

1 **Analysis of parameter uncertainty in hydrological**
2 **modeling using GLUE method: a case study of SWAT**
3 **model applied to Three Gorges Reservoir Region,**
4 **China**

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9 **Abstract**

10 The calibration of hydrologic models is a worldwide challenge due to the uncertainty
11 involved in the large number of parameters. The difficulty even increases in a region
12 with high seasonal variation of precipitation, where the results exhibit high
13 heteroscedasticity and autocorrelation. In this study, the Generalized Likelihood
14 Uncertainty Estimation (GLUE) method was combined with the Soil and Water
15 Assessment Tool (SWAT) to quantify the parameter uncertainty of the stream flow
16 and sediment simulation in the Daning River Watershed of the Three Gorges
17 Reservoir Region (TGRA), China. Based on this study, only a few parameters
18 affected the final simulation output significantly. The results showed that sediment
19 simulation presented greater uncertainty than stream flow, and uncertainty even
20 greater in high precipitation conditions than during the dry season. The main
21 uncertainty sources of stream flow came from the catchment process while a channel
22 process impacts the sediment simulation greatly. It should be noted that identifiable
23 parameters such as *CANMX*, *ALPHA_BNK*, *SOL_K* could be obtained with an optimal
24 parameter range using calibration method. However, equifinality was also observed in
25 hydrologic modeling in TGRA. This study demonstrated that care must be taken when
26 calibrating the SWAT model with non-identifiable parameters because these may lead

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27 to equifinality of the parameter values. It was anticipated this study would provide
28 useful information for hydrology modeling related to policy development in the Three
29 Gorges Reservoir Region (TGRA) and other similar areas.

30

31 **Keywords:** Hydrological modeling; SWAT; GLUE; uncertainty; Parameter;
32 equifinality; TGRA

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34

35 **1. Introduction**

36 Watershed hydrology and river water quality models are important tools for
37 watershed management for both operational and research programs (Quilbe and
38 Rousseau, 2007; Van et al., 2008; Sudheer and Lakshmi, 2011). However, due to
39 spatial variability in the processes, many of the physical models are highly complex
40 and generally characterized by a multitude of parameters (Xuan et al., 2009).
41 Technically, the modification of parameter values reveals a high degree of uncertainty.
42 Overestimation of uncertainty may lead to expenditures in time and money and
43 overdesign of watershed management. Conversely, underestimation of uncertainty
44 may result in little impact on pollution abatement (Zhang et al., 2009). In order to
45 apply hydrological models in the practical water resource investigations, careful
46 calibration and uncertainty analysis are required (Beven and Binley, 1992; Vrugt et al.,
47 2003; Yang et al., 2008).

48 Much attention has been paid to uncertainty issues in hydrological modeling due to
49 their great effects on prediction and further on decision-making (Van et al., 2008;
50 Sudheer and Lakshmi, 2011). Uncertainty estimates are routinely incorporated into
51 Total Maximum Daily Load (TMDL) (Quilbe and Rousseau, 2007). Usually, the
52 uncertainty in hydrological modeling is from model structures, input data and
53 parameters (Lindenschmidt et al., 2007). In general, structural uncertainty could be
54 improved by comparing and modifying the diverse model components (Hejberg and
55 Refsguard, 2005). The uncertainty of model input occurs because of changes in
56 natural conditions, limitations in measurement, and lack of data (Berk, 1987). One

57 way to deal with this issue is to use random variables as the input data, rather than the
58 conventional form of fixed values. Currently, parameter uncertainty is a hot topic in
59 the uncertainty research field (Shen et al., 2008; Sudheer et al., 2011).

60 The model parameters can be divided into the conceptual group and the physical
61 group (Gong et al., 2011). The conceptual parameters such as CN_2 in the SCS curve
62 method are defined as the conceptualization of a non-quantifiable process, and
63 determined by the process of model calibration. Conversely, physical parameters can
64 be measured or estimated based on watershed characteristics when intensive data
65 collection is possible (Vertessy et al., 1993; Nandakumar and Mein, 1997). Because of
66 the unknown spatial heterogeneity of a studied area and the expensive experiments
67 which may be involved, the physical parameters are usually determined by calibrating
68 the model against the measured data (Raat et al., 2004). However, when the number
69 of parameters is large either due to the large number of sub-processes being
70 considered or due to the model structure itself, the calibration process becomes
71 complex and uncertainty issues appear (Rosso, 1994; Sorooshian and Gupta, 1995). It
72 has been shown that parameter uncertainty is inevitable in hydrological modeling and
73 a corresponding assessment should be conducted before model prediction in the
74 decision making process. Studies of parameter uncertainty have been conducted in the
75 area of integrated watershed management (Zacharias et al., 2005), peak flow
76 forecasting (Jorgeson and Julien, 2005) , soil loss prediction (Cochrane and Flanagan,
77 2005), nutrient flux analysis (Murdoch et al., 2005; Miller et al., 2006), assessment of
78 the effect of land use change (Eckhardt et al., 2003; Shen et al., 2010; Xu et al., 2011)
79 and climate change impact assessment (Kingston and Taylor, 2010) among many
80 others. Nevertheless, parameter identification is a complex, non-linear problem and
81 numerous possible solutions might be obtained by optimization algorithms
82 (Nandakumar and Mein, 1997). Thus, the parameters cannot be identified easily.
83 Additionally, different parameter sets may result in similar prediction which is known
84 as the phenomenon of equifinality (Beven and Binley, 1992). However, to the best of
85 our knowledge, there are few studies about parameter identifiability based on
86 uncertainty analysis in hydrological modeling.

87 Several calibration and uncertainty analysis techniques have been applied in previous
88 research works, such as the first-order error analysis (FOEA) (Melching and Yoon,
89 1996), the Monte Carlo method (Kao and Hong, 1996) and the Generalized
90 Likelihood Uncertainty Estimation method (GLUE) (Beven and Binley, 1992). The
91 FOEA method is based on linear-relationships and fails to deal adequately with the
92 complex models (Melching and Yoon, 1996). The Monte Carlo method requires
93 repeating model simulation according to the parameter sampling, resulting in
94 tremendous computational time and human effort (Gong et al., 2011). However, the
95 GLUE methodology determines the performance of the model focus on the parameter
96 set, not on the individual parameters (Beven and Binley, 1992). The GLUE method
97 can also handle the parameter interactions and non-linearity implicitly through the
98 likelihood measure (Vazquez et al., 2009). In addition, GLUE is a simple concept and
99 is relatively easy to implement. Therefore, GLUE is used in this study for parameter
100 uncertainty analysis.

101 The Three Gorges Project-the largest hydropower project in the world-is situated at
102 Sandoupin in Yichang City, Hubei Province, China. It is composed mainly of the dam,
103 the hydropower station, the two-lane, five-stage navigation locks, and the single-lane
104 vertical ship lift. While the Three Gorges Project benefits flood control, power
105 generation, and navigation, it also has a profound impact on the hydrology and
106 environment, such as river flow interruption and ecosystem degradation. Hydrological
107 models have been used in this region to study the impact of the project (Lu and
108 Higgitt, 2001; Yang et al., 2002; Wang et al., 2007; Shen et al., 2010). However,
109 research on the uncertainty of hydrological models in such an important watershed is
110 lacking. Due to the varying geographical locations and water systems (Xu et al., 2011),
111 it is of great importance to study the uncertainty of model parameters that affect
112 hydrological modeling process. Previously we had conducted a parameter uncertainty
113 analysis for nonpoint source pollution modeling in this region. In the present study, a
114 further study was developed in hydrological modeling.

115 Hence, the main objective of this study was to identify the degree of uncertainty and
116 uncertainty parameters for prediction of stream flow and sediment in a typical

117 watershed of the Three Gorges Reservoir Region, China. In this study, a semi-
118 distributed hydrological model, Soil and Water Assessment tool (SWAT) was
119 combined with the GLUE (Generalized likelihood uncertainty estimation) method to
120 quantify the uncertainty of parameters and to provide a necessary reference for
121 hydrological modeling in the entire Three Gorges Reservoir region.

122 The paper is organized as follows: 1) a description of the study area and a brief
123 introduction of the hydrological model and GLUE method; 2) both the impact of
124 parameter uncertainty on model output and parameter identifiability are analyzed in
125 the result and discussion section; 3) a conclusion is provided.

126 **2. Methods and Materials**

127 **2.1 Site description**

128 The Daning River Watershed (108°44'-110°11'E, 31°04'-31°44'N), lies in the central
129 part of the Three Gorges Reservoir Area (TGRA) (Fig. 1), is in Wushan and Wuxi
130 Counties, in the municipality of Chongqing, China and covers an area of 4,426 km².

131 Mountainous terrain makes up 95% of the total area and low hills contribute the other
132 5%. The average altitude is 1197 m. The landuse in the watershed is 22.2% cropland,
133 11.4% grassland, and 65.8% forest. Zonal yellow soil is the dominant soil of the
134 watershed. This area is characterized by the tropical monsoon and subtropical
135 climates of Northern Asia. A humid subtropical monsoon climate covers this area,
136 featuring distinct seasons with adequate sunshine (an annual mean temperature of
137 16.6°C) and abundant precipitation (an annual mean precipitation of 1,124.5 mm). A
138 hydrological station is located in Wuxi County, and this study focused on the
139 watershed controlled by the Wuxi hydrological station, which has an area of
140 approximately 2027 km² (Fig. 1).

141 **2.2 SWAT model**

142 The SWAT model (Arnold et al., 1998) is a hydrologic/water quality tool developed
143 by the United States Department of Agriculture-Agriculture Research Service

144 (USDAARS). The SWAT model is also available within the BASINS (Better
 145 Assessment Science Integrating point & Non-point Sources) as one of the models that
 146 the USEPA supports and recommends for state and federal agencies to use to address
 147 point and nonpoint source pollution control. The hydrological processes are divided
 148 into two phases: the land phase and the channel/floodplain phase. The SWAT model
 149 uses the SCS curve number procedure when daily precipitation data is used while the
 150 Green-Ampt infiltration method is chosen when sub-daily data is used to estimate
 151 surface runoff. The SCS curve number equation is:

$$152 \quad Q_{surf} = \frac{(R_{day} - I_a)^2}{(R_{day} - I_a + S)} \quad (1)$$

153 where Q_{surf} is the accumulated runoff or rainfall excess (mm H₂O); R_{day} is the rainfall
 154 depth for the day (mm H₂O); I_a is the initial abstractions, which includes surface
 155 storage, interception, and infiltration prior to runoff (mm H₂O); and S is the retention
 156 parameter (mm H₂O). The retention parameter varies spatially due to changes in soil,
 157 land use, management, and slope and temporally due to changes in soil water content.
 158 The retention parameter is defined as:

$$159 \quad S = \frac{25400}{CN} - 254 \quad (2)$$

160 where CN is the curve number for the day.

161 The SWAT model uses the Modified Universal Soil Loss Equation (MUSLE) to
 162 estimate sediment yield at HRU (Hydrological Response Units) level. The MUSLE is
 163 defined as:

$$164 \quad Q_{sed} = 11.8(Q_{surf} \cdot q_{peak} \cdot A_{hru})^{0.56} \cdot K_{usle} \cdot C_{usle} \cdot P_{usle} \cdot L_{usle} \cdot F_{CFRG} \quad (3)$$

165 where Q_{sed} is the sediment yield on a given day (metric tons); Q_{surf} is the surface
 166 runoff volume (mm H₂O/ha); q_{peak} is the peak runoff rate (m³/s); A_{hru} is the area of the
 167 HRU (ha); K_{usle} is the USLE soil erodibility factor; C_{usle} is the USLE cover and
 168 management factor; P_{usle} is the USLE support practice factor; L_{usle} is the USLE
 169 topographic factor; and F_{CFRG} is the coarse fragment factor.

170 In order to efficiently and effectively apply the SWAT model, different calibration and

171 uncertainty analysis methods have been developed and applied to improve the
172 prediction reliability and quantify prediction uncertainty of SWAT simulations ([Arabi
173 et al. 2007](#)). In this study, a parameter sensitivity analysis was performed prior to
174 calibrating the model. Based on the sensitivity ranking results provided by Morris
175 Qualitative Screening Method, the 20 highest ranked parameters affecting stream flow
176 and sediment yield ([shown in Table 1](#)) were selected for the following uncertainty
177 analysis using the GLUE method. For modeling accuracy, parameters were calibrated
178 and validated using the highly efficient Sequential Uncertainty Fitting version-2
179 (SUFI-2) procedure ([Abbaspour et al., 2007](#)). The initial parameter range was
180 recommended from the SWAT manual. This calibration method is an inverse
181 optimization approach that uses the Latin Hypercube Sampling (LHS) procedure
182 along with a global search algorithm to examine the behavior of objective functions.
183 The procedure has been incorporated into the SWAT-CUP software, which can be
184 downloaded for free from the EAWAG website ([Abbaspour et al., 2009](#)). For the
185 runoff, the Nash-Sutcliffe coefficients during calibration period and validation period
186 were 0.94 and 0.78, respectively. For the sediment yield, the Nash-Sutcliffe
187 coefficients in the calibration and validation period were 0.80 and 0.70, respectively.
188 More details can be found in the study of [Shen et al. \(2008\)](#) and [Gong et al. \(2011\)](#).

189 **2.3 GLUE method**

190 The GLUE method ([Beven and Freer, 2001](#)) is an uncertainty analysis technique
191 inspired by importance sampling and regional sensitivity analysis ([Hornberger and
192 Spear, 1981](#)). In GLUE, parameter uncertainty accounts for all sources of uncertainty,
193 i.e., input uncertainty, structural uncertainty, parameter uncertainty and response
194 uncertainty. Therefore, this method has been widely used in many areas as an
195 effective and general strategy for model calibration and uncertainty estimation
196 associated with complex models. In this study, the GLUE analysis process consists of
197 the following three steps:

198

199 *Step 1: Definition of likelihood function.*

200 The likelihood function was used to evaluate SWAT outputs against observed values.
 201 In our study, the Nash–Sutcliffe coefficient (E_{NS}) was picked because it was the most
 202 frequently used likelihood measure for GLUE based on the literature (Beven and
 203 Freer, 2001; Freer et al., 1996; Arabi et al., 2007).

$$204 \quad E_{NS} = 1 - \frac{\sum_{i=1}^n (Q_{sim,i} - Q_{mea,i})^2}{\sum_{i=1}^n (Q_{mea,i} - \bar{Q}_{mea})^2} \quad (3)$$

205 where $Q_{mea,i}$ and $Q_{sim,i}$ are the measured and simulated values for the i th pair, \bar{Q}_{mea}
 206 is the mean value of the measured values, and n is the total number of paired values.
 207 The range of the E_{NS} value is from $-\infty$ to 1, with 1 indicating a perfect fit.

208

209 *Step 2: Sampling parameter sets.*

210 Due to the lack of prior distribution of parameter, uniform distribution was chosen
 211 due to its simplicity (Muleta and Nicklow 2005; Lenhart et al. 2007; Migliaccio and
 212 Chaubey 2008). The range of each parameter was divided into n overlapping intervals
 213 based on equal probability (Table 1) and parameters were identically chosen from
 214 spanning the feasible parameter range. The drawback of a typical GLUE approach is
 215 its prohibitive computational burden imposed by its random sampling strategy.

216 Therefore in this study, an improved sampling method was introduced by combing
 217 Latin Hypercube Sampling (LHS) with GLUE. Compared to random sampling, LHS
 218 can reduce sampling times and provide a 10-fold greater computing efficiency
 219 (Vachaud and Chen, 2002). Therefore, LHS was used for random parameter sampling
 220 to enhance the simulation efficiency of the GLUE simulation. Values then were
 221 randomly selected from each interval.

222 If the initial sampling of the parameter space was not dense enough, the GLUE
 223 sampling scheme probably could not ensure a sufficient precision of the statistics
 224 inferred from the retained solutions (Bates and Campbell, 2001). Hence, a large
 225 number of sampling sets (10000 times) were conducted. Because the SWAT module
 226 and the SWAT-CUP software were in different interfaces, all of the 10,000 simulations

227 were calculated manually. The whole simulation period lasted six months on a
228 Centrino Duo@2.8 GHz computer.

229

230 *Step 3: Threshold definition and results analysis.*

231 Compared to other applications (Gassman et al., 2007), 0.5 was judged as a
232 reasonable E_{NS} value for SWAT simulation. In this study, we set 0.5 as the threshold
233 value of E_{NS} and if the acceptability was below a certain subjective threshold, the run
234 was considered to be “non-behavioral” and that parameter combination was removed
235 from further analysis. In this study, the SWAT model was performed 10,000 times
236 with different parameter sample sets. For each output, the dot plot, cumulative
237 parameter frequency and 95% confident interval (95CI) were analyzed.

238 **3. Results and Discussion**

239 **3.1 Uncertainty of outputs**

240 For the purpose of determining the extent to which parameter uncertainty affects
241 model simulation, the degree of uncertainty of outputs was expressed by 95CI, which
242 was derived by ordering the 10000 outputs and then identifying the 2.5% and 97.5%
243 threshold values. The 95CI for both stream flow and sediment period were shown in
244 Fig. 2. It was evident that the 95CI for stream flow and sediment was 1-53 m³/s and
245 2,000-7,657,800 t, respectively. In addition, sediment simulation presented greater
246 uncertainty than stream flow, which might be due to the fact that sediment was
247 affected and dominated by both stream flow processes as well as other factors such as
248 land use variability (Shen et al. 2008; Migliaccio and Chaubey 2008).

249 From Fig. 2, the temporal variation of outputs was presented in which an evidently
250 clear relationship was obtained between the amount of the rainfall and the width of
251 confidence interval. This result highlighted an increased model uncertainty in the high
252 precipitation condition. The variability in the uncertainty of sediment was the same as
253 that for runoff, because runoff affects both factors. This could be explained by the fact
254 that uncertainty was inherent in precipitation due to variability in the time of

255 occurrence, location, intensity, and tempo-spatial distribution (Shen et al. 2008). In a
256 hydrology model such as SWAT, although a rainfall events may affect only a small
257 portion of the basin, the model assumes it affects the entire basin. This may cause a
258 larger runoff event to be observed in simulation although little precipitation was
259 recorded due to the limited local extent of a certain precipitation event. In the Three
260 Gorges Reservoir area, the daily stream flow changes frequently and widely, thus the
261 monthly mean value of runoff might not represent the actual change very well and the
262 discrepancy between the measured mean value and simulated mean value would be
263 high. Hence, daily precipitation data might be invalid in the TGRA and more detailed
264 precipitation data and stations should be obtained for hydrology modeling in the
265 TGRA.

266 From Fig. 2, it is clear that most of the observed values were bracketed by the 95CI,
267 54% for stream flow outputs and 95% for sediment. However, several stream flow
268 observations were observed above the 97.5% threshold values (such as March, April,
269 November 2004; March, April, May, June, July, August and October 2005; February,
270 March, April, May and July 2006; March, May, June, July and August 2007).
271 Conversely, only one observation (October 2006) was observed below the 2.5%
272 threshold of sediment output. Measured value was not entirely in the range of 95CI,
273 indicating that the SWAT model could not fully simulate the flow and sediment
274 processes. However, it was acknowledged that for a parameter, model structure and
275 data input can also cause uncertainty in model simulation (Bates and Campbell, 2001;
276 Yang et al., 2007). Based on the results presented in this study, it was not possible to
277 tell the extent to which the errors in the input and model structure contribute on the
278 total simulation uncertainty. However, as parameter uncertainty was only able to
279 account for a small part of whole uncertainty in hydrological modeling, this study
280 suggests further studies are needed on model structure and input in TGRA.

281 Another concern in hydrologic modeling was the equifinality of model
282 parameters (Beven and Binley, 1992; Wagener and Kollat, 2007). Table 2 showed
283 multiple combinations of parameter values yield the same E_{NS} during hydrologic
284 modeling in TGRA. The so-called equifinality showed there was no unique parameter

285 estimation and hence uncertainty in the estimated parameters in TGRA was obvious.
286 This result agreed well with many other studies (Beven and Binley, 1992). This may
287 due to the fact that parameters obtained from calibration were affected by several
288 factors such as correlations amongst parameters, sensitivity or insensitivity in
289 parameters, spatial and temporal scales and statistical features of model residuals
290 (Wagener et al., 2003; Wagener and Kollat, 2007). It could be inferred that the
291 identifiability of an optimal parameter obtained from calibration should also be
292 evaluated. For an already gauged catchment, a virtual study can provide a point of
293 reference for the minimum uncertainty associated with a model application. This
294 study highlighted the importance of the monitoring task for several important physical
295 parameters to determine more credible results for watershed management.

296 **3.2 Uncertainty of parameters**

297 Fig. 3 and Fig. 5 illustrate the variation of E_{NS} for the Daing River watershed as a
298 function of variation of each of the 20 parameters considered in this study. By
299 observing the dotted plot from Fig. 3, it was evident that the main sources of
300 streamflow uncertainty were initial SCS CN II value ($CN2$), available water capacity
301 of the layer (SOL_AWC), maximum canopy storage ($CANMX$), base flow alpha factor
302 for bank storage ($ALPHA_BNK$), saturated hydraulic conductivity (SOL_K), and soil
303 evaporation compensation factor ($ESCO$). Among the above six parameters,
304 SOL_AWC and $CANMX$ were the most identifiable parameters for the Daing River
305 watershed. This could be explained by the fact that SOL_AWC represented soil
306 moisture characteristics or plant available water. This parameter plays an important
307 role in evaporation, which is associated with runoff (Burba and Verma, 2005). It has
308 also been suggested that the soil water capacity has an inverse relationship with
309 various water balance components (Kannan et al., 2007). Therefore, an increase in the
310 SOL_AWC value would result in a decrease in the estimate of base flow, tile drainage,
311 surface runoff, and hence, water yield. As shown in Fig. 3, the optimal range of
312 SOL_AWC was between $[0, 0.2]$ and better results could be obtained in this interval.
313 By using calibration methods, optimal parameter ranges could also be obtained

314 without much difficulty for other identifiable parameters (*CANMX* [0, 30],
315 *ALPHA_BNK* [0.3, 1], *SOL_K* [80, 300]) could also be obtained optimal parameter
316 range using calibration method without much difficulties. However, presence of
317 multiple peaks in the Nash-Sutcliffe model efficiency for *CN2* and *ESCO* indicated
318 that estimation of these parameters might not be feasible.

319 However, it should be noted that non-identifiability of a parameter does not indicate
320 that the model was not sensitive to these parameters. Generally, *CN2* was considered
321 as the primary source of uncertainty when dealing with stream flow simulation
322 (Eckhardt and Arnold, 2001; Lenhart et al., 2007). This study showed that *CN2*
323 exhibited non-identifiability in the stream flow simulation. This is similar to the study
324 proposed by Kannan et al (2007). The potential cause would be that there was an
325 explicit provision in the SWAT model to update the *CN2* value for each day of
326 simulation based on available water content in the soil profile. Therefore, a change in
327 the initial *CN2* value would not greatly affect water balance components. Estimation
328 of non-identifiable parameters, such as *CN2* and *ESCO* for the Daing River
329 watershed, would be difficult as there may be many combinations of these parameters
330 that would result in a similar model performance.

331 Fig. 4 and Fig. 6 illustrate the cumulative parameter frequency for both stream flow
332 and sediment in the Daing River watershed. As shown in Fig. 4, the parameters were
333 not uniformly or normally distributed, especially *SOL_AWC*, *CANMX* and *ESCO*.
334 *ESCO* represents the influence of capillarity and soil crannies on soil evaporation in
335 each layer. Therefore, a change in the *ESCO* value affected the entire water balance
336 component. When there were higher *ESCO* values, the estimated base flow, tile
337 drainage and surface runoff increased. The greater uncertainty of this parameter
338 indicated that the soil evaporation probably played a greater role in the whole
339 evaporation process, possibly due to the high air temperature in the TGRA. In
340 comparison, other parameters such as *CN2* and *SOL_K* were close to a uniformly
341 distribution while they were also more or less skewed. This non-linearity further
342 implies that the uncertainty in model input did not translate directly into uncertainty in
343 the model outputs but might rather appear significantly dampened or magnified in the

344 output (Sohrabi et al., 2003). This result demonstrates the important opinion that the
345 model output was influenced by the set of parameters rather than by a single
346 parameter (Beven and Binley, 1992).

347 Similar to the stream flow simulation, even though many of the parameters were
348 sensitive and affected the sediment simulation, only a small number of the sensitive
349 parameters were identifiable. As shown in Fig. 5, the factors of uncertainty for
350 sediment were *CN2*, Manning's value for main channel (*CH_N2*), maximum canopy
351 storage (*CANMX*), base flow alpha factor for bank storage (*ALPHA_BNK*),
352 exp.Re-entrainment parameter for channel sediment routing (*SPEXP*),
353 lin.re-entrainment parameter for channel sediment routing (*SPCON*), channel cover
354 factor (*CH_COV*) and channel erodibility factor (*CH_EROD*). Clearly, the parameter
355 samples were very dense around the maximum limit (Fig. 6). Summarizing the
356 information in Fig. 3, 4, 5 and 6, it can be said that the parameters with greater
357 uncertainty of stream flow mainly come from the surface corresponding process and
358 the parameters with greater uncertainty of sediment focused on the channel response
359 process. The results matched well with those of Yang et al. (2011) and Shen et al.
360 (2010).

361 **4. Conclusion**

362 In this study, the GLUE method was employed to assess the parameter uncertainty in
363 the SWAT model applied in the Daning River Watershed of the Three Gorges
364 Reservoir Region (TGRA), China. The results indicate that only a few parameters
365 were sensitive and had a great impact on the stream flow and sediment simulation.
366 *CANMX*, *ALPHA_BNK* and *SOL_K* were identified as identifiable parameters. The
367 values of these parameters could be obtained by calibration process without much
368 difficulties. Conversely, there were multiple possible values for *CN2* and *ESCO*. This
369 indicates that calibration of these parameters might be infeasible. These
370 non-identifiability parameters even led to equifinality in hydrologic and NPS
371 modeling in the TGRA. It was anticipated that the parameter uncertainty are
372 systematically correlated to the non-identifiability parameters. Under such cases, a

373 user should check if any information related to the watershed characteristics and its
374 underlying hydrologic processes could be used to provide a more precise range for
375 model parameter. It is anticipated that this study would provide some useful
376 information for hydrological modeling related to policy development in the Three
377 Gorges Reservoir Region (TGRA) and other similar areas.

378 It is suggested that more detailed measured data and more precipitation stations
379 should be obtained in the future for hydrological modeling in the TGRA. And also
380 further studies should be continued in the field of model structure and input to
381 quantify hydrological model uncertainty in the TGRA.

382

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1 Table 1 the range and optimal value of model parameter

	Name	Lower limit	Upper limit	Optimal value
1	r_CN2.mgt	-0.25	0.15	-0.2143
2	v_ALPHA_BF.gw	0	1	0.6075
3	v_GW_DELAY.gw	1	45	13.4854
4	v_CH_N2.rte	0	0.5	0.2870
5	v_CH_K2.rte	0	150	36.1563
6	v_ALPHA_BNK.rte	0	1	0.1572
7	v_SOL_AWC.sol	0	1	0.0038
8	r_SOL_K.sol	-0.2	300	251.4728
9	a_SOL_BD.sol	0.1	0.6	0.4442
10	v_SFTMP.bsn	-5	5	0.0499
11	v_CANMX.hru	0	100	2.68
12	v_ESCO.hru	0.01	1	0.5637
13	v_GWQMN.gw	0	5000	3023.488
14	v_REVAPMN.gw	0	500	380.7558
15	v_USLE_P.mgt	0.1	1	0.6443
16	v_CH_COV.rte	0	1	0.8124
17	v_CH_EROD.rte	0	1	0.0350
18	v_SPCON.bsn	0	0.05	0.0210
19	v_SPEXP.bsn	1	1.5	1.1924
20	r_SLSUBBSN.hru	-0.1	0.1	0.0490

2 Table 2 the equifinality of model parameters

Parameter	Flow			Sediment		
	Group 1	Group 2	Group 3	Group 1	Group 2	Group 3
r_CN2.mgt	0.0203	-0.1027	-0.0085	0.1363	0.0217	0.0643
v_ALPHA_BF.gw	0.4048	0.0087	0.4896	0.3411	0.0191	0.0324
v_GW_DELAY.gw	36.0475	24.2712	39.5298	35.3257	13.4576	13.2559
v_CH_N2.rte	0.4176	0.3761	0.2179	0.2947	0.2024	0.2178
v_CH_K2.rte	32.1141	89.7282	16.4653	10.1802	38.9954	18.0410
v_ALPHA_BNK.rte	0.3616	0.4323	0.3980	0.4089	0.9418	0.4505
v_SOL_AWC(1-2).sol	0.0796	0.0307	0.0006	0.1660	0.3279	0.1196
r_SOL_K(1-2).sol	113.3080	137.3520	166.4420	58.4822	234.5450	48.3082
a_SOL_BD(1-2).sol	0.1476	0.1905	0.2797	0.2512	0.3964	0.3136
v_SFTMP.bsn	-1.7443	1.9458	3.7872	-1.3314	-3.5880	-0.9027
v_CANMX.hru	2.8527	6.3323	24.4465	22.0842	29.0789	6.0640
v_ESCO.hru	0.9775	0.0217	0.0800	0.2704	0.7215	0.3153
v_GWQMN.gw	1256.920	205.524	913.087	4958.950	372.250	4729.050
v_REVAPMN.gw	137.0420	129.2090	434.2130	390.4860	71.2840	34.4314
v_USLE_P.mgt	0.5067	0.2462	0.4990	0.1085	0.6628	0.6285
r_SLSUBBSN.hru	0.0402	-0.0759	-0.0946	-0.0771	0.0011	0.0481
v_CH_Cov.rte				0.8376	0.3398	0.1628
v_CH_EROD.rte				0.8894	0.6481	0.5564
v_SPCON.bsn				0.0326	0.0391	0.0358
v_SPEXP.bsn				1.4285	1.2595	1.3446
E_{NS}	0.6915	0.6917	0.6919	0.6997	0.6999	0.7000

- 1 Fig.1 Location of Daning River Watershed
- 2 Fig. 2 the 95CI for stream flow and sediment period
- 3 Fig.3 The dotly plot map for stream flow simulation
- 4 Fig.4 The cumulative parameter frequency for stream flow
- 5 Fig.5 The dotly plot map for sediment simulation
- 6 Fig.6 The cumulative parameter frequency for sediment