegetation Model for Complex Terrain,Water Resources Research,  
 933 30,1665-1669,1994.

934 | ~~[86]~~[87] Vrugt, J., Robinson, B.: Improved evolutionary optimization from genetically adaptive  
 935 multimethod search. Proceedings of The National Academy of Sciences of The United States  
 936 of America, 104, 708-711, 2007.

937 | ~~[87]~~[88] Wang, Z., Batelaan, O., De Smedt, F.: A distributed model for water and energy transfer  
 938 between soil, plants and atmosphere (WetSpa). Journal of Physics and Chemistry of the Earth  
 939 21, 189-193, 1997.

940 | ~~[88]~~[89] Yang, D., Herath ,S. and Musiake, K.:Development of a geomorphologic properties  
 941 extracted from DEMs for hydrologic modeling,Annual journal of Hydraulic Engineering,  
 942 JSCE, 47,49-65,1997.

943 | ~~[89]~~[90] Zambrano-Bigiarini, M., Rojas, R.;; A model-independent Particle Swarm Optimisation  
 944 software for model calibration, Environmental Modelling & Software, 43, 5-25,(2013),-  
 945 <http://dx.doi.org/10.1016/j.envsoft.2013.01.004>

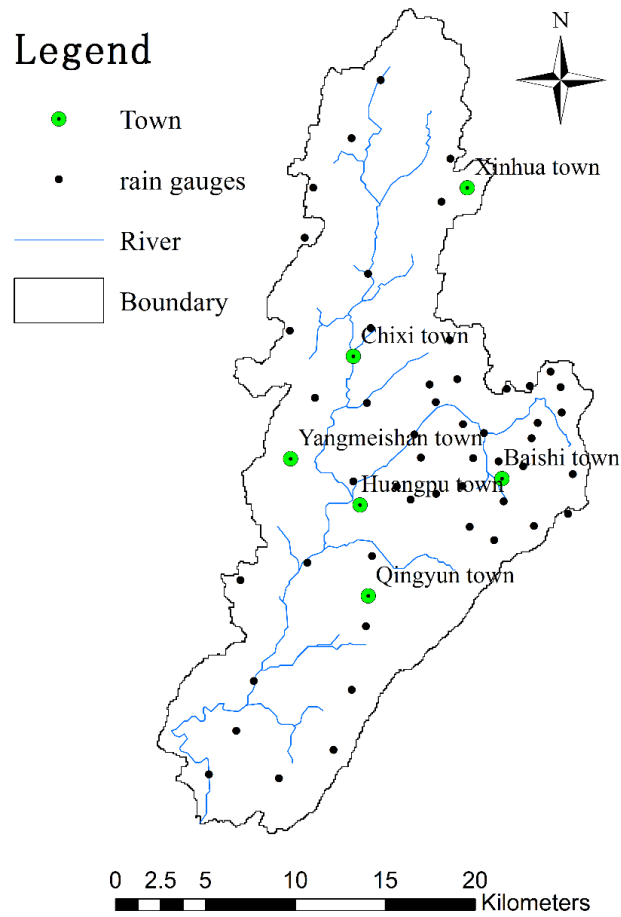
946 | ~~[90]~~[91] Zhang, X.,Srinivasan,R., Liew, M. V.:Multi-site calibration of the SWAT model for  
 947 hydrologic modeling, Transactions of the ASABE,Vol. 51(6): 2039-2049,2008.

948 | ~~[91]~~[92] Zhao, R. J.:Flood Forecasting Method for Humid Regions of China. East China College  
 949 of Hydraulic Engineering, Nanjing, China, 1977.

950

951 **Figures**

952

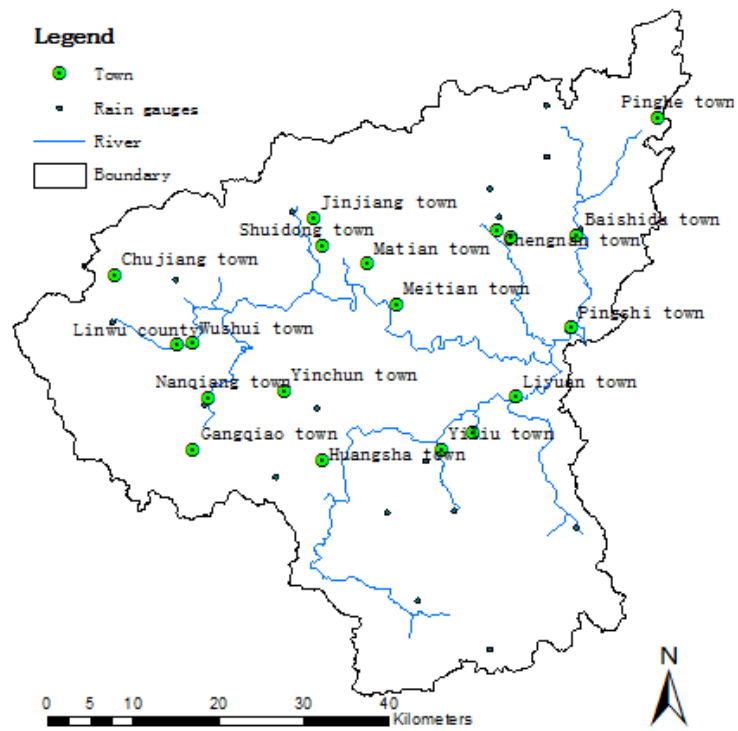


953

954

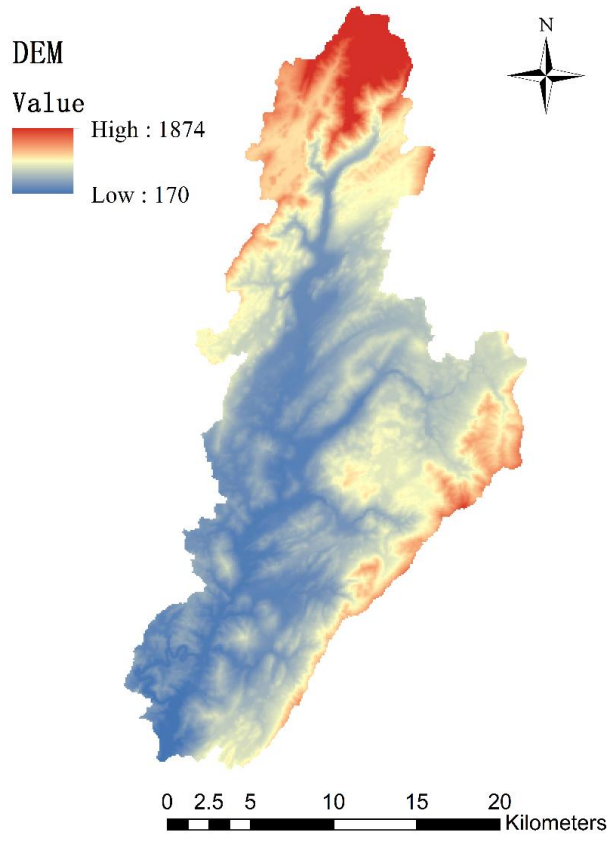
955

(a) Tiantoushui Catchment



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

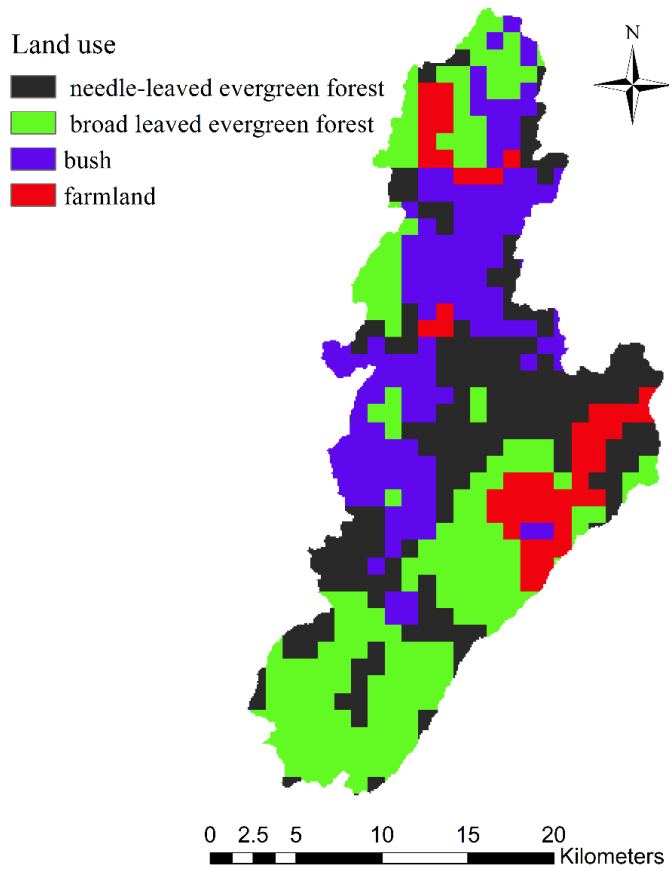
956  
957  
958  
959  
960



961  
962

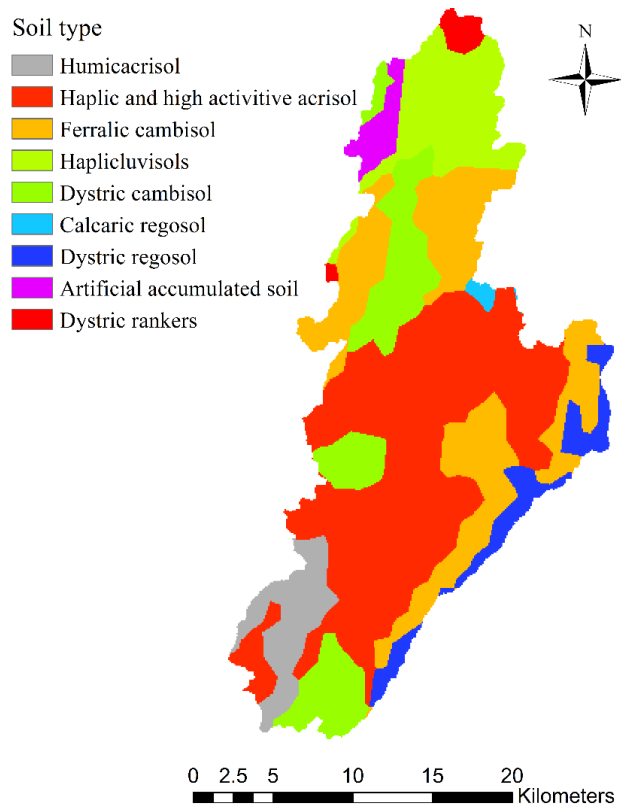
(a) DEM





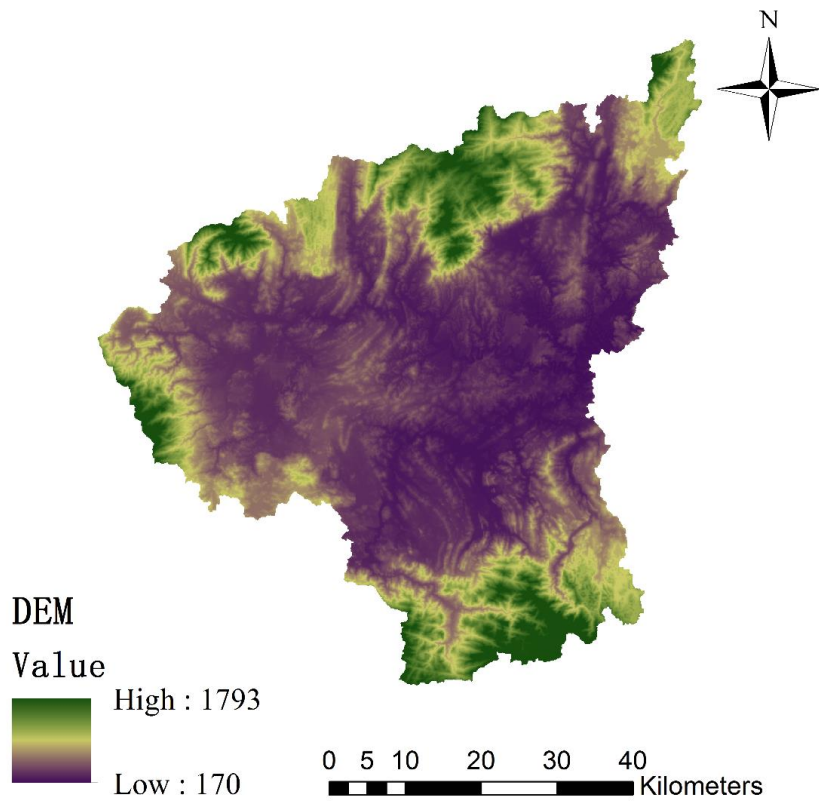
963  
964

(b) Land use type



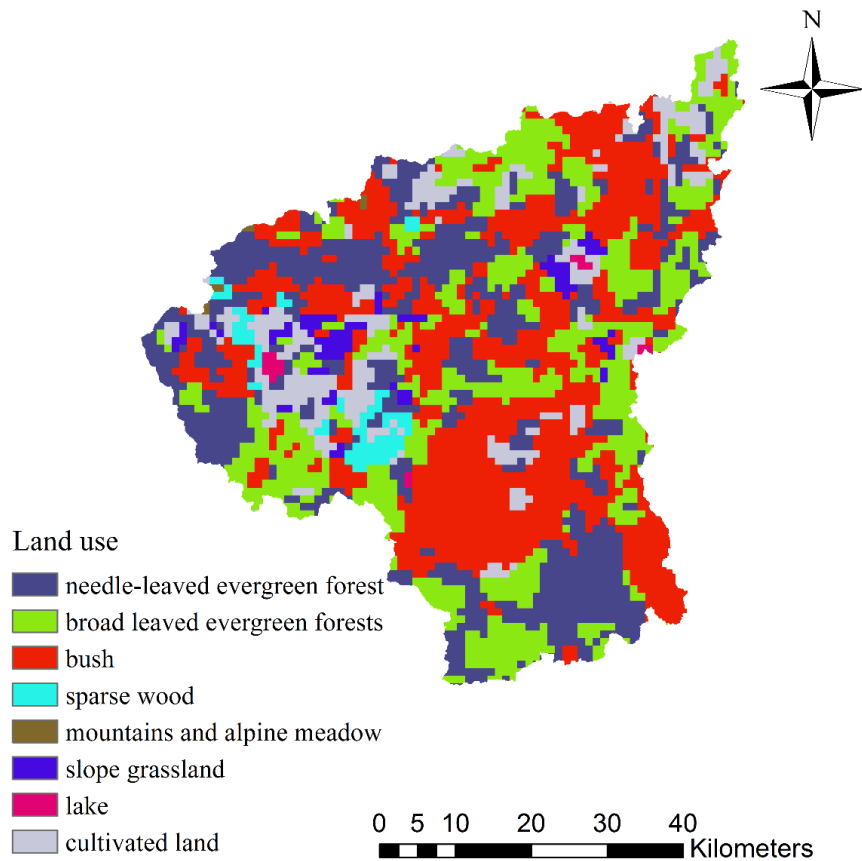
(c) Soil type  
 Figure 2 terrain property of Tiantoushui Catchment

965  
 966  
 967  
 968  
 969  
 970



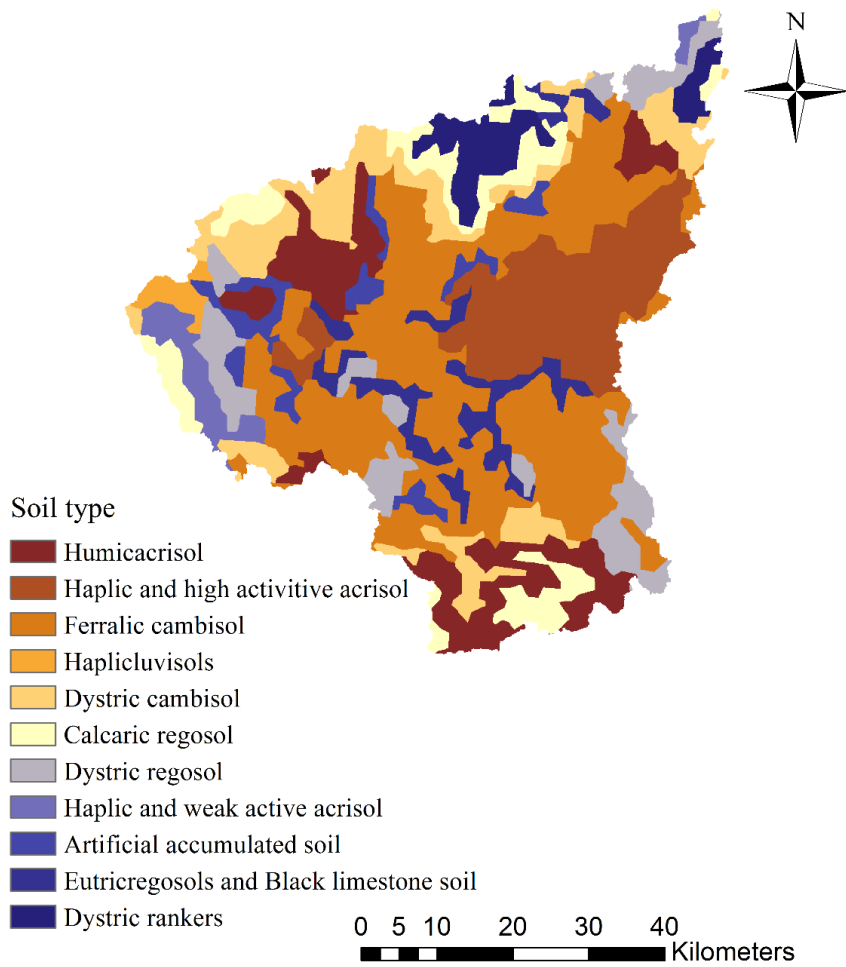
971  
972  
973

(a) DEM



974  
975  
976

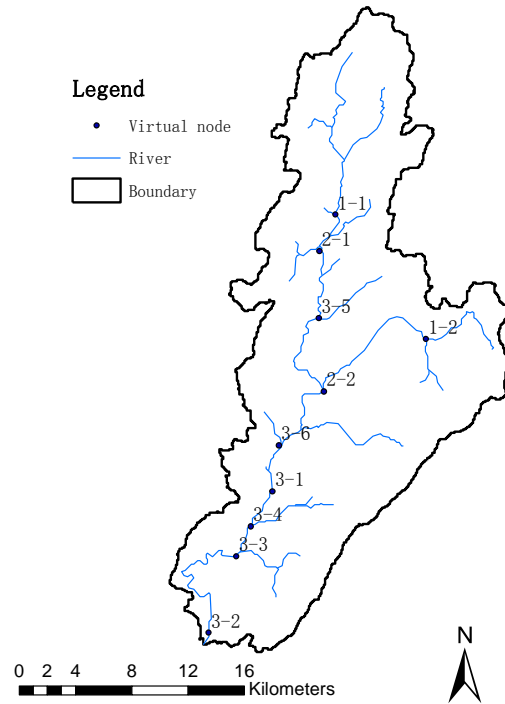
(b) Land use type



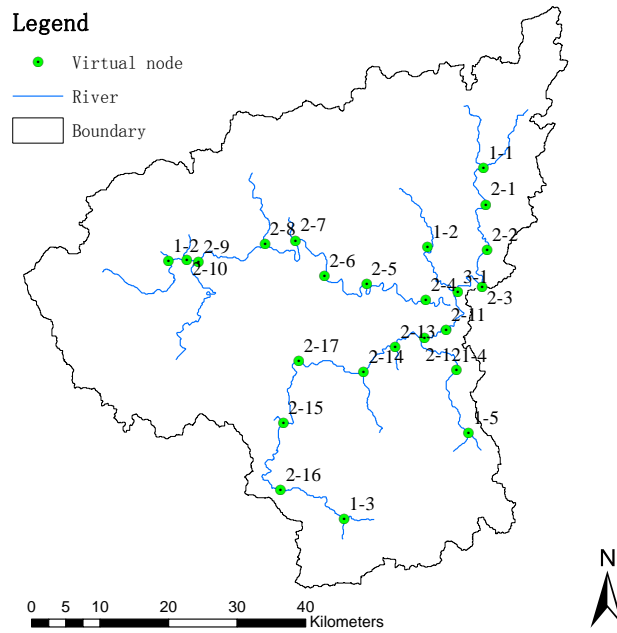
977  
 978  
 979  
 980

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

981  
982  
983



(a) Tiantoushui Catchment

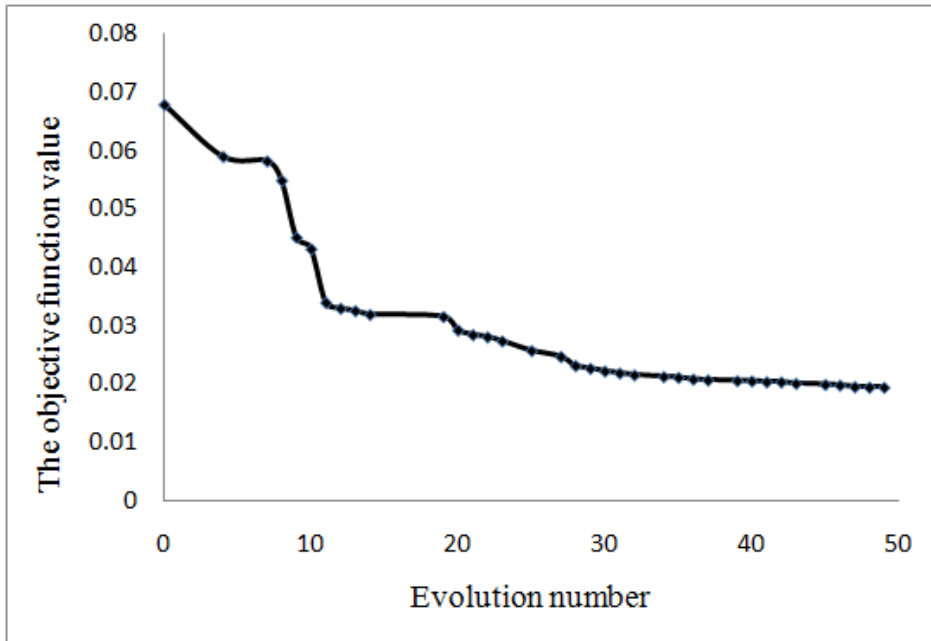


(b) UMWC Catchment

Figure 4 model set up results in Tiantoushui Catchment

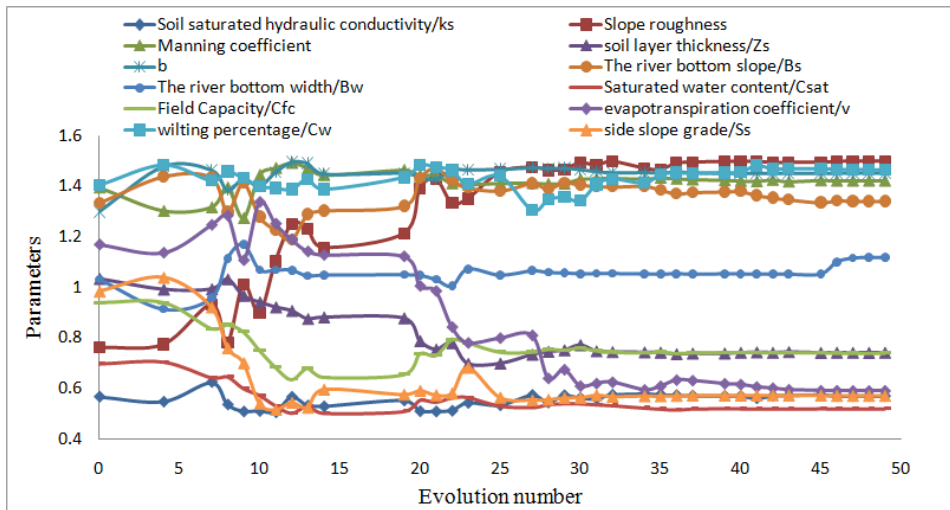
984  
985  
986  
987  
988  
989

990



991  
992  
993  
994

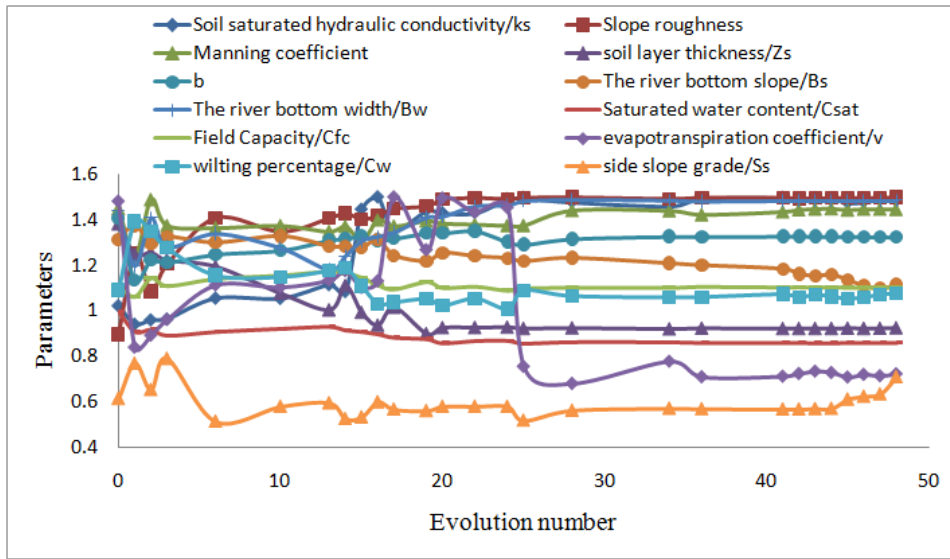
(a) evolution of objective function



995  
996  
997  
998  
999  
1000  
1001  
1002

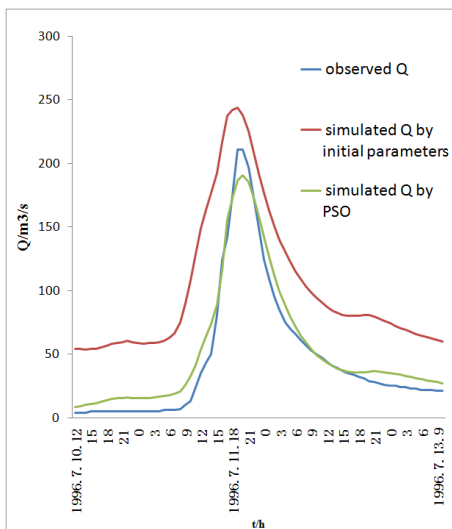
(b) evolution of parameters

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

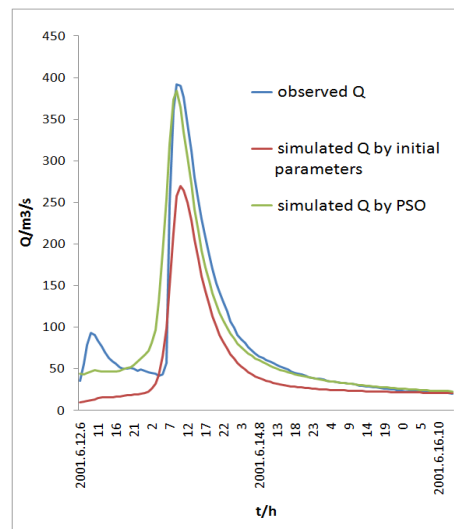


1003  
1004  
1005  
1006

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

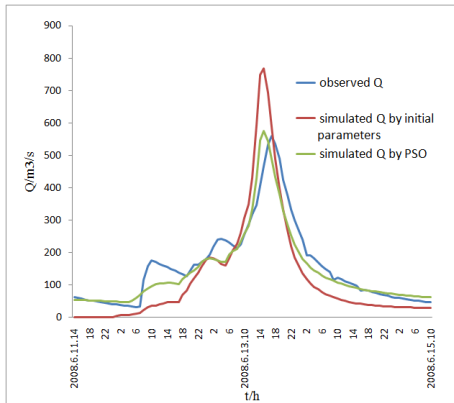


(a) flood1996071012

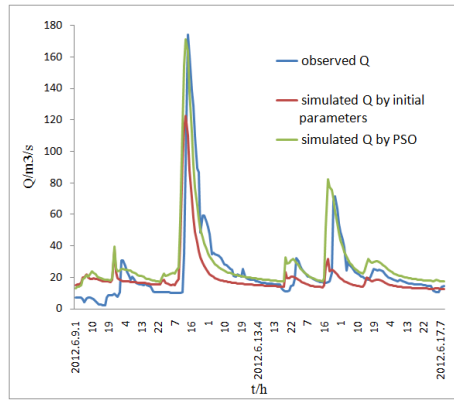


(b) flood2001061206



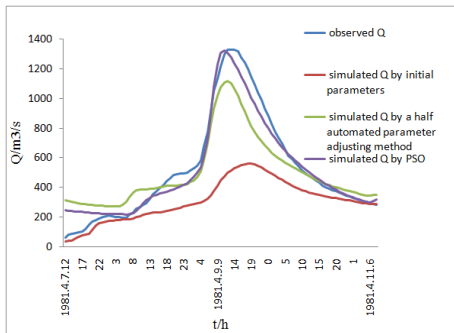


(c) flood2008061114

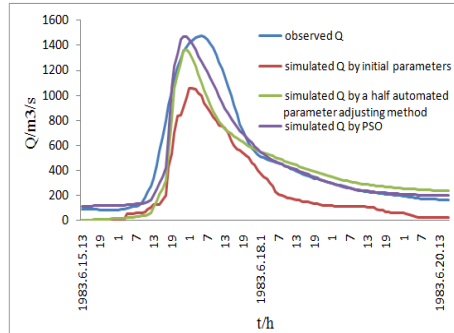


(d) flood2012060901

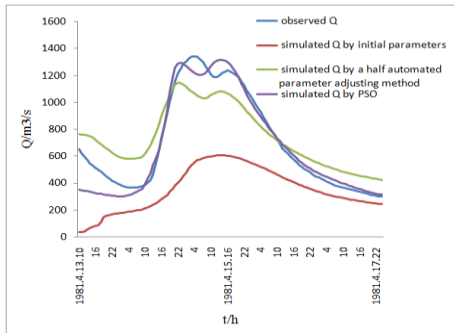
Figure 7 simulated flood events of Tiantoushui Catchment



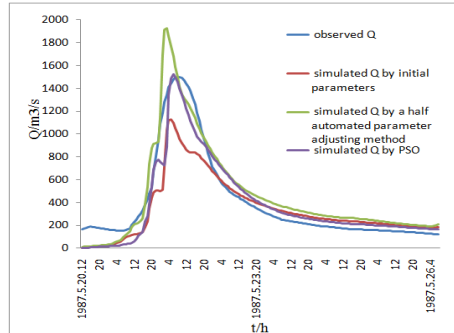
(a) flood1981040712



(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 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
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