

1 **Analysis of parameter uncertainty in hydrological and**  
2 **sediment modeling using GLUE method: a case study**  
3 **of SWAT model applied to Three Gorges Reservoir**  
4 **Region, 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 (from May to September) than during the dry  
21 season. The main uncertainty sources of stream flow came from the catchment  
22 process while a channel process impacts the sediment simulation greatly. It should be  
23 noted that identifiable parameters such as *CANMX*, *ALPHA\_BNK*, *SOL\_K* could be  
24 obtained with an optimal parameter range using calibration method. However,  
25 equifinality was also observed in hydrologic modeling in TGRA. This study  
26 demonstrated that care must be taken when calibrating the SWAT model with

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

31

32 **Keywords:** Hydrological modeling; SWAT; GLUE; uncertainty; Parameter;  
33 equifinality; Three Gorges Reservoir Area

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## 36 **1. Introduction**

37 Watershed hydrology and river water quality models are important tools for  
38 watershed management for both operational and research programs (Quilbe and  
39 Rousseau, 2007; Van et al., 2008; Sudheer and Lakshmi, 2011). However, due to  
40 spatial variability in the processes, many of the physical models are highly complex  
41 and generally characterized by a multitude of parameters (Xuan et al., 2009).  
42 Technically, the modification of parameter values reveals a high degree of uncertainty.  
43 Overestimation of uncertainty may lead to expenditures in time and money and  
44 overdesign of watershed management. Conversely, underestimation of uncertainty  
45 may result in little impact on pollution abatement (Zhang et al., 2009). In order to  
46 apply hydrological models in the practical water resource investigations, careful  
47 calibration and uncertainty analysis are required (Beven and Binley, 1992; Vrugt et al.,  
48 2003; Yang et al., 2008).

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

57 natural conditions, limitations in measurement, and lack of data (Berk, 1987). One  
58 way to deal with this issue is to use random variables as the input data, rather than the  
59 conventional form of fixed values (Yulianti et al. 1999). Currently, parameter  
60 uncertainty is a hot topic in the uncertainty research field (Shen et al., 2008; Sudheer  
61 et al., 2011).

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

87 our knowledge, there are few studies about parameter identifiability based on  
88 uncertainty analysis in hydrological modeling.

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

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

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

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

## 128 **2. Methods and Materials**

### 129 **2.1 Site description**

130 The Daning River Watershed (108°44'-110°11'E, 31°04'-31°44'N), lies in the central  
131 part of the Three Gorges Reservoir Area (TGRA) (Fig. 1), is in Wushan and Wuxi  
132 Counties, in the municipality of Chongqing, China and covers an area of 4,426 km<sup>2</sup>.

133 Mountainous terrain makes up 95% of the total area and low hills contribute the other  
134 5%. The average altitude is 1197 m. The landuse in the watershed is 22.2% cropland,  
135 11.4% grassland, and 65.8% forest. Zonal yellow soil is the dominant soil of the  
136 watershed. This area is characterized by the tropical monsoon and subtropical  
137 climates of Northern Asia. A humid subtropical monsoon climate covers this area,  
138 featuring distinct seasons with adequate sunshine (an annual mean temperature of  
139 16.6°C) and abundant precipitation (an annual mean precipitation of 1,124.5 mm). A  
140 hydrological station is located in Wuxi County, and this study focused on the  
141 watershed controlled by the Wuxi hydrological station, which has an area of  
142 approximately 2027 km<sup>2</sup> (Fig. 1).

143 **2.2 SWAT model**

144 The SWAT model (Arnold et al., 1998) is a hydrologic/water quality tool developed  
145 by the United States Department of Agriculture-Agriculture Research Service  
146 (USDAARS). The SWAT model is also available within the BASINS (Better  
147 Assessment Science Integrating point & Non-point Sources) as one of the models that  
148 the USEPA supports and recommends for state and federal agencies to use to address  
149 point and nonpoint source pollution control. The hydrological processes are divided  
150 into two phases: the land phase and the channel/floodplain phase. The SWAT model  
151 uses the SCS curve number procedure when daily precipitation data is used while the  
152 Green-Ampt infiltration method is chosen when sub-daily data is used to estimate  
153 surface runoff. The SCS curve number equation is:

$$154 \quad Q_{surf} = \frac{(R_{day} - I_a)^2}{(R_{day} - I_a + S)} \quad (1)$$

155 where  $Q_{surf}$  is the accumulated runoff or rainfall excess (mm H<sub>2</sub>O);  $R_{day}$  is the rainfall  
156 depth for the day (mm H<sub>2</sub>O);  $I_a$  is the initial abstractions, which includes surface  
157 storage, interception, and infiltration prior to runoff (mm H<sub>2</sub>O); and  $S$  is the retention  
158 parameter (mm H<sub>2</sub>O). The retention parameter varies spatially due to changes in soil,  
159 land use, management, and slope and temporally due to changes in soil water content.  
160 The retention parameter is defined as:

$$161 \quad S = \frac{25400}{CN} - 254 \quad (2)$$

162 where CN is the curve number for the day.

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

$$166 \quad Q_{sed} = 11.8(Q_{surf} \cdot q_{peak} \cdot A_{hru})^{0.56} \cdot K_{usle} \cdot C_{usle} \cdot P_{usle} \cdot L_{usle} \cdot F_{CFRG} \quad (3)$$

167 where  $Q_{sed}$  is the sediment yield on a given day (metric tons);  $Q_{surf}$  is the surface  
168 runoff volume (mm H<sub>2</sub>O/ha);  $q_{peak}$  is the peak runoff rate (m<sup>3</sup>/s);  $A_{hru}$  is the area of  
169 the HRU (ha);  $K_{usle}$  is the USLE soil erodibility factor;  $C_{usle}$  is the USLE cover and

170 management factor;  $P_{usle}$  is the USLE support practice factor;  $L_{usle}$  is the USLE  
171 topographic factor; and  $F_{CFEG}$  is the coarse fragment factor.

172 In order to efficiently and effectively apply the SWAT model, different calibration and  
173 uncertainty analysis methods have been developed and applied to improve the  
174 prediction reliability and quantify prediction uncertainty of SWAT simulations (Arabi  
175 et al. 2007). In this study, a parameter sensitivity analysis was performed prior to  
176 calibrating the model. Based on the sensitivity ranking results provided by Morris  
177 Qualitative Screening Method (Morris, 1991), the 20 highest ranked parameters  
178 affecting stream flow and sediment yield (shown in Table 1) were selected for the  
179 following uncertainty analysis using the GLUE method. For modeling accuracy,  
180 parameters were calibrated and validated using the highly efficient Sequential  
181 Uncertainty Fitting version-2 (SUFI-2) procedure (Abbaspour et al., 2007). The initial  
182 parameter range was recommended from the SWAT manual. This calibration method  
183 is an inverse optimization approach that uses the Latin Hypercube Sampling (LHS)  
184 procedure along with a global search algorithm to examine the behavior of objective  
185 functions. The procedure has been incorporated into the SWAT-CUP software, which  
186 can be downloaded for free from the EAWAG website (Abbaspour et al., 2009). For  
187 the runoff, the Nash-Sutcliffe coefficients during calibration period and validation  
188 period were 0.94 and 0.78, respectively. For the sediment yield, the Nash-Sutcliffe  
189 coefficients in the calibration and validation period were 0.80 and 0.70, respectively.  
190 More details can be found in the study of Shen et al. (2008) and Gong et al. (2011).

### 191 **2.3 GLUE method**

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

199 the following three steps:

200

201 *Step 1: Definition of likelihood function.*

202 The likelihood function was used to evaluate SWAT outputs against observed values.

203 In our study, the Nash–Sutcliffe coefficient ( $E_{NS}$ ) was picked because it was the most

204 frequently used likelihood measure for GLUE based on the literature (Beven and

205 Freer, 2001; Freer et al., 1996; Arabi et al., 2007).

$$206 \quad E_{NS} = 1 - \frac{\sum_{i=1}^n (Q_{sim,i} - Q_{mea,i})^2}{\sum_{i=1}^n (Q_{mea,i} - \bar{Q}_{mea})^2} \quad (3)$$

207 where  $Q_{mea,i}$  and  $Q_{sim,i}$  are the measured and simulated values for the  $i_{th}$  pair,  $\bar{Q}_{mea}$

208 is the mean value of the measured values, and  $n$  is the total number of paired values.

209 The range of the  $E_{NS}$  value is from  $-\infty$  to 1, with 1 indicating a perfect fit.

210

211 *Step 2: Sampling parameter sets.*

212 Due to the lack of prior distribution of parameter, uniform distribution was chosen

213 due to its simplicity (Muleta and Nicklow 2005; Lenhart et al. 2007; Migliaccio and

214 Chaubey 2008). The range of each parameter was divided into  $n$  overlapping intervals

215 based on equal probability (Table 1) and parameters were identically chosen from

216 spanning the feasible parameter range. The drawback of a typical GLUE approach is

217 its prohibitive computational burden imposed by its random sampling strategy.

218 Therefore in this study, an improved sampling method was introduced by combing

219 Latin Hypercube Sampling (LHS) with GLUE. Compared to random sampling, LHS

220 can reduce sampling times and provide a 10-fold greater computing efficiency

221 (Vachaud and Chen, 2002). Therefore, LHS was used for random parameter sampling

222 to enhance the simulation efficiency of the GLUE simulation. Values then were

223 randomly selected from each interval.

224 If the initial sampling of the parameter space was not dense enough, the GLUE

225 sampling scheme probably could not ensure a sufficient precision of the statistics

226 inferred from the retained solutions (Bates and Campbell, 2001). Hence, a large  
227 number of sampling sets (10000 times) were conducted. Because the SWAT module  
228 and the SWAT-CUP software were in different interfaces, all of the 10,000 simulations  
229 were calculated manually. The whole simulation period lasted six months on a  
230 Centrino Duo@2.8 GHz computer.

231

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

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

### 240 **3. Results and Discussion**

#### 241 **3.1 Uncertainty of outputs**

242 For the purpose of determining the extent to which parameter uncertainty affects  
243 model simulation, the degree of uncertainty of outputs was expressed by 95CI, which  
244 was derived by ordering the 10000 outputs and then identifying the 2.5% and 97.5%  
245 threshold values. The 95CI for both stream flow and sediment period were shown in  
246 Fig. 2. It was evident that the 95CI for stream flow and sediment was 1-53 m<sup>3</sup>/s and  
247 2,000-7,657,800 t, respectively. In addition, sediment simulation presented greater  
248 uncertainty than stream flow, which might be due to the fact that sediment was  
249 affected and dominated by both stream flow processes as well as other factors such as  
250 land use variability (Shen et al. 2008; Migliaccio and Chaubey 2008).

251 From Fig. 2, the temporal variation of outputs was presented in which an evidently  
252 clear relationship was obtained between the amount of the rainfall and the width of  
253 confidence interval. This result highlighted an increased model uncertainty in the high

254 precipitation condition. The variability in the uncertainty of sediment was the same as  
255 that for runoff, because runoff affects both factors. This could be explained by the fact  
256 that uncertainty was inherent in precipitation due to variability in the time of  
257 occurrence, location, intensity, and tempo-spatial distribution (Shen et al. 2008). In a  
258 hydrology model such as SWAT, although a rainfall event may affect only a small  
259 portion of the basin, the model assumes it affects the entire basin. This may cause a  
260 larger runoff event to be observed in simulation although little precipitation was  
261 recorded due to the limited local extent of a certain precipitation event. In the Three  
262 Gorges Reservoir area, the daily stream flow changes frequently and widely, thus the  
263 measured value might not represent the actual value of the daily flow and the  
264 discrepancy between the measured mean value and simulated mean value would be  
265 high. However, more precise simulated flow would depend on designing accurate  
266 rain-gauge networks and less measurement errors (Chang et al., 2007).

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

282 Another concern in hydrologic modeling was the equifinality of model  
283 parameters (Beven and Binley, 1992; Wagener and Kollat, 2007). Table 2 showed

284 multiple combinations of parameter values yield the same  $E_{NS}$  during hydrologic  
285 modeling in TGRA. The so-called equifinality showed there was no unique parameter  
286 estimation and hence uncertainty in the estimated parameters in TGRA was obvious.  
287 This result agreed well with many other studies (Beven and Binley, 1992). This may  
288 due to the fact that parameters obtained from calibration were affected by several  
289 factors such as correlations amongst parameters, sensitivity or insensitivity in  
290 parameters, spatial and temporal scales and statistical features of model residuals  
291 (Wagener et al., 2003; Wagener and Kollat, 2007). It could be inferred that the  
292 identifiability of an optimal parameter obtained from calibration should also be  
293 evaluated. For an already gauged catchment, a virtual study can provide a point of  
294 reference for the minimum uncertainty associated with a model application. This  
295 study highlighted the importance of the monitoring task for several important physical  
296 parameters to determine more credible results for watershed management.

### 297 **3.2 Uncertainty of parameters**

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

313 *SOL\_AWC* was between [0, 0.2] and better results could be obtained in this interval.  
314 By using calibration methods, optimal parameter ranges could also be obtained  
315 without much difficulty for other identifiable parameters (*CANMX* [0, 30],  
316 *ALPHA\_BNK* [0.3, 1], *SOL\_K* [80, 300] ) could also be obtained optimal parameter  
317 range using calibration method without much difficulties. However, presence of  
318 multiple peaks in the Nash-Sutcliffe model efficiency for *CN2* and *ESCO* indicated  
319 that estimation of these parameters might not be feasible.

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

334 Fig. 4 and Fig. 6 illustrate the cumulative parameter frequency for both stream flow  
335 and sediment in the Daing River watershed. As shown in Fig. 4, the parameters were  
336 not uniformly or normally distributed, especially *SOL\_AWC*, *CANMX* and *ESCO*.  
337 *ESCO* represents the influence of capillarity and soil crannies on soil evaporation in  
338 each layer. Therefore, a change in the *ESCO* value affected the entire water balance  
339 component. When there were higher *ESCO* values, the estimated base flow, tile  
340 drainage and surface runoff increased. The greater uncertainty of this parameter  
341 indicated that the soil evaporation probably played a greater role in the whole  
342 evaporation process, possibly due to the high air temperature in rainy seasons in the

343 TGRA. In comparison, other parameters such as *CN2* and *SOL\_K* were close to a  
344 uniformly distribution while they were also more or less skewed. This non-linearity  
345 further implies that the uncertainty in model input did not translate directly into  
346 uncertainty in the model outputs but might rather appear significantly dampened or  
347 magnified in the output (Sohrabi et al., 2003). This result demonstrates the important  
348 opinion that the model output was influenced by the set of parameters rather than by a  
349 single parameter (Beven and Binley, 1992).

350 Similar to the stream flow simulation, even though many of the parameters were  
351 sensitive and affected the sediment simulation, only a small number of the sensitive  
352 parameters were identifiable. As shown in Fig. 5, the factors of uncertainty for  
353 sediment were *CN2*, Manning's value for main channel (*CH\_N2*), maximum canopy  
354 storage (*CANMX*), base flow alpha factor for bank storage (*ALPHA\_BNK*),  
355 exp.Re-entrainment parameter for channel sediment routing (*SPEXP*),  
356 lin.re-entrainment parameter for channel sediment routing (*SPCON*), channel cover  
357 factor (*CH\_COV*) and channel erodibility factor (*CH\_EROD*). Clearly, the parameter  
358 samples were very dense around the maximum limit (Fig. 6). Summarizing the  
359 information in Fig. 3, 4, 5 and 6, it can be said that the parameters with greater  
360 uncertainty of stream flow mainly come from the surface corresponding process and  
361 the parameters with greater uncertainty of sediment focused on the channel response  
362 process. The results matched well with those of Yang et al. (2011) and Shen et al.  
363 (2010).

#### 364 **4. Conclusion**

365 In this study, the GLUE method was employed to assess the parameter uncertainty in  
366 the SWAT model applied in the Daning River Watershed of the Three Gorges  
367 Reservoir Region (TGRA), China. The results indicate that only a few parameters  
368 were sensitive and had a great impact on the stream flow and sediment simulation.  
369 *CANMX*, *ALPHA\_BNK* and *SOL\_K* were identified as identifiable parameters. The  
370 values of these parameters could be obtained by calibration process without much  
371 difficulties. Conversely, there were multiple possible values for *CN2* and *ESCO*. This

372 indicates that calibration of these parameters might be infeasible. These  
373 non-identifiability parameters even led to equifinality in hydrologic and NPS  
374 modeling in the TGRA. It was anticipated that the parameter uncertainty are  
375 systematically correlated to the non-identifiability parameters. Under such cases, a  
376 user should check if any information related to the watershed characteristics and its  
377 underlying hydrologic processes could be used to provide a more precise range for  
378 model parameter. It is anticipated that this study would provide some useful  
379 information for hydrological modeling related to policy development in the Three  
380 Gorges Reservoir Region (TGRA) and other similar areas.

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

385

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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

3 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