

1 **SWAT use of gridded observations for simulating runoff –**
2 **A Vietnam river basin study**

3

4 **M. T. Vu, S. V. Raghavan and S. Y. Liang**

5 Tropical Marine Science Institute (TMSI), National University of Singapore, 18 Kent Ridge
6 Road, Singapore 119227

7 Correspondence to: M. T. Vu (tue@nus.edu.sg).

8

9 **Abstract**

10 Many research studies that focus on basin hydrology have used the SWAT model using station
11 data to simulate runoff. But over regions lacking robust station data, there is a problem of
12 applying the model to study the hydrological responses. For some countries and remote areas, the
13 rainfall data availability might be a constraint due to many different reasons such as lacking of
14 technology, war time and financial limitation that lead to difficulty in constructing the runoff
15 data. To overcome such a limitation, this research study uses some of the available globally
16 gridded high resolution precipitation datasets to simulate runoff. Five popular gridded
17 observation precipitation datasets: (1) Asian Precipitation Highly Resolved Observational Data
18 Integration Towards the Evaluation of Water Resources (APHRODITE), (2) Tropical Rainfall
19 Measuring Mission (TRMM), (3) Precipitation Estimation from Remote Sensing Information
20 using Artificial Neural Network (PERSIANN), (4) Global Precipitation Climatology Project
21 (GPCP), (5) modified Global Historical Climatology Network version 2 (GHCN2) and one
22 reanalysis dataset National Centers for Environment Prediction/National Center for Atmospheric
23 Research (NCEP/NCAR) are used to simulate runoff over the Dak Bla river (a small tributary of
24 the Mekong River) in Vietnam. Wherever possible, available station data are also used for
25 comparison. Bilinear interpolation of these gridded datasets is used to input the precipitation data
26 at the closest grid points to the station locations. Sensitivity Analysis and Auto-calibration are
27 performed for the SWAT model. The Nash-Sutcliffe Efficiency (NSE) and Coefficient of

1 Determination (R^2) indices are used to benchmark the model performance. Results indicate that
2 the APHRODITE dataset performed very well on a daily scale simulation of discharge having a
3 good NSE of 0.54 and R^2 of 0.55, when compared to the discharge simulation using station data
4 (0.68 and 0.71). The GPCP proved to be the next best dataset that was applied to the runoff
5 modeling, with NSE and R^2 of 0.46 and 0.51, respectively. The PERSIANN and TRMM rainfall
6 data driven runoff did not show good agreement compared to the station data as both the NSE
7 and R^2 indices showed a low value of 0.3. GHCN2 and NCEP also did not show good
8 correlations. The varied results by using these datasets indicate that although the gauge based
9 and satellite-gauge merged products use some ground truth data, the different interpolation
10 techniques and merging algorithms could also be a source of uncertainties. This entails a good
11 understanding of the response of the hydrological model to different datasets and a quantification
12 of the uncertainties in these datasets. Such a methodology is also useful for planning on Rainfall-
13 runoff and even reservoir/river management both at rural and urban scales.

14

15 **1 Introduction**

16 Rainfall runoff model is a typical hydrological modelling tool that determines the runoff signal
17 which leaves the watershed basin from the rainfall signal received by the basin. Therefore,
18 precipitation is the most important parameter in hydrological modelling. Soil and Water
19 Assessment Tool (SWAT) (Arnold et al., 1998), used for rainfall runoff modelling in this study,
20 was developed to quantify the runoff and concentration load due to the distributed precipitation
21 and other meteorological data based on watershed topography, soil and land use condition. A
22 number of research studies that focus on basin hydrology have used the SWAT model to
23 simulate runoff (Ashraf et al., 2011, Mengistu and Sorteberg, 2011, Raghavan et al., 2011,
24 Simon and Inge, 2010, Easton et al., 2010, Pohlert et al., 2007, Cau and Paniconi, 2007).

25 Ashraf et al., (2011) used SWAT on the Mimbres river basin in southwestern New Mexico, USA
26 with different spatially distributed rainfall data to simulate river discharge, however, these
27 datasets did not provide good simulation results. Raghavan et al., (2011) used the SWAT model
28 to assess the future (2071-2100) stream flow over Sesan catchment in Vietnam using the
29 downscaled precipitation from Regional Climate Model (RCM) Weather Research Forecast

1 (WRF) driven by the global climate model ECHAM5. Their findings proved that there is a
2 marginal increase in stream flow in this region during flood season (June to October) during the
3 end of the century. Easton et al., (2010) used SWAT to simulate runoff and erosion in the Blue
4 Nile basin with source of runoff from Ethiopia. Simon and Inge (2010) also evaluated some
5 remote sensing based rainfall products using MIKE SHE hydrological model (developed by the
6 Danish Hydrological Institute) for Senegal river basin in West Africa for daily time step between
7 2003-2005 and suggested that some of the datasets produced good NSE and R2 indices. Pohlert
8 et al. (2007) modified SWAT model (SWAT-N) to predict discharge and nitrate at mesoscale
9 Dill catchment (Germany) for 5 year period. Apart from all above research studies, the use of
10 gridded observation data which include both station data, gridded rain gauge data and satellite
11 based data to hydrological model SWAT have not been applied in any studies, especially in this
12 study region over Vietnam. Hence, our research shows an approach of ensemble rainfall data
13 source as an input to hydrological model to evaluate the application of these gridded data
14 keeping in mind future policy implications in a changing climate and management of water
15 resources in this region.

16 Many research institutes around the world have developed gridded observation precipitation data
17 for global and regional domains under different temporal and spatial resolutions. Some of them
18 such as the CRU (Climatic Research Unit, from University of East Anglia, UK) and UDEL
19 (University of Delaware precipitation dataset) are constructed based on the ground truth data for
20 the world domain with grid size of 0.5° (~50 km) in monthly intervals. Some other datasets,
21 mostly satellite based such as TRMM (Tropical Rainfall Measuring Mission), a joint endeavor
22 between NASA (National Aeronautic and Space Administration) and JAXA (Japan Aerospace
23 Exploration Agency), PERSIANN (Precipitation Estimation from Remotely Sensed Information
24 using Artificial Neural Networks) from the Center for Hydrometeorology and Remote Sensing,
25 University of California, Irvine, USA, GPCP (Global Climatology Precipitation Product) from
26 NASA, provide data in daily and sub-daily scales at resolutions between 0.25° to 1° which are
27 ideal for rainfall runoff modelling. Few datasets such as the APHRODITE (Asian Precipitation
28 Highly Resolved Observational Data Integration Towards Evaluation of water resources),
29 developed by Meterological Research Institute (MRI), Japan and GHCN2 (a modified version of
30 the Global Historical Climatology Network) from University of Washington, USA, provide a

1 daily time series of rainfall data from many ground truth data collected from different sources.
2 The reanalysis data such as NCEP/NCAR (National Centers for Environmental Prediction /
3 National Center for Atmospheric Research) and ECMWF (European Centre for Medium Range
4 Weather Forecasting) European Reanalysis ERA40 provide data at daily and sub-daily scales,
5 although at relatively coarser spatial resolutions of about 2.5° . Detailed descriptions of these
6 above datasets are provided later in this paper. This indicates there are still huge uncertainties
7 amongst available observational data and comprehensive datasets at high spatial and temporal
8 resolution need to be developed for the use by the scientific community. This paper uses the
9 daily rainfall products of the APHRODITE, TRMM, GPCP, PERSIANN, GHCN2 and the
10 NCEP/NCAR reanalysis datasets for use in the SWAT model. The SWAT model takes as input,
11 rainfall data time series from gauged stations. Hence, an interpolation method is required to
12 compute the station data (at a particular grid point) from the gridded observation data. Linear
13 interpolation is one of the simplest methods used to find the missing value. The bilinear
14 interpolation method is an extension of the linear interpolation for interpolating functions of two
15 variables on a regular grid and hence we use bilinear interpolation method to extract precipitation
16 value for station data, at a grid point.

17 The aim of this paper is to test the suitability of the application of gridded observational
18 precipitation datasets to generate runoff over the study region, especially when station data are
19 not available. This has implications for climate change studies also when climate model inputs
20 will be available for runoff modelling. In doing so, the climate model derived rainfall estimates
21 need to be compared to station data, in whose absence, those results need to be compared to the
22 globally available gridded data products. This will help in the application of gridded precipitation
23 data in climate change studies where rainfall data obtained from regional climate modelling will
24 be applied to quantify the change in future runoff under different climate change scenarios.

25

26 **2 Study region, model and data**

27 **2.1 Study catchment**

1 The Dak Bla river catchment lies in the central highland of Vietnam and the Dak Bla river is a
2 small tributary of the Mekong river. There are 3 rainfall stations Kon Plong, Kon Tum and Dak
3 Doa inside and outside of the catchment (Fig. 1). There is a gauging discharge station at Kon
4 Tum that measures the runoff at the downstream end of the river. Its total area from upstream to
5 Kon Tum station is 2560 km² and the river length is about 80 km. The watershed is covered
6 mostly by tropical forests which are classified as: tropical evergreen forest, young forest, mixed
7 forest, planned forest and shrub. The local economy is based heavily on rubber and coffee
8 plantations on typical red basalt soil (Fig. 2) in which, by the end of 2010, coffee will be
9 accounted for 10% of Vietnam's annual export earnings (Ha and Shively, 2007). With the
10 advantage of topography of this central highland region, there is a very high potential of
11 constructing hydropower dams in this region to store surface water for multipurpose needs:
12 irrigation, electric generation and flood control. Upper Kon Tum hydropower with installed
13 capacity of 210 MW had been under construction since 2009 (to be completed in 2014) in the
14 upstream region of Dak Bla river and at 110 km downstream, there is a Yaly hydropower plan
15 (installed capacity 720MW – second biggest hydropower project in Vietnam) which had been in
16 operation since 2001. Forecasting runoff flow from rainfall is therefore quite an important task in
17 this region in order to operate the hydropower dam regulation as well as for irrigation purposes.

18 The climate of this region follows the pattern of central highland in Asia with an annual average
19 temperature of about 20°-25°C and total annual average rainfall of about 1500-3000 mm with
20 high evapotranspiration rate of about 1000-1500 mm per annum. The southwest monsoon season
21 (May to September) brings more rain to this region. The whole region is divided into 9 sub-
22 basins by the model base on DEM as seen in Fig.1c.

23

24 **2.2 SWAT Model**

25 SWAT is a river basin scale model, developed by the United States Department of Agriculture
26 (USDA) - Agriculture Research Service (ARS) in early 1990s. It is designated to work for a
27 large river basin over a long period of time. Its purpose is to quantify the impact of land
28 management practices on water, sediment and agriculture chemical yields with varying soil, land
29 use and management condition. SWAT version 2005 with ArcGIS user interface is used in this

1 paper. There are two methods for estimating surface runoff in SWAT model: Green & Ampt
2 infiltration method, which requires precipitation input in sub-daily scale (Green and Ampt, 1911)
3 and the Soil Conservation Service (SCS) curve number procedure (SCS Handbook, 1972) which
4 uses daily precipitation, the latter therefore was selected in model simulation. Retention
5 parameter is very important in SCS method and it is defined by Curve Number (CN) which is a
6 sensitive function of the soil's permeability, land use and antecedent soil water conditions.
7 SWAT model offers three options for estimating potential evapotranspiration, PET: Hargreaves
8 (Hargreaves et al., 1985), Priestley-Taylor (Priestley and Taylor, 1972) and Penman-Monteith
9 (Monteith, 1965). It depends on the amount of required inputs that each model is preferred.
10 While Hargreaves method requires only maximum, minimum and average air temperature, the
11 Priestley-Taylor method needs solar radiation, air temperature and relative humidity and the
12 inputs for Penman-Monteith method are the same as Priestley-Taylor, in addition requiring the
13 wind speed. Due to limitations in the available meteorological data, the Hargreaves method is
14 applied in this study. In the SWAT model, the land area in a sub-basin is divided into what are
15 known as Hydrological Response Units (HRUs). In other words, a HRU is the smallest portion
16 that combines different land use and soil type by overlaying their spatial map. All processes such
17 as surface runoff, PET, lateral flow, percolation, soil erosion, nitrogen and phosphorous are
18 carried out for each HRU (Arnold and Fohrer, 2005).

19 In this study, SWAT input requires spatial data like DEM (Digital Elevation Model), land use
20 and soil map. The DEM of 250 m was obtained from the Department of Survey and Mapping
21 (DSM), Vietnam. Land use map, version 2005, was taken from the Forest Investigation and
22 Planning Institute (FIPI) of Vietnam. Soil map was implemented by the Ministry of Agriculture
23 and Rural Development (MARD) based on the FAO (Food and Agriculture Organization)
24 category. Precipitation data in daily format was used from 1995-2005 from 3 stations catchment
25 for both calibration and validation processes (Fig. 1 and Fig.2). Daily maximum and minimum
26 temperatures were obtained from the local authority from the Kon Tum meteorological station.
27 The average daily temperature was calculated from the daily maximum and minimum
28 temperatures.

29

1 **2.3 Gridded Observation and Reanalysis data**

2 The different observational data that were used in this study are described in this section. The
3 interpolation method that was used to ascertain rainfall values closer to the chosen stations is
4 also described.

5 APHRODITE

6 A daily gridded precipitation dataset for 1951-2007 was created by collecting rain gauge
7 observation data across Asia through the activities of the Asian Precipitation Highly Resolved
8 Observational Data Integration Towards the Evaluation of Water Resources project. However, it
9 is important to notice that the gridded precipitation values from the APHRODITE project is
10 available only for all land area covering Monsoon Asia, Middle East and Russia and not
11 available for oceanic areas. Version V1003R1 with spatial resolution of 0.25° for the Monsoon
12 Asia region is used in this paper. More information can be found in Yatagai et al., (2009).

13 TRMM

14 The Tropical Rainfall Measuring Mission aims to monitor tropical and subtropical precipitation
15 and to estimate its associated latent heating (NASA, 2007). The daily product TRMM 3B42 was
16 used in this study. The purpose of the 3B42 algorithm is to produce TRMM-adjusted merged-
17 infrared (IR) precipitation and root-mean-square (RMS) precipitation-error estimates. The
18 version 3B42 has a 3-hourly temporal resolution and a 0.25° by 0.25° spatial resolution. The
19 spatial coverage extends from 50°S to 50°N and 0° to 360°E . The daily accumulated rainfall
20 product was derived from this 3-hourly product.

21 PERSIANN

22 PERSIANN algorithm provides global precipitation estimation using combined geostationary
23 and low orbital satellite imagery. Although other sources of precipitation observation, such as
24 ground based radar and gauge observations, are potential sources for the adjustment of model
25 parameters, they are not included in the current PERSIANN product generation. The evaluation
26 of the PERSIANN product using gauge and radar measurements is ongoing to ensure the quality
27 of generated rainfall data. PERSIANN generates near-global (50°S - 50°N) product at a 0.25°

1 spatial resolution having 3 hourly temporal resolutions (Wheater, 2007). The daily data used in
2 this study is aggregated from this 3 hourly dataset.

3 GPCP

4 The GPCP version 1DD (Degree Daily) V1.1 is computed by the GPCP Global Merge
5 Development Centre, at the NASA/GSFC (Goddard Space Flight Center) Laboratory for
6 Atmospheres. It uses the best quasi-global observational estimators of underlying statistics to
7 adjust quasi-global observational datasets that have desirable time/space coverage. Compared to
8 its previous model, version 2.1 (2.5° x 2.5°), the 1DD V1.1 has undergone extensive
9 development work which include diurnally varying calibrations, extension back in time,
10 additional sensors, direct use of microwave estimates and refined combination approaches. The
11 current dataset extends from October 1996 to present day with a grid size 1° x 1° longitude-
12 latitude. More information about this dataset can be found in Huffman et al. (2001).

13 GHCN2

14 This is the modified version 2 of Global Historical Climatology Network and has been
15 documented in detail by Adam and Lettenmaier (2003). For simplicity, we call it GHCN2 in this
16 paper. It includes precipitation, air temperature and wind speed data and is developed from
17 Department of Civil and Environmental Engineering, University of Washington. The
18 precipitation dataset is based on gauge based measurement and is available on land only. Daily
19 precipitation data from 1950 to 2008 with spatial resolution of 0.5° x 0.5° was used in this study.

20 NCEP Reanalysis:

21 The National Centers for Environmental Prediction (NCEP) and National Center for
22 Atmospheric Research (NCAR) have developed a 40-year record of global re-analyses (Kalnay
23 et al., 1996) of atmospheric fields in support of the needs of the research and climate monitoring
24 communities. The NCEP/NCAR re-analyses provide information at a horizontal resolution of
25 T62 (~ 209 km) with 28 vertical levels. This dataset has now been extended from 1948 onwards
26 and is available until date. Most of the variables are available at a resolution of 2.5° x 3.75° on a
27 regular latitude and longitude grid. The Table 1 shows the different datasets used in this study.

28

1 **3 Sensitivity analysis, Calibration and Validation**

2 Sensitivity analysis is a method to analyse the sensitivity of model parameters to model output
3 performance. In SWAT, there are 26 parameters sensitive to water flow, 6 parameters sensitive
4 to sediment transport and other 9 parameters sensitive to water quality. The sensitivity analysis
5 method coupled in SWAT model uses Latin Hypercube One-factor-At-a-Time method (LH-
6 OAT). This method combines the robustness of the Latin Hypercube (McKay et al., 1979;
7 McKay, 1988) sampling that ensures that the full range of all parameters has been sampled with
8 the precision of an OAT design (Morris, 1991) assuring that the changes in the output in each
9 model run can be unambiguously attributed to the parameter that was changed (Van Griensven et
10 al., 2006). The first 2 columns of Table 2 show the order of 11 parameters which are sensitive to
11 model output. Auto-calibration using ParaSol is applied to those most sensitive parameters to
12 find the appropriate range of parameters that yield the best result compared to observed
13 discharge data at the gauging station. ParaSol is an optimization and a statistical method for the
14 assessment of parameter uncertainty and it can be classified as being global, efficient and being
15 able to deal with multiple objectives (Van Griensven and Meixner, 2006). This optimization
16 method uses the Shuffled Complex Evolution method (SCE-UA) which is a global search
17 algorithm for the minimization of a single function for up to 16 parameters (Duan et al, 1992). It
18 combines the direct search method of the simplex procedure with the concept of a controlled
19 random search of Nelder and Mead (1965). The sum of the squares of the residuals (SSQ) is used
20 as an objective function aiming at estimating the matching of a simulated series to a measured
21 time series.

22 The SWAT model was run in a daily scale. The calibration period was done for the years 2000-
23 2005 with the first year as the warm up period and the validation using 1995-2000 period. Model
24 sensitivity analysis was applied for the runoff parameters and the Auto-calibration was done
25 using ParaSol method for 11 parameters that have the highest ranking in the sensitivity analysis
26 part (Table 2). The Nash Sutcliffe Efficiency (NSE) and coefficient of determination (R^2) are
27 used as comparing indices for the observed and simulated discharges from the SWAT model
28 using different gridded precipitation. R^2 is the square of correlation coefficient (CC) and the NSE
29 is calculated from equation (1) shown below. The NSE shows the skill of the estimates relative

1 to a reference and it varies from negative infinity to 1 (perfect match). The NSE is considered to
2 be the most appropriate relative error or goodness-of-fit measures available owing to its
3 straightforward physical interpretation (Legates and McCabe, 1999).

$$4 \quad NSE = 1 - \frac{\sum_{i=1}^n [(o_i - s_i)^2]}{\sum_{i=1}^n [(o_i - \bar{o})^2]} \quad (1)$$

5 where o_i and s_i are observed and simulated discharge dataset respectively.

6 The NSE and R^2 for calibration and validation part are shown in Fig 3. The indices, NSE and R^2 ,
7 for the calibration phase were 0.68 and 0.71 respectively, showing that the SWAT model was
8 able to generate a reasonably good rainfall runoff process. The validation phase has lower values
9 of indices compared to calibration with NSE and R^2 indices at 0.43 and 0.47, respectively. This
10 could be attributed to the errors in the precipitation data, either instrumental or recorded at these
11 rainfall stations.

12 The next section describes the application of the gridded precipitation data to SWAT runoff for
13 the 2001-2005 period only.

14

15 **4 Application to runoff over Dak Bla river basin using different gridded** 16 **observation dataset.**

17 The 6 different observed datasets were bi-linearly interpolated to the 3 rainfall stations for the
18 study period of 2001-2005. Some analyses have been carried out to compare those observational
19 gridded datasets against station data. Fig. 4 displays the monthly average annual precipitation
20 cycle and the statistical box plots for the 6 gridded observation datasets compared against
21 observed station data. The annual cycle, as seen from the figure, is very useful to evaluate the
22 seasons through the year. It is normally estimated from observational data or model output by
23 taking the average of each month for a given number of years. This is a useful way of comparing
24 the model and observations and is being used in many studies to compare data and trends (Peter
25 et al., 2009). It is clearly seen from the pattern of precipitation annual cycle over these 3 rainfall

1 stations that the observed data in black line shows that the Southwest monsoon season (from
2 May to September) brings more rain to this region with a peak of rainfall in August.
3 APHRODITE (blue) and PERSIANN (red) follow closely with observed pattern. GPCP (cyan) is
4 slightly lagging in mimicking the peak of the rainfall. The TRMM (green) and GHCN2
5 (magenta) data are not as good when compared to the other 3 datasets. The NCEP/NCAR
6 reanalysis data (yellow) performs poorly, probably due to its coarse spatial resolution. The box
7 plot is an efficient statistical method for displaying a five-number data summary: median, upper
8 quartile (75th percentile), lower quartile (25th percentile), minimum and maximum value. The
9 range of the middle two quartiles is called an inter-quartile range represented by a rectangle and
10 if the median line in the box is not equidistant from the hinges then data is supposed to be
11 skewed. The average monthly for 5 year period precipitation box plots over 3 rainfall stations for
12 6 datasets are plotted in Fig. 4. Looking at the inter-quartile range of the gridded datasets
13 compared to the station data, the APHRODITE and GPCP have the same range at the 3 stations
14 while PERSIANN, TRMM and GHCN2 are slightly narrower with NCEP having the lowest
15 range amongst them all and these showcase the uncertainties among them.

16 Overall, the following statistics were applied to evaluate the gridded datasets with reference to
17 the station data: linear correlation coefficient (CC), mean error (ME), mean absolute error
18 (MAE) and bias as shown in their respective equations below:

$$19 \quad CC = \frac{\sum_{i=1}^n [(x_i - \bar{x})(y_i - \bar{y})]}{\sqrt{\sum_{i=1}^n [(x_i - \bar{x})^2] \sum_{i=1}^n [(y_i - \bar{y})^2]}} \quad (2)$$

$$20 \quad ME = \frac{1}{n} \sum_{i=1}^n (x_i - y_i) \quad (3)$$

$$21 \quad MAE = \frac{1}{n} \sum_{i=1}^n |(x_i - y_i)| \quad (4)$$

$$1 \quad Bias = \frac{\sum_{i=1}^n x_i}{\sum_{i=1}^n y_i} \quad (5)$$

2 where x and y are gridded and local station dataset respectively. The best value for CC and bias
3 are 1 (unit-less), ME and MAE are 0 (mm), for precipitation. It has been suggested that MAE
4 could be used instead of the Root Mean Square Error (RMSE) to avoid the effects of large
5 outliers (Legates and McCabe, 1999). The comparison statistics for 3 rainfall stations on a daily
6 scale over a 5 year period 2001-2005 are shown in Table 3. In general, the CC of APHRODITE
7 is the best for the 3 stations with a value above 0.65 followed by TRMM, GPCP and
8 PERSIANN, in rank order. The GHCN2 and NCEP/NCAR data nearly have no correlation
9 showing a zero value of CC. The bias for APHRODITE is very low (much closer to 1) for 3
10 stations while for GHCN2 is the highest one. The ME for GHCN2 seemed to be the lowest one
11 at Dakdoea and Kon Tum stations which are inside the study catchment despite of its very low CC
12 and high bias. In contrast the MAE of GHCN2 is the second highest after NCEP/NCAR (the
13 coarse dataset). By observing the trends of 4 different statistics for 6 datasets, it is proposed that
14 the role of ME in comparing those dataset is negligible whilst CC, MAE and bias show the same
15 trend for these gridded data. Overall, this suggests that the APHRODITE dataset proves to be the
16 best source of all gridded observations amongst all the ones considered in this study followed by
17 TRMM, GPCP, PERSIANN, GHCN2 and NCEP, in that rank order.

18 The next step was to evaluate the performance of these different gridded products when applied
19 to generate runoff for study region with the aforementioned calibrated parameters. These results
20 are shown in daily and monthly scales from the daily simulations for a 5 year period from 2001-
21 2005. The NSE and R² indices for each dataset are displayed in Table 4. These results also show
22 that the APHRODITE dataset performs very well on the daily scale simulation of discharge
23 when it has the closest NSE (0.54) and R² (0.55) indices when compared to the discharge
24 simulation using station data (0.68 and 0.71). The GPCP proved to be the next best dataset that
25 was applied to the runoff modelling, with NSE and R² of 0.46 and 0.51, respectively. The
26 PERSIANN and TRMM rainfall data driven runoff do not show good agreement compared to the

1 station data as both the NSE and R^2 indices show a low value of 0.3. GHCN2 and NCEP do not
2 show good correlations.

3 On a monthly scale (Fig. 5), the GPCP (cyan) shows a very good match against the station data.
4 Its NSE and R^2 value are about 0.8. The APHRODITE (blue) dataset shows good result with
5 NSE and R^2 above 0.70. The PERSIANN (red) dataset also shows reasonable agreement whilst
6 the TRMM (green) data, despite its high temporal and spatial resolution, does not show a good
7 match. The errors in satellite measurements could possibly be a factor that skews the
8 benchmarking indices but more work is needed to determine as to why the TRMM dataset fares
9 less well than the others. The NCEP/NCAR reanalysis (yellow) does not show a good agreement
10 even at capturing the stream flow patten, probably due its coarse resolution. The GHCN2
11 (magenta) performs better compared to the NCEP/NCAR dataset but lags by two months for the
12 peak discharge. The varied results by using these datasets indicate that although the gauge based
13 and satellite-gauge merged products use some ground truth data, the different interpolation
14 techniques and merging algorithms could also be a source of uncertainties.

15 These results indicate that although some uncertainties exist amongst these several datasets, the
16 application of these gridded data prove useful for hydrological studies in the absence of station
17 data and have implications for future studies to assess hydrological responses. The SWAT model
18 also proves to be a good tool in such a modelling approach.

19

20 **5 Conclusion**

21 The SWAT model was applied for a catchment in central highland of Vietnam. The first part of
22 the paper focused on the sensitivity analysis and auto calibration which were conducted for a 5
23 year period from 2001-2005. The benchmarking indices prove that SWAT is a good and reliable
24 hydrological model to simulate the rainfall runoff process for this catchment and that the gridded
25 observational datasets can be a good substitute for station data over regions where robust
26 observed data are not available.

27 A quantification of the application of different gridded observation and reanalysis datasets was
28 also done. Amongst the 6 different datasets used in this study, the APHRODITE data shows its

1 best match to station data in daily scale and the satellite based GPCP 1DD data, despite its
2 relatively coarser resolution proves that it is a very good precipitation dataset under a monthly
3 scale. The uncertainties that exist in the different observational datasets are being highlighted
4 from this study. Although the temporal and spatial resolution may be higher, the different
5 sources of errors in these datasets need further investigation and much more work is needed to
6 that end. Nevertheless, the usefulness and suitability of applying these gridded products has been
7 highlighted and it is promising that in areas where there is a paucity of station observations, these
8 gridded products can be used well for applications for rainfall runoff modelling. Further work is
9 likely to use regional climate model outputs under a changing climate to study rainfall runoff
10 with these gridded observations serving as the benchmark to quantify climate model simulated
11 rainfall.
12

1 **References**

2

3 Adam, J. C. and Lettenmaier, D. P.: Adjustment of global gridded precipitation for systematic
4 bias, *J. Geophys. Res.*, 108, 1–14, 2003.

5 Arnold, J. G. and Fohrer, N.: SWAT2000: current capabilities and research opportunities in
6 applied watershed modelling. *Hydrol. Process.*, 19, 563–572, doi:10.1002/hyp.5611, 2005.

7 Arnold, J.G., Srinivasan, R., Muttiah, R.S. and Williams, J.R.: Large area hydrologic modelling
8 and assessment, part I: Model development, *J. of American Water Resources Association*, 34,11,
9 73-89, 1998.

10 Ashraf E.-S., Max B., Manoj S., Steve G. and Alexander F.: Alternative climate data sources for
11 distributed hydrological modelling on a daily time step. *Hydrol. Process.*, 25, 1542–1557, 2011.

12 Cau, P. and Paniconi, C.: Assessment of alternative land management practices using
13 hydrological simulation and a decision support tool: Arborea agricultural region, Sardinia,
14 *Hydrol. Earth Syst. Sci.*, 11, 1811-1823, doi:10.5194/hess-11-1811-2007, 2007.

15 Duan Q., Sorooshian, S. and Gupta V.: Effective and efficient global optimization for conceptual
16 rainfall-runoff models, *Water Resour. Res.*, 28, 1015–1031, 1992.

17 Easton Z. M., Fuka D. R., White E. D., Collick A. S., Ashagre B. B, McCartney M., Awulachew
18 S. B., Ahmed A. A. and Steenhuis T. S.: A multi basin SWAT model analysis of runoff and
19 sedimentation in the Blue Nile, Ethiopia. *Hydrol. Earth Syst. Sci.*, 14, 1827-1841,
20 doi:10.5194/hess-14-1827-2010, 2010.

21 Green W. H. and Ampt G. A.: Studies on soil physics. *J. of Agri. Scie.*, 4, 11-24, 1911.

22 Ha D.T. and Shively G.: Coffee Boom, Coffee Bust and Smallholder Response in Vietnam's
23 Central Highlands. *Review of Development Economics*, 2007.

24 Hargreaves G. L., Hargreaves G. H. and Riley J. P.: Agriculture benefits for Senegal River basin.
25 *J. Irrig. and drain. Engr.*, 111, 2, 113-124, 1985.

1 Huffman, G.J., R.F. Adler, M. Morrissey, D.T. Bolvin, S. Curtis, R. Joyce, B McGavock and J.
2 Susskind: Global Precipitation at One-Degree Daily Resolution from Multi-Satellite
3 Observations. *J. Hydrometeor.*, 2, 36-50, 2001.

4 Kalnay E., Kanamitsu M., Kistler R., Collins W., Deaven D., Gandin L., M. Iredell, Saha S.,
5 White G., Woollen J., Zhu Y., Leetmaa A. and Reynolds R.: The NCEP/NCAR 40-Year
6 Reanalysis Project, *Bulletin of the American Meteorological Society*, 1996.

7 Krause P., Boyle D. P. and Base F.: Comparison of different efficiency criteria for hydrological
8 model assessment. *Adv. Geosci.*, 5, 89-97, 2005.

9 Legates D. R. and McCabe G. J.: Evaluating the use of ‘goodness-of-fit’ measures in hydrologic
10 and hydroclimatic model validation. *Water Resources Research*, 35, 233-241, 1999

11 McKay M. D., Beckman R. J. and Conover, W.J.: A comparison of three methods for selecting
12 values of input variables in the analysis of output from a computer code. *Technometrics*, 21, 2,
13 239–245, 1979.

14 McKay M. D.: In: Ronen, Y. (Ed.), *Sensitivity and Uncertainty Analysis Using a Statistical*
15 *Sample of Input Values*. CRC Press, Boca Raton, FL, 145–186, 1988.

16 Mengistu D. T. and Sorteberg A.: Validation of SWAT simulated streamflow in the Eastern Nile
17 and sensitivity to climate change. *Hydrol. Earth Syst. Sci. Discuss.*, 8, 9005-9062,
18 doi:10.5194/hess-15-807-2011, 2011.

19 Monteith J. L.: *Evaporation and the environment*. Symposia of the society for Experimental
20 *Biology*. Cambridge Univ. Press, London, UK, 205-234, 1965.

21 Morris M. D.: Factorial sampling plans for preliminary computation experiments,
22 *Technometrics*, 33, 161-174, 1991.

23 NASA: *Tropical Rainfall Measuring Mission TRMM: Senior Review Proposal*, 2007.

24 Nash, J.E. and Sutcliffe, J.V.: River flow forecasting through conceptual models, Part 1 – A
25 discussion of principles. *J. of Hydrology*, 10, 3, 282-290, 1970.

26 Nelder J. A. and Mead R.: A simplex method for function minimization. *Compt J.*, 7, 4, 308-313,
27 1965.

1 Peter C., Chin H.-N. S., Bader D. C. and Bala G.: Evaluation of a WRF dynamical downscaling
2 simulation over California. *Climatic change*, 95, 499-521, doi 10.1007/s10584-009-9583-5,
3 2009.

4 Pohlert T., Breuer L., Huisman J. A. and Frede H.-G: Assessing the model performance of an
5 integrated hydrological and biogeochemical model for discharge and nitrate load predictions.
6 *Hydrol. Earth Syst. Sci.*, 11, 997-1011, 2007.

7 Priestley C.H.B and Taylor R.J.: On the assessment of surface heat flux and evaporation using
8 large scale parameters. *Mon. Weather Rev.*, 100, 81-92, 1972.

9 Raghavan, V. S., Vu, M. T., Liong, S.-Y., Reggiani, P. and Verwey, A.: Investigating
10 uncertainties in rainfall observations over Southeast Asia. EGU General Assembly, Vienna,
11 Austria, 2010.

12 Raghavan, V.S., Vu M.T and Liong S.Y.: Assessment of future stream flow over the Sesan
13 catchment of the Lower Mekong Basin in Vietnam. *Hydrol. Process*. DOI: 10.1002/hyp.8452,
14 2011.

15 Simon S. and Inge S.: Evaluation of remote-sensing-based rainfall products through predictive
16 capability in hydrological runoff modelling. *Hydrol. Process*. 24, 879–891, 2010.

17 Soil Conservation Service: Section 4 - Hydrology in National Engineering Handbook. SCS, 1972

18 Solman S. A., Nunez M. N and Cabre M. F.: Regional climate change experiments over southern
19 South America. I: present climate. *Clim. Dyn.*, 30, 533-552, doi. 10.1007/s00382-007-0304-3.

20 Van Griensven A. and Meixner T.: Methods to quantify and identify the sources of uncertainty
21 for river basin water quality models, *Water Science and Technology*, 53,1, 51-59, 2006.

22 Van Griensven A., Meixner T., Grunwald S., Bishop T. and Srinivasan R.: A global sensitivity
23 analysis method for the parameters of multi-variable catchment model. *Journal of Hydrology*,
24 324, 10-23, 2006.

25 Wheater H., Sorooshian S. and Sharma, K. D: *Hydrological Modelling in Arid and Semi-Arid*
26 *Areas*. Cambridge University Press, Cambridge Books Online,
27 <http://dx.doi.org/10.1017/CBO9780511535734.003>, 2011.

- 1 Xie P.P., Yatagai A., Chen M.Y., Hayasaka T., Fukushima Y., Liu C.M. and Yang S.: A Gauge-
- 2 based analysis of daily precipitation over East Asia. *J. of Hydrometeorology*, 8, 607-626. DOI:
- 3 10.1175/jhm583.1, 2007.
- 4 Yatagai A., O. Arakawa, K. Kamiguchi, H. Kawamoto, Nodzu M.I. and Hamada A.: A 44-year
- 5 daily gridded precipitation dataset for Asia based on a dense network of rain gauges. *SOLA*,
- 6 137-140, 2009.
- 7

1 Table 1. Gridded observations and Reanalysis datasets used in the study

<i>DATASET</i>	<i>Period</i>	<i>Resolution ($^{\circ}$)</i>	<i>Temporal Scale</i>	<i>Region</i>
APHRODITE	1951-2007	0.25	daily	Monsoon Asia
TRMM	1998-present	0.25	3 hourly	Near Global
PERSIANN	2000-present	0.25	3 hourly	Near Global
GPCP	1997-present	1.00	daily	Global
GHCN2	1950-2008	0.5	daily	Near Global
NCEP	1957-2003	2.50	daily	Global

2

1 Table 2. Order of sensitive parameters and optimal value

Sensitivity Analysis Order	Parameter	Description	Unit	Parameter range	Initial value	Optimal value
1	Alpha_Bf	Baseflow recession constant	days	0 ~ 1	0.048	0.02
2	Cn2	Moisture condition II curve no	-	35 ~ 98	35	40.33
3	Ch_N2	Manning n value for the main channel	-	-0.01 ~ 0.3	0.014	0.04
4	Ch_K2	Effective hydraulic conductivity in main channel	mm/hr	-0.01 ~ 500	0	129
5	Sol_K	Saturated hydraulic conductivity	mm/hr	0 ~ 2000	1.95	150.7
6	Sol_Awc	Available water capacity	mm/mm	0 ~ 1	0.22	0.32
7	Surlag	Surface runoff lag coefficient	-	1 ~ 24	4	1.58
8	Esco	Soil evaporation compensation factor	-	0 ~ 1	0	1
9	Gwqmin	Threshold water level in shallow aquifer for base flow	mm	0 ~ 5000	0	0.36
10	Gw_Revap	Revap coefficient	-	0.02 ~ 0.2	0.02	0.09
11	Gw_Delay	Delay time for aquifer recharge	days	0 ~ 500	31	466.2

2

3

- 1 Table 3. Comparison statistics of gridded data with reference to local station for daily value over
 2 5 year period 2001-2005.

Dakdo

Statistic	APHRODITE	TRMM	PERSIANN	GPCP	GHCN2	NCEP
CC	0.67	0.32	0.24	0.31	0.04	-0.02
ME	-0.22	-0.99	-0.61	0.18	0.09	0.30
MAE	3.96	5.63	6.29	6.19	7.67	8.25
Bias	0.96	0.41	0.32	0.29	0.18	0.23

Konplong

Statistic	APHRODITE	TRMM	PERSIANN	GPCP	GHCN2	NCEP
CC	0.66	0.46	0.34	0.41	0.03	-0.05
ME	0.33	0.27	0.29	1.16	0.75	0.57
MAE	3.87	5.20	5.73	6.00	7.39	7.67
Bias	1.08	0.51	0.34	0.30	0.18	0.21

Kon Tum

Statistic	APHRODITE	TRMM	PERSIANN	GPCP	GHCN2	NCEP
CC	0.85	0.39	0.30	0.37	0.03	-0.02
ME	-0.13	-0.86	-0.86	0.11	0.08	0.36
MAE	2.64	5.46	5.86	5.89	7.83	8.38
Bias	0.97	0.42	0.30	0.28	0.18	0.23

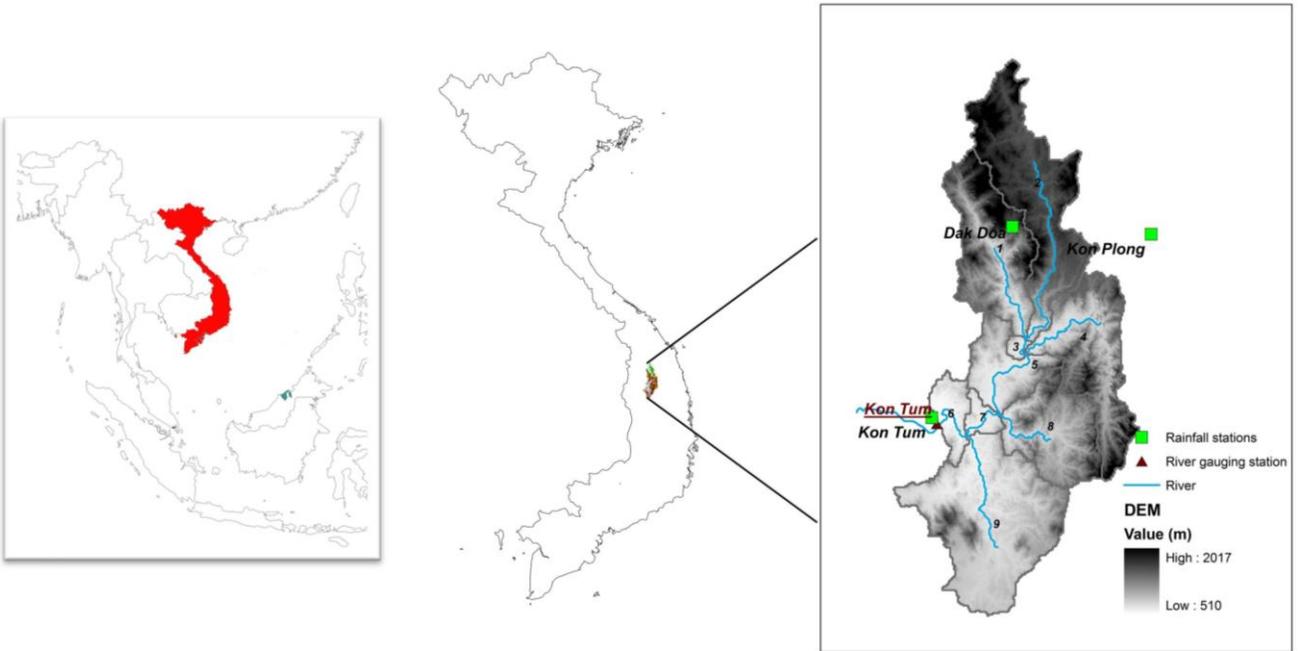
3

4

- 1 Table 4. NSE and R^2 indices for gridded observation and Reanalysis data applied to runoff over
- 2 Dak Bla river

Data	Daily		Monthly	
	NSE	R^2	NSE	R^2
Station	0.68	0.71	0.86	0.88
APHRODITE	0.54	0.55	0.70	0.72
TRMM	0.28	0.32	0.27	0.36
PERSIANN	0.30	0.34	0.50	0.54
GPCP	0.46	0.51	0.80	0.88
GHCN2	-0.06	0.13	0.15	0.28
NCEP	-0.78	0.01	-1.13	0.01

3



1
2
3
4
5
6
7

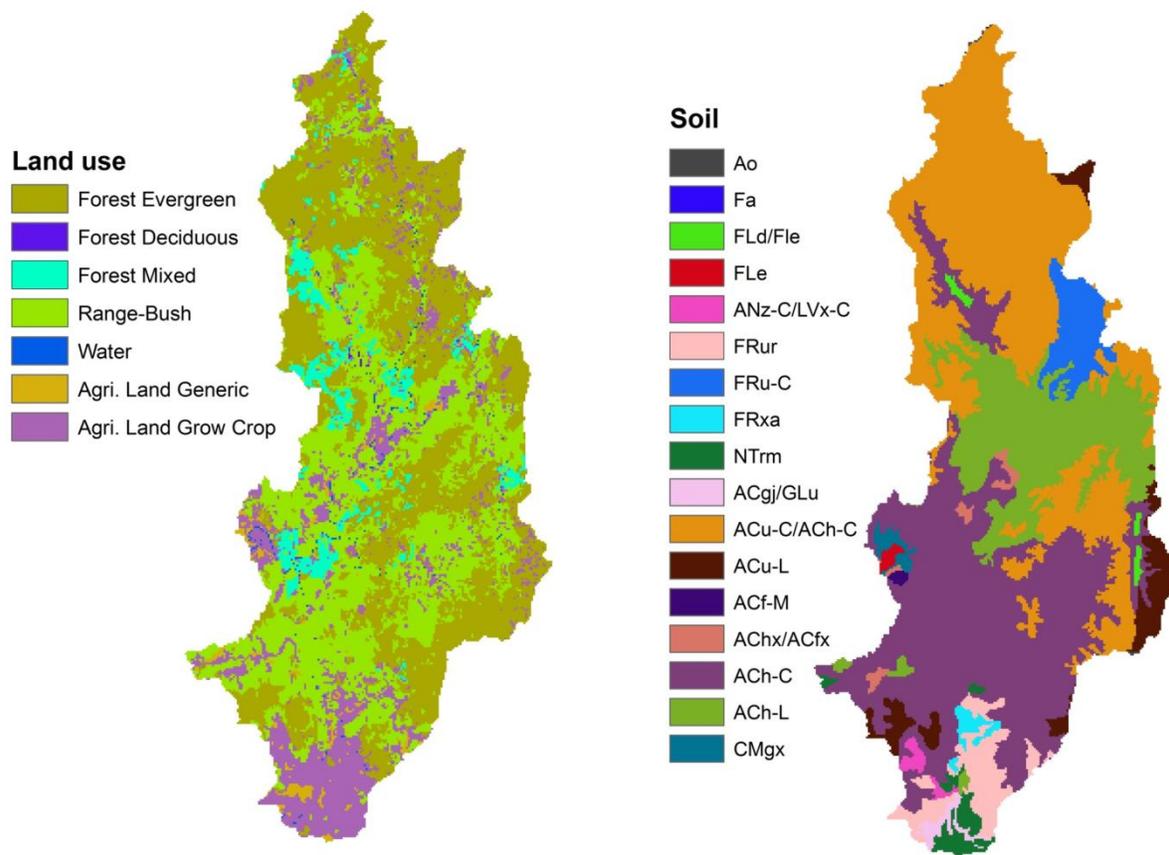
(a)

(b)

(c)

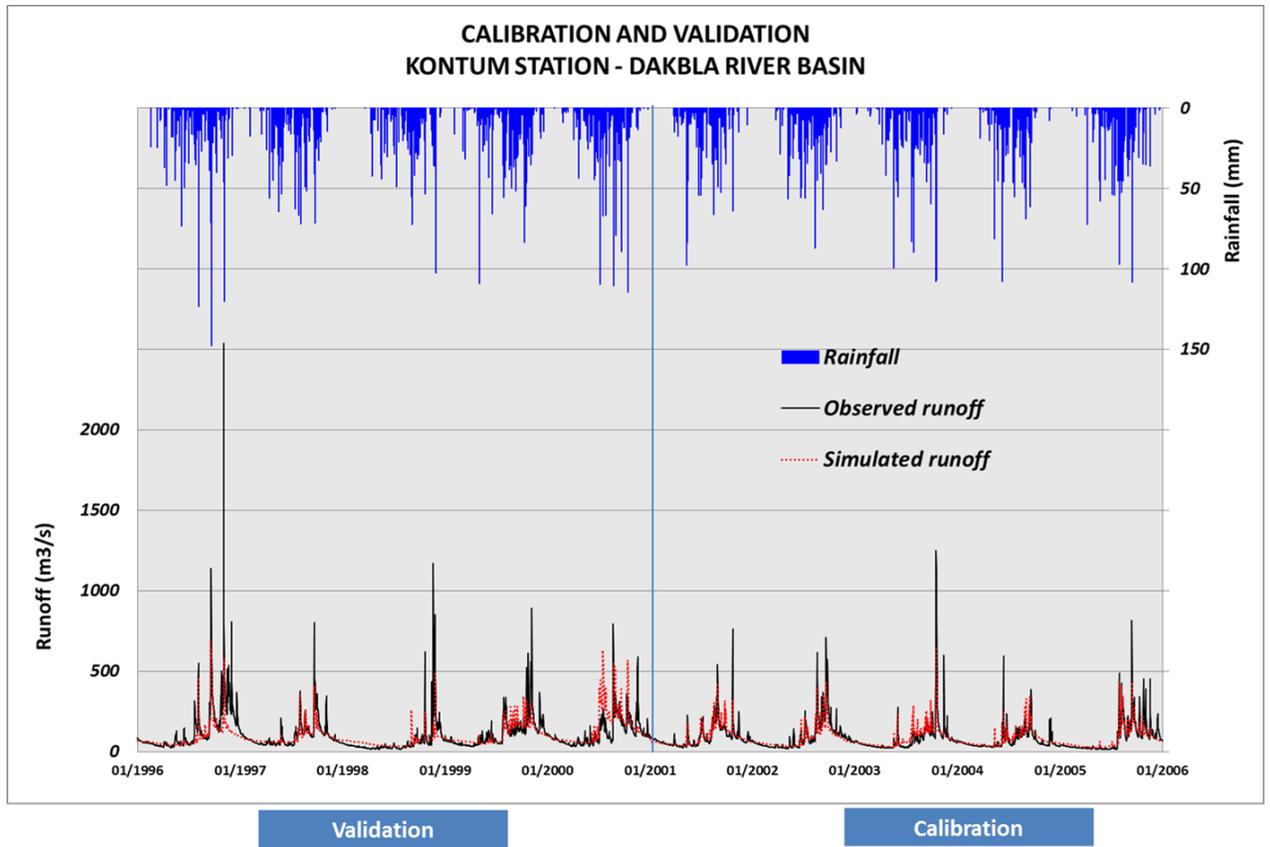
Figure 1. Study region

- (a) The country Vietnam is shown within the Southeast Asia region
- (b) The location of the catchment in Vietnam
- (c) The catchment area



1

2 Figure 2. Land use and soil map of Dak Bla river basin

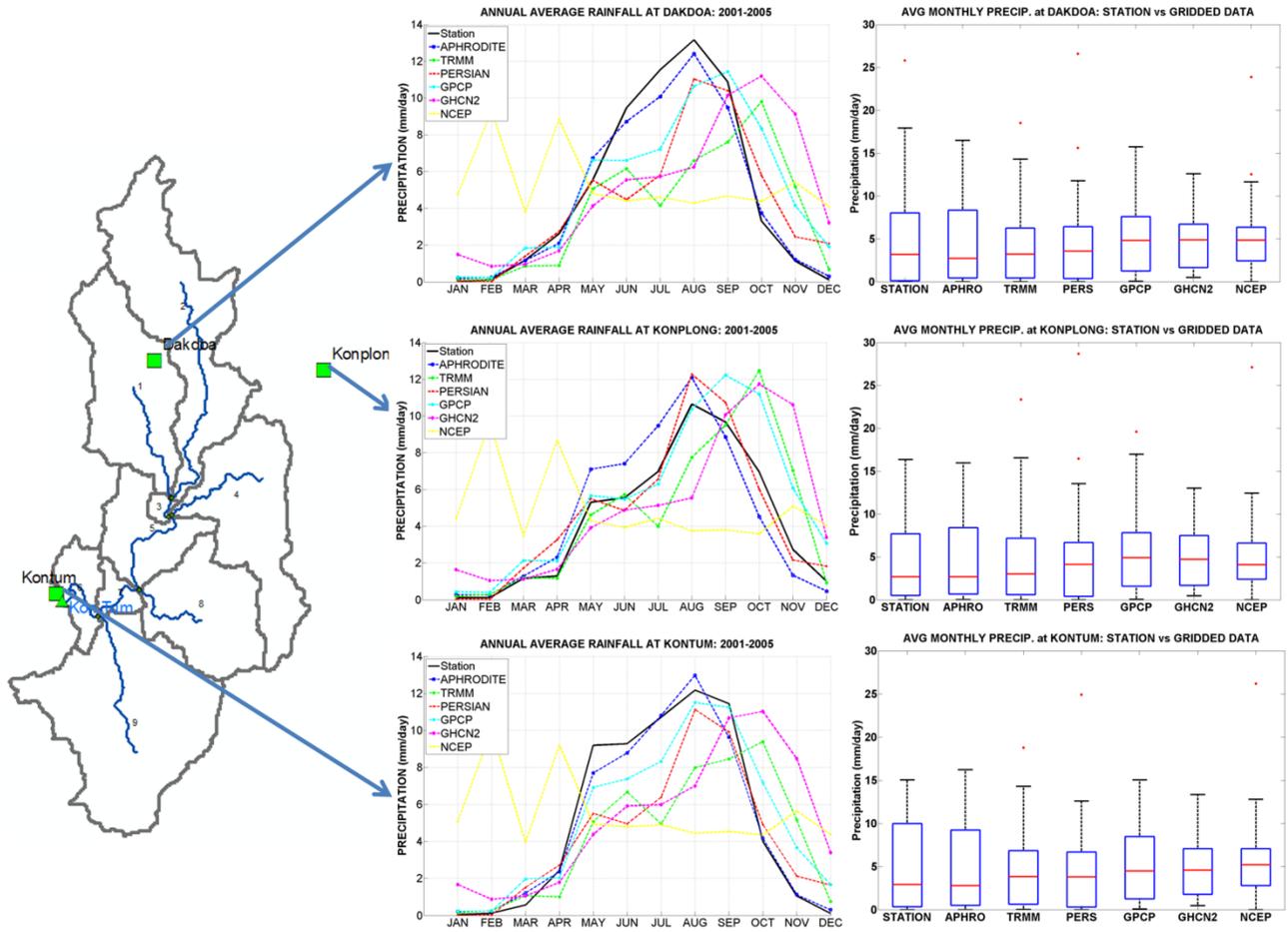


1

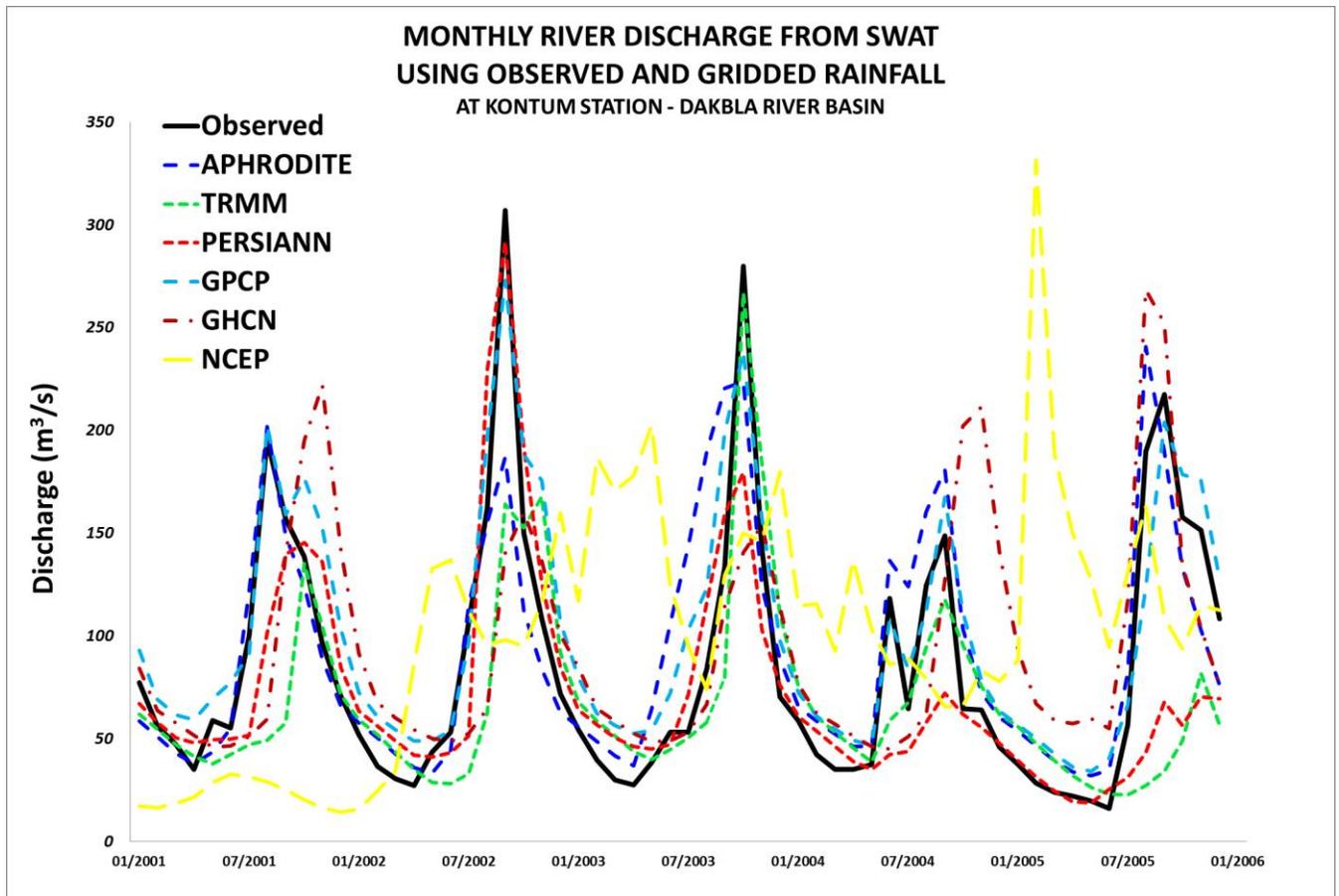
2

3 Figure 3. Calibration and Validation using observed station rainfall for Dak Bla river basin at

4 Kon Tum discharge gauging station



1
 2 Figure 4. Annual cycle and box plots for observed station and gridded observation precipitation
 3 at three rainfall stations in study region, daily data from 2001-2005.



1

2

3 Figure 5. Application of station, gridded observations and Reanalysis data to stream flow
 4 discharge over Dak Bla river, monthly aggregated from daily data.