



Assessment of Simulated Soil Moisture from WRF Noah, Noah-MP, and CLM Land Surface Schemes for Landslide Hazard Application

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9 Abstract

This study assesses the usability of Weather Research and Forecasting (WRF) model simulated 10 11 soil moisture for landslide monitoring in the Emilia Romagna region, northern Italy during the 10-12 year period between 2006 and 2015. Particularly three advanced Land Surface Model (LSM) schemes (i.e., Noah, Noah-MP and CLM4) integrated with the WRF are used to provide 13 14 comprehensive multi-layer soil moisture information. Through the temporal evaluation with the in-situ soil moisture observations, Noah-MP is the only scheme that is able to simulate the large 15 16 soil drying phenomenon close to the observations during the dry season, and it also has the highest correlation coefficient and the lowest RMSE at most soil layers. Each simulated soil moisture 17 18 product from the three LSM schemes is then used to build a landslide threshold model, and within 19 each model, 17 different exceedance probably levels from 1% to 50% are adopted to determine 20 the optimal threshold scenario (in total there are 612 scenarios). Slope degree information is also 21 used to separate the study region into different groups. The threshold evaluation performance is 22 based on the landslide forecasting accuracy using 45 selected rainfall events between 2014-2015. Contingency tables, statistical indicators, and Receiver Operating Characteristic analysis for 23 24 different threshold scenarios are explored. The results have shown that the slope information is very useful in identifying threshold differences, with the threshold becoming smaller for the 25





- 26 steeper area. For landslide monitoring, Noah-MP at the surface soil layer with 30% exceedance
- 27 probability provides the best landslide monitoring performance, with its hitting rate at 0.769, and
- its false alarm rate at 0.289.
- 29 Keywords: Emilia Romagna, Weather Research and Forecasting (WRF) Model, Land Surface
- 30 Model (LSM), Numerical Weather Prediction (NWP) model, landslide hazards, soil moisture.
- 31 **1. Introduction**

32 Landslide is a repeated geological hazard during rainfall seasons, which causes massive 33 destructions, loss of lives, and economic damages worldwide (Klose et al., 2014). It is estimated between 2004 and 2016, there is a total number of 4862 fatal non-seismic landslides occurred 34 around the world, which had resulted in the death of over 55,000 people (Froude and Petley, 2018). 35 36 Those numbers are expected to further increase due to extreme events induced by climate changes 37 and pressures of population expanding towards unstable hillside areas (Gariano and Guzzetti, 38 2016; Petley, 2012). The accurate predicting and monitoring of the spatiotemporal occurrence of 39 the landslide is the key to prevent/ reduce casualties and damages to properties and infrastructures. 40 The most widely adopted method for real-time landslide monitoring is based on the simple empirical rainfall threshold, which has been used in many countries for their national landslide 41 42 early warning system (Caine, 1980). The method commonly relies on building the rainfall intensity-duration curve using the information from the past landslide events (Chae et al., 2017). 43 44 However, such a method in many cases is insufficient for landslide hazard assessment (Posner and 45 Georgakakos, 2015), because in addition to rainfall, initial soil moisture condition is one of the main triggering factors of the events (Glade et al., 2000;Crozier, 1999;Tsai and Chen, 2010;Hawke 46 47 and McConchie, 2011;Bittelli et al., 2012;Segoni et al., 2018;Valenzuela et al., 2018;Bogaard and 48 Greco, 2018).





49 Although some researches have recognised the significance of soil moisture information for 50 landslide early warning, most of them only rely on the antecedent precipitation index which simply depends on the amount of total rainfall accumulated before a landslide event occurs (Chleborad, 51 2003;Calvello et al., 2015;Zêzere et al., 2005). Such a method is not recommended by several 52 studies (Pelletier et al., 1997; Baum and Godt, 2010; Brocca et al., 2008), because during wet 53 54 seasons, soil is often already saturated, and any additional rainfall falls on the earth surface will 55 become direct runoff (Zhuo and Han, 2016b, a). As a result, the antecedent precipitation method can sometimes significantly overestimate the soil wetness condition. On the other hand, 56 57 evapotranspiration is another factor which controls the soil moisture temporal evolution, which can also influence the relationship between the actual and the estimated soil moisture. Therefore, 58 59 it is important that the landslide hazard assessment should be based on the real soil moisture 60 information.

61 Soil moisture varies largely both spatially and temporally (Zhuo et al., 2015b). For landslide 62 applications, to accurately monitor soil moisture fluctuations in a critical zone (normally in remote regions), a dense network of soil moisture sensors is prerequisite. However, because of the 63 64 complex installation and high maintenance fee especially in steep mountainous areas, such 65 networks are normally unavailable. Several studies have found the usefulness of ground-measured soil moisture data for landslide monitoring purpose (Greco et al., 2010; Baum and Godt, 66 2010;Harris et al., 2012;Hawke and McConchie, 2011). However, due to the sparse distribution/no 67 existence of in-situ sensors in most hazardous regions, alternative soil moisture data sources need 68 to be explored. One of the data sources is through satellite remote sensing technologies. Although 69 such technologies have been improved significantly over the past decade (Zhuo et al., 2016a), their 70 71 retrieving accuracy is still largely affected by meteorological conditions (cloud coverage and





rainfall), frozen soil conditions (Zhuo et al., 2015a), and dense vegetation coverages particularly in mountainous regions (Temimi et al., 2010); furthermore, the acquired data only covers the top few centimetres of soil, and their resolution is too low (e.g., 0.25 degree) for detailed regional studies (Zhuo et al., 2016b). Those disadvantages restrict the full utilisation of satellite soil moisture products for landslide monitoring application as discussed in Zhuo et al. (2019).

77 Another soil moisture data source relies on the state-of-the-art Land Surface Models (LSMs) such 78 as the Noah LSM (Ek et al., 2003) and the Community Land Model (CLM) (Oleson et al., 2010). 79 LSMs describe the interactions between the atmosphere and the land surface by simulating exchanges of momentum, heat and water within the Earth system (Maheu et al., 2018). They are 80 81 capable of simulating the most important subsurface hydrological processes (e.g., soil moisture) 82 and can be integrated with the advanced Numerical Weather Prediction (NWP) system like WRF 83 (Weather Research and Forecasting) (Skamarock et al., 2008) for comprehensive soil moisture 84 estimations (i.e., through the surface energy balance, the surface layer stability and the water 85 balance equations) (Greve et al., 2013). NWP-based (i.e., with integrated LSM, thereafter) soil moisture estimations have many advantages, for instance their spatial and temporal resolution can 86 87 be set discretionarily to fit different application requirements; their coverage is global, and the 88 estimated soil moisture data covers multiple soil layers (from the shallow surface layer to deep 89 root-zones); as well as a number of globally-covered data products can provide the necessary 90 boundary and initial conditions for running the models. Soil moisture estimated through such an approach has been widely recognised and demonstrated in many studies, which cover a broad 91 range of applications from hydrological modelling (Srivastava et al., 2013a; Srivastava et al., 2015), 92 drought studies (Zaitchik et al., 2013), flood investigations (Leung and Qian, 2009), to regional 93 94 weather prediction (Stéfanon et al., 2014). Therefore, NWP-based soil moisture datasets could





95 provide valuable information for landslide applications. However, to our knowledge, relevant

96 research has never been carried out.

97 The aim of this study hence is to evaluate the usefulness of NWP modelled soil moisture for 98 landslide monitoring. Here the advanced WRF model (version 3.8) is adopted, because it offers 99 numerous physics options such as micro-physics, surface physics, atmospheric radiation physics, 100 and planetary boundary layer physics (Srivastava et al., 2015), and can integrate with a number of 101 LSM schemes, each varying in physical parameterisation complexities. So far there is limited 102 literature in comparing the soil moisture accuracy of different LSMs options in the WRF model. Therefore, in this study, we select three of the WRF's most advanced LSM schemes (i.e., Noah, 103 104 Noah-Multiparameterization (Noah-MP), and CLM4) to compare their soil moisture performance 105 for landslide hazard assessment. Furthermore, since all the three schemes can provide multi-layer 106 soil moisture information, it is useful to include all those simulations for the comparison so that 107 the optimal depth of soil moisture could be determined for the landslide monitoring application. 108 The large physiographic variability, plus the abundance of the historical landslide events data, 109 makes Italy a good place for this research. Here an Italian region called Emilia Romagna is selected. 110 The study period covers 10 years from 2006 to 2015 to include a long-term record of landslide events. In addition, because slope angle is a major factor controlling the stability of slope, it is 111 112 hence used in this study to divide the study area into several slope groups, so that a more accurate 113 threshold model could be built.

The description of the study area and the used datasets are included in Section 2. Methodologies regarding the WRF model, the related LSM schemes and the adopted landslide threshold evaluation approach are provided in Section 3. Section 4 shows the WRF soil moisture evaluation results against the in-situ observations. Section 5 covers the comparison results of the WRF





118 modelled soil moisture products for landslide applications. The discussion and conclusion of the

- 119 study are included in Section 6.
- 120 2. Study Area and Datasets
- 121 **2.1 Study Area**

122 The study area is in the Emilia Romagna Region, northern Italy (Figure 1). Its population density 123 is high. The region has high mountainous areas in the S-SW, and wide plain areas towards NE, 124 with a large elevation difference (i.e., 0 m to 2125 m) across 50 km distance from the north to the 125 south. The region has a mild Mediterranean climate with distinct wet and dry seasons (i.e., dry 126 season between May and October, and wet season between November and April). The study area 127 tends to be affected by landslide events easily, with one-fifth of the mountainous zone covered by 128 active or dormant landslide deposits. Rainfall is by far the primary triggering factor of landslides in the region, followed by snow melting: shallow landslides are triggered by short but 129 130 exceptionally intense rainfall, while deep-seated landslides have a more complex response to 131 rainfall and are mainly caused by moderate but exceptionally prolonged (even up to 6 months) 132 periods of rainfalls (Segoni et al., 2015).

133 2.2 Selection of The Landslide Events

The landslides catalog is collected from the Emilia Romagna Geological Survey (Berti et al., 2012).
The information included in the catalog are: location, date of occurrence, the uncertainty of date,
landslide characteristics (dimensions, type, and material), triggering factors, damages, casualties,
and references. Unfortunately, many of the information are missing from the records in many cases.
In order to organise the data in a more systematic way so that only the relevant events are retained,
a two-step event selection procedure is initially carried out based on: 1) rainfall-induced only; and





140 2) high spatial-temporal accuracy (exact date and coordinates). Finally, a revision of the 141 information about the type of slope instabilities such as landslide/debris flow/rockfall and the characteristics of the affected slope (natural or artificial) is also carried out over the selected 142 records (Valenzuela et al., 2018). The catalog period used in this study covers between 2006 and 143 2015, which is in accordance with the WRF' model run. After filtering the data records, only one-144 145 fifths of them (i.e., 157 events) is retained. The retained events are shown as single circles in Figure 146 2, with slope information (calculated through the Digital Elevation Model (DEM) data) also 147 presented in the background. It can be seen the spatial distribution of the occurred landslide events is very heterogeneous, with nearly all of them occurred in the hilly regions. During the study period, 148 149 the regional landslide occurrence is mainly dominated by the spatial distribution of the weak earth units and the critical rainfall periods. 150

151 2.3 Datasets

152 There is a total of 19 soil moisture stations available within the study area, however only one of 153 them at the San Pietro Capofiume (latitude 44° 39' 13.59", longitude 11° 37' 21.6") provides long-154 term valid soil moisture retrievals (i.e., 2006 to 2017). We have checked the data from all the rest of the stations, they are either absent (or have very big data gaps) or do not cover the research 155 156 period at all. Therefore, only the San Pietro Capofiume station is used for the WRF soil moisture 157 temporal evaluation. The soil moisture is measured from 10 cm to 180 cm deep in the soil at 5 158 depths, by the Time Domain Reflectometry (TDR) instrument. Data are recorded in the unit of 159 volumetric water content (m^3/m^3) and at daily timestep (Pistocchi et al., 2008). The data used in 160 this study is between 2006 and 2015. In order to select rainfall events for Year 2014 and 2015, 161 data from 200 tipping-bucket rain gauges are collected and analysed within the region.





162 To drive a NWP model like WRF for soil moisture simulations, several globally-coved data 163 products can be chosen for extracting the boundary and initial conditions information, for instance, the European Centre for Medium-Range Weather Forecasts (ECMWF) reanalysis (ERA-Interim) 164 and the National Centre for Environmental Prediction (NCEP) reanalysis are two of the most 165 166 commonly used data products. It has been found by Srivastava et al. (2013b) that the ERA-Interim 167 datasets can provide better boundary conditions than the NCEP datasets for WRF hydro-168 meteorological predictions in Europe, which is therefore adopted in this study to drive the WRF model. The spatial resolution of the ERA-Interim is approximately 80 km. The data is available 169 from 1979 to present, containing 6-hourly gridded estimates of three-dimensional meteorological 170 171 variables, and 3-hourly estimates of a large number of surface parameters and other two-172 dimensional fields. A comprehensive description of the ERA-Interim datasets can be found in (Dee 173 et al., 2011)

The Shuttle Radar Topography Mission (SRTM) 3 Arc-Second Global (~ 90m) DEM datasets is
downloaded and used as the basis for the slope degree calculations. SRTM DEM data has been
widely used for elevation related studies worldwide due to its high quality, near-global coverage,
and free availability (Berry et al., 2007).

178 **3. Methodologies**

179 3.1 WRF Model and The Three Land Surface Model Schemes

The WRF model is a next-generation, non-hydrostatic mesoscale NWP system designed for both atmospheric research and operational forecasting applications (Skamarock et al., 2005). The model is powerful enough in modelling a broad range of meteorological applications vary from tens of metres to thousands of kilometres (NCAR, 2018). It has two dynamical solvers: the ARW





184 (Advanced Research WRF) core and the NMM (Nonhydrostatic Mesoscale Model) core. The 185 former has more complex dynamic and physics settings than the latter which only has limited 186 setting choices. Hence in this study WRF with ARW dynamic core (version 3.8) is used to perform all the soil moisture simulations. 187 188 The main task of LSM within the WRF is to integrate information generated through the surface 189 layer scheme, the radiative forcing from the radiation scheme, the precipitation forcing from the 190 microphysics and convective schemes, and the land surface conditions to simulate the water and 191 energy fluxes (Ek et al., 2003). WRF provides several LSM options, among which three of them

are selected in this study as mentioned in the introduction: Noah, Noah-MP, and CLM4. Table 1

193 gives a simple comparison of the three models. The detailed description of the models is written

below in the order of increasing complexity in regards of the way they deal with thermal and

195 moisture fluxes in various layers of soil, and their vegetation, root and canopy effects

196 (Skamarock et al., 2008).

197 **3.1.1 Noah**

198 Noah is the most basic amongst the three selected LSMs. It is one of the 'second generation' LSMs that relies on both soil and vegetation processes for water budgets and surface energy closures 199 200 (Wei et al., 2010). The model is capable of modelling soil and land surface temperature, snow water equivalent, as well as the general water and energy fluxes. The model includes four soil 201 202 layers that reach a total depth of 2 m in which soil moisture is calculated. Its bulk layer of canopy 203 -snow-soil (i.e., lack the abilities in simulating photosynthetically active radiation (PAR), 204 vegetation temperature, correlated energy, and water, heat and carbon fluxes), 'leaky' bottom (i.e., 205 drained water is removed immediately from the bottom of the soil column which can result in 206 much fewer memories of antecedent weather and climate fluctuations) and simple snow melt-thaw





dynamics are seen as the model's demerits (Wharton et al., 2013). Noah calculates the soil moisture
from the diffusive form of Richard's equation for each of the soil layer (Greve et al., 2013), and
the evapotranspiration from the Ball-Berry equation (considering both the water flow mechanism
within soil column and vegetation, as well as the physiology of photosynthesis (Wharton et al.,
2013)).

212 3.1.2 Noah-MP

213 Noah-MP (Niu et al., 2011) is an improved version of the Noah LSM, in the aspect of better 214 representations of terrestrial biophysical and hydrological processes. Major physical mechanism 215 improvements directly relevant to soil water simulations include: 1) introducing a more permeable 216 frozen soil by separating permeable and impermeable fractions (Cai, 2015), 2) adding an 217 unconfined aquifer immediately beneath the bottom of the soil column to allow the exchange of water between them (Liang et al., 2003), and 3) the adoption of a TOPMODEL (TOPography 218 219 based hydrological MODEL)-based runoff scheme (Niu et al., 2005) and a simple SIMGM 220 groundwater model (Niu et al., 2007) which are both important in improving the modelling of soil 221 hydrology. Noah-MP is unique compared with the other LSMs, as it is capable of generating 222 thousands of parameterisation schemes through the different combinations of "dynamic leaf, 223 canopy stomatal resistance, runoff and groundwater, a soil moisture factor controlling stomatal 224 resistance (the β factor), and six other processes" (Cai, 2015). The scheme option used in the study 225 are: Ball-Berry scheme for canopy stomatal resistance, Monin-Obukhov scheme for surface layer 226 drag coefficient calculation, the Noah based soil moisture factor for stomatal resistance, the 227 TOPMODEL runoff with the SIMGM groundwater, the linear effect scheme for soil permeability, 228 the two-stream applied to vegetated fraction scheme for radiative transfer, the CLASS (Canadian





- Land Surface Scheme) scheme for ground surface albedo option, and the Jordan (Jordan, 1991)
- scheme for partitioning precipitation between snow and rain.
- 231 **3.1.3. CLM4**

232 CLM4 is developed by the National Center for Atmospheric Research (NCAR) to serve as the land 233 component of its Community Earth System Model (formerly known as the Community Climate 234 System Model) (Lawrence et al., 2012). It is a 'third generation' model that incorporates the 235 interactions of both nitrogen and carbon in the calculations of water and energy fluxes. Compared 236 with its previous versions, CLM4 (Oleson et al., 2008) has multiple enhancements relevant to soil 237 moisture computing. For instance, the model's soil moisture is estimated by adopting a improved 238 one-dimensional Richards equation (Zeng and Decker, 2009); the new version allows the dynamic 239 interchanges of soil water and groundwater through an improved definition of the soil column's 240 lower boundary condition that is similar to the Noah-MP's (Niu et al., 2007). Furthermore, the 241 thermal and hydrologic properties of organic soil are included for the modelling which is based on 242 the method developed in (Lawrence and Slater, 2008). The total ground column is extended to 42 243 m depth, consisting 10 soil layers unevenly spaced between the top layer (0.0-1.8 cm) and the 244 bottom layers (229.6-380.2 cm), and 5 bedrock layers to the bottom of the ground column 245 (Lawrence et al., 2011). Soil moisture is estimated for each soil layer.

246 3.2 WRF Model Parameterization

The WRF model is centred over the Emilia Romagna Region with three nested domains (D1, D2,
D3 with the horizontal grid sizes of 45 km, 15 km, and 5 km, respectively), of which the innermost
domain (D3, with 88 x 52 grids (west-east and south-north, respectively)) is used in this study. A
two-way nesting scheme is adopted allowing information from the child domain to be fed back to





the parent domain. With atmospheric forcing, static inputs (e.g., soil and vegetation types), and parameters, the WRF model needs to be spun-up to reach its equilibrium state before it can be used (Cai et al., 2014;Cai, 2015). In this study, WRF is spun-up by running through the whole year of 2005. After spin-up, the WRF model for each of the selected LSM scheme is executed in daily timestep from January 1, 2006, to December 31, 2015, using the ERA-Interim datasets.

256 The microphysics scheme plays a vital role in simulating accurate rainfall information which in 257 turn is important for modelling the accurate soil moisture variations. WRF V3.8 is supporting 23 258 microphysics options range from simple to more sophisticated mixed-phase physical options. In this study, the WRF Single-Moment 6-class scheme is adopted which considers ice, snow and 259 260 graupel processes and is suitable for high-resolution applications (Zaidi and Gisen, 2018). The physical options used in the WRF setup are Dudhia shortwave radiation (Dudhia, 1989) and Rapid 261 262 Radiative Transfer Model (RRTM) longwave radiation (Mlawer et al., 1997). Cumulus 263 parameterization is based on the Kain-Fritsch scheme (Kain, 2004) which is capable of 264 representing sub-grid scale features of the updraft and rain processes, and such a capability is 265 beneficial for real-time modelling (Gilliland and Rowe, 2007). The surface layer parameterization 266 is based on the Revised fifth-generation Pennsylvania State University-National Center for 267 Atmospheric Research Mesoscale Model (MM5) Monin-Obukhov scheme (Jiménez et al., 2012). 268 The Yonsei University scheme (Hong et al., 2006) is selected to calculate the planetary boundary 269 layer. The parameterization schemes used in the WRF modelling are shown in Table 2. The 270 datasets for land use and soil texture are available in the pre-processing package of WRF. In this 271 study, the land use categorisation is interpolated from the MODIS 21-category data classified by 272 the International Geosphere Biosphere Programme (IGBP). The soil texture data are based on the 273 Food and Agriculture Organization of the United Nations Global 5-minutes soil database.





274 **3.3 Translation of Observed and Simulated Soil Moisture Data to Common Soil Layers**

Since all soil moisture datasets have different soil depths, it is difficult for a direct comparison.
The Noah and Noah-MP models include four soil layers, centred at 5, 25, 70, and 150 cm,
respectively. Whereas CLM4 model has 10 soil layers, centered at 0.9, 3.2, 6.85, 12.85, 22.8, 39.2,
66.2, 110.65, 183.95, 304.9 cm, respectively. Moreover, the in-situ sensor measures soil moisture
centred at 10, 25, 70, 135, and 180 cm. In order to tackle the inconsistency issue of soil depths, the
simple linear interpolation approach described in Zhuo et al. (2015b) is applied in this study, and
a benchmark of soil layer centred at 10, 25, 70 and 150 cm is adopted.

282 **3.4 Soil Moisture Thresholds Build Up and Evaluations**

283 To build and evaluate the soil moisture thresholds for landslides forecasting, all datasets have been 284 grouped into two portions: 2006-2013 for the establishment of thresholds, and 2014-2015 for the 285 evaluation. The determination of soil moisture thresholds is based on determining the most suitable 286 soil moisture triggering level for landslides occurrence by trying a range of exceedance 287 probabilities (percentiles). For example, a 10% exceedance probability is calculated by 288 determining the 10% percentile result of the soil moisture datasets that is related to the occurred 289 landslides. The exceedance probability method is commonly utilised in landslide early warning 290 studies for calculating the rainfall-thresholds, which is therefore adopted here to examine its 291 performance for soil moisture threshold calculations.

To carry out the threshold evaluation, 45 rainfall events (during 2014-2015) are selected for the purpose. The rainfall events are separated based on at least one-day of dry period (i.e., a period without rainfall) (Dai et al., 2014;Dai et al., 2015;Dai et al., 2016). The rainfall data from each rain gauge station is firstly combined using the Thiessen Polygon method, and with visual analysis, the





296	45 events are then finally selected. The information about the selected rainfall events can be found
297	in Section 5. The threshold evaluation is based on the statistical approach described in Gariano et
298	al. (2015) and Zhuo et al. (2019), where soil moisture threshold can be treated as a binary classifier
299	of the soil moisture conditions that are likely or unlikely to cause landslide events. With this
300	hypothesis, the likelihood of a landslide event can either be $true(T)$ or false (F), and the threshold
301	forecasting can either be <i>positive</i> (P) or <i>negative</i> (N) . The combinations of those four conditions
302	can lead to four statistical outcomes (Figure 3a) that are: true positive (TP), true negative (TN),
303	false positive (FP), and false negative (FN) (Wilks, 2011). The detailed description of each
304	outcome is covered in Zhuo et al. (2019). Using the four outcomes, two statistical scores can be
305	determined.

306 The Hit Rate (*HR*), which is the rate of the events that are correctly forecasted. Its formula is: 307 $HR = \frac{TP}{TP+FN}$ (1)

in the range of 0 and 1, with the best result as 1.

The False Alarm Rate (*FAR*), which is the rate of false alarms when the event did not occur. Itsformula is:

$$311 \quad FAR = \frac{FP}{FP+TN} \tag{2}$$

in the range of 0 and 1, with the best result as 0.

For any soil moisture product, each threshold calculated for each of the slope degree group is adopted to determine *T*, *F*, *P*, and *N*, respectively. Those values are finally integrated to find the overall scores of *TP*, *FN*, *FP*, *TN*, *HR*, and *FAR*. The threshold performance is then judged via the Receiver Operating Characteristic (ROC) analysis (Hosmer and Lemeshow, 1989;Fawcett, 2006). As shown in Figure 3b, ROC curve is based on *HR* against *FAR*, and each point in the curve represents a threshold scenario (i.e., selected exceedance probabilities). The optimal result (the red point) can only be realised when the *HR* reaches 1 and the *FAR* reduces to 0. The closer the point





- 320 to the red point, the better the forecasting result is. To analyse and compare the forecasting
- 321 performance numerically, the Euclidean distances (d) for each scenario to the optimal point are
- 322 computed.

323 4. WRF Soil Moisture Analysis and Evaluations

324 4.1 Temporal Comparisons

325 Although there is only one soil moisture sensor that provides long-term soil moisture data in the 326 study region, it is still useful to compare it with the WRF estimated soil moisture. Particularly, it 327 has been shown that soil moisture measured at a site location can reflect the temporal fluctuations 328 of soil moisture for its surrounding region, up to 500 km in radius (Entin et al., 2000). With the WRF's relatively high-resolution of 5 km, the temporal comparison with the in-situ observations 329 330 should provide some meaningful results. In this study, we carry out a temporal comparison between all the three WRF soil moisture products with the in-situ observations. The comparison 331 332 is implemented over the period from 2006 to 2015, and the WRF grid closest to the in-situ sensor 333 location is chosen. Figure 4 shows the comparison results at the four soil depths. The statistical 334 performance (correlation coefficient r and Root Mean Square Error *RMSE*) of the three LSM 335 schemes are summarised in Table 3. Based on the statistical results, Noah-MP surpasses other 336 schemes at most soil layers, except for layer 2 where CLM4 shows stronger correlation and layer 337 4 where Noah gives smaller RMSE error. For Noah-MP, the best correlation is observed at the surface layer (0.809), followed by third (0.738), second (0.683) and fourth (0.498) layers; and 338 339 based on *RMSE*, the best performance is again observed at the surface layer and followed by 340 second, third and fourth layers in sequence (as 0.060, 0.070, 0.088, and $0.092 \text{ m}^3/\text{m}^3$, respectively). 341 From the temporal plots, it can be seen at all four soil layers, all three LSM schemes can produce





342 soil moisture's seasonal cycle very well with most upward and downward trends successfully 343 represented. However, both the Noah and the CLM4 overestimate the variability at the upper two soil layers during almost the whole study period, and the situation is the worst for the Noah. 344 Comparatively, the Noah-MP can capture the wet soil moisture conditions very well especially at 345 346 the surface layer; and it is the only model of the three that is able to simulate the large soil drying 347 phenomenon close to the observations during the dry season, except for some extremely dry days. 348 Towards 70 cm depth, although Noah-MP is still able to capture most of the soil moisture 349 variabilities during the drying period, it significantly underestimates soil moisture values for most 350 wet days. Similar underestimation results can be observed for CLM4 and Noah during the wet 351 season at 70 cm; furthermore, both schemes are again not capable of reproducing the extremely 352 drying phenomenon and overestimate soil moisture for most of the dry season days. It is surprising 353 to see that at the deep soil layer (150 cm), all soil moisture products are underestimated, in 354 particular, the outputs from the CLM4 and the Noah-MP only show small fluctuations. However, 355 the soil moisture measurements from the in-situ sensor also get our attention as they show strange fluctuations with numerous sudden drops and rise situations observed. The strange phenomenon 356 357 is not expected at such a deep soil layer (although groundwater capillary forces can increase the 358 soil moisture, its rate is normally very slow). One possible reason we suspect is due to sensor 359 failure in the deep zone. Overall for the Noah-MP, in addition to producing the highest correlation 360 coefficient and the lowest RMSE, its simulated soil moisture variations are the closest to the observations. The better performance of the Noah-MP over the other two models agrees with the 361 results found in Cai et al. (2014) (note: the paper uses standalone models, which are not coupled 362 363 with WRF). Also, it has been discussed in Yang et al. (2011), the Noah MP presents a clear 364 improvement over the Noah in simulating soil moisture globally.





365 4.2 Spatial Comparisons

366 Figure 5, 6 shows the spatial distribution of soil moisture simulations (via the three WRF LSM 367 schemes) at the four soil layers on a typical day during the dry and the wet seasons, respectively. 368 It is clear to see on the dry season day, Noah gives the wettest soil moisture simulation amongst 369 the three schemes, followed by CLM4 and Noah-MP. The soil moisture spatial pattern of the three 370 schemes more or less agrees with each, that is with wetter soil condition found in the central (in 371 line with the location of the river mainstream) and South-West part of the study region and dryer 372 soil condition in the Southern boundary and East part of the study region. On the wet season day, 373 Noah again produces wetter soil moisture data than the other two schemes, and it shows a distinct 374 wet patch at the Southern boundary while both the Noah-MP and the CLM4's simulations indicate 375 that part as the driest of the whole region. The disagreement among the LSMs at the Southern 376 boundary could be due to the particularly high elevation (above 2000 m) and snow existence at 377 that region, and the three schemes use different theories to deal with such conditions. The 378 improvement in the Noah-MP and the CLM4 is mainly attributed to the better simulation of snow, 379 in particular, it has been found Noah-MP can better simulate the snowmelt phenomenon over the 380 other two schemes (Cai et al., 2014), because it has better representations of ground heat flux, 381 retention, percolation and refreezing of melted liquid water within the multilayer snowpack (Yang 382 et al., 2011). Furthermore, it can be seen Noah-MP has a clear spatial pattern of the soil moisture 383 in the region, that is with drier areas found near the river mainstream, and Southern boundary, and 384 wetter zones in the North and the South. On the contrary, Noah and CLM4 simulated soil moisture 385 show a relatively smaller difference spatially, especially for CLM4.

386 5. The Assessment of WRF Soil Moisture Threshold for Landslide Monitoring





This section is to assess if the spatial distribution of soil moisture can provide useful information for landslide monitoring at the regional scale. Particularly, all three soil moisture products simulated through the WRF model are used to derive threshold models, and the corresponding landslide prediction performances are then compared statistically. Here the threshold is defined as the crucial soil moisture condition above which landslides are likely to happen.

392 Among different factors for controlling the stability of slope, the slope angle is one of the most 393 critical ones. From the slope angle map in Figure 2, it can be seen the region has a clear spatial 394 pattern of high and low slope areas, with the majority of the high-slope areas (can be as steep as around 40 degrees) located in the mountainous Southern part and the river valleys. Moreover, there 395 396 is an obvious causal relationship between the slope angle and the landslide occurrence, as all the landslides happened during the study period are located in the high-slope region, with a particularly 397 398 high concentration around the central Southern part. The spatial distribution of the landslide events 399 is also in line with the overall geological characteristics of the region, i.e., the Southern part mainly 400 constitutes outcrop of sandstone rocks that make up the steep slopes and are covered by a thin 401 layer of permeable sandy soil, which are highly unstable (Zhuo et al., 2019). Therefore, instead of 402 only using one soil moisture threshold for the whole study area, it is useful to divide the region 403 into several slope groups so that within each group a threshold model is built. To derive soil 404 moisture threshold individually under different slope conditions, all data has been divided into three groups based on the slope angle (0.4-1.86°; 1.87-9.61°; 9.52-40.43°; since no landslide events 405 406 are recorded under the 0-0.39° group, the group is not considered here), as results, all groups have 407 equal coverage areas.

408 In order to find the optimal threshold so that there are least missing alarms (i.e., threshold is 409 overestimated) and false alarms (i.e., threshold is underestimated), we test out 17 different





410 exceedance probabilities from 1% to 50%. For each LSM scheme, the total number of threshold 411 models is 204, which is the resultant of different combinations of slope groups, soil layers, and exceedance probability conditions. The calculated thresholds for all LSM schemes under three 412 slope groups are plotted in Figure 7. Overall there is a very clear trend between the slope angle 413 and the soil moisture threshold, that is with threshold becoming smaller for steeper areas. The 414 415 correlation is particularly evident at the upper three soil layers (i.e., the top 1 m depth of soil), with 416 only a few exceptions for Noah and CLM4 at the 1% and the 2% exceedance probabilities. At the 417 deep soil layer centred at 150 cm, the soil moisture threshold difference between Slope Group 418 (S.G.) 2 and 3 becomes very small for all the three LSM schemes. This could be partially because 419 at the deep soil layer, the change of soil moisture is much smaller than at the surface layer, therefore the soil moisture values for S.G. 2 and 3 could be too similar to differentiate. However, for milder 420 421 slopes (S.G. 1), the higher soil moisture triggering level always applies even down to the deepest 422 soil layer for all the three LSM schemes. It is also clear to see the difference of threshold values 423 amongst different slope groups largely depends on the number of landslide events considered, that is with more events considered, the stronger the correlation (e.g., 1% exceedance probability 424 425 means 99% of the events are included for the threshold modelling, whilst 50% exceedance 426 probability means half of the data are treated as outliers). The results confirm that wetter soil 427 indeed can trigger shallow landslides easier in milder slopes than in steeper slopes.

All the threshold models are then evaluated under the 45 selected rainfall events (Table 4) using the ROC analysis. The period of the selected rainfall events is between 1 day and 18 days, and the average rainfall intensity ranges from 5.05 mm/day to 24.69 mm/day. For each selected event, the number of landslide event is also summarised in the table. The resultant Euclidean distances (*d*) between each scenario of exceedance probability and the optimal point for ROC analysis are listed





433 in Table 5 for all three WRF LSM schemes at the tested exceedance probabilities. The best 434 performance (i.e., lowest d) in each column (i.e., each soil layer of an LSM scheme) is highlighted. In addition, the d results are also plotted in Figure 8 to give a better view of the overall trend 435 amongst different soil layers and LSM schemes. From the figure, for all three LSM schemes at all 436 437 four soil layers, there is an overall downward and then stabilised trend. Overall for Noah, the 438 simulated surface layer soil moisture provides better landslide monitoring performance than the rest of the soil layers from 1% to 35% exceedance probabilities; and the scheme's worst 439 performance is observed at the third soil layer centred at 70 cm. The values of d for Noah's second 440 441 and fourth layer are quite close to each other. For Noah-MP, the simulated surface layer soil 442 moisture gives the best performance amongst all four soil layers for most cases between the 1% 443 and 35% exceedance probability range; and the scheme's worst performance is observed at the 444 fourth layer. Unlike Noah, all four soil layers from the Noah-MP scheme provide distinct performance amongst them (i.e., larger d difference). For CLM4, the performance for the surface 445 446 layer is quite similar to the second layer's, and the differences amongst the four layers are small. From the Table 5, it can be seen for Noah the most suitable exceedance probabilities (i.e., the 447 448 highlighted numbers) range between 35% to 50%; for Noah-MP they are between 30% and 50%; 449 and for CLM4 it stays at 40% for all four soil layers. For both Noah and Noah-MP, the best 450 performance is observed at the surface layer (d = 0.392 and d = 0.369, respectively), which is in 451 line with their correlation coefficient results against the in-situ observations (i.e., the best r value 452 for both LSM schemes is found at the surface layer). Furthermore, the best performance for Noah and Noah-MP follows a regular trend, that is the deeper the soil layer, the poorer the landslide 453 454 monitoring performance. For CLM4, the best performances show no distinct pattern amongst soil 455 layers (i.e., with the best performance found at the soil layer 3, followed by layer 2, 1, and 4). Of





456 all the LSM schemes and soil layers, the best performance is found for Noah-MP at the surface 457 layer with 30% exceedance probability (d=0.369). The ROC curve for the Noah-MP scheme at the 458 surface layer is shown in Figure 9. In the curve, each point represents a scenario with a selected 459 exceedance probability level. It is clear with various exceedance probabilities, *FAR* can be 460 decreased without sacrificing the *HR* score (e.g., 4% to 10% exceedance probabilities). At the 461 optimal point at the 30% exceedance probability, the best results for *HR* and *FAR* are observed as 462 0.769 and 0.289, respectively.

463 6. Discussions and Conclusion

In this study, the usability of WRF modelled soil moisture for landslide monitoring has been 464 465 evaluated in the Emilia Romagna region based on the research duration between 2006 and 2015. Specifically, four-layer soil moisture information simulated through the WRF's three most 466 467 advanced LSM schemes (i.e., Noah, Noah-MP and CLM4) are compared for the purpose. Through 468 the temporal comparison with the in-situ soil moisture observations, it has been found that all three 469 LSM schemes at all four soil layers can produce soil moisture's seasonal cycle very well. However, 470 only Noah-MP is able to simulate the large soil drying phenomenon close to the observations 471 during the drying season, and it also gives the highest correlation coefficient and the lowest RMSE at most soil layers amongst the three LSM schemes. For landslide threshold build up, slope 472 473 information is useful in identifying threshold differences, with threshold becoming smaller for 474 steeper area. In other words, dryer soil indeed can trigger landslides in steeper slopes than in milder 475 slopes. The result is not surprising, as the slope angle is an importance element of influencing the 476 stabilities of earth materials. Further studies based on slope angle condition is then carried out. 17 477 various exceedance probably levels between 1% and 50% are adopted to find the optimal threshold 478 scenario. Through the ROC analysis of 612 threshold models, the best performance is obtained by





the Noah-MP at the surface soil layer with 30% exceedance probability. The outstanding performance of the Noah-MP scheme at the surface layer is also in accordance with its high correlation coefficient result found against the in-situ observations.

It should be noted that weighting factors are not considered in the evaluation of the threshold models. Nevertheless, in real-life situations, weighting could play important roles during the final decision making. As for instance, the damages resulted from a missing alarm event could be much more devastating than a false alarm event, or vice versa, and the situation also varies in different regions. Therefore, during operational applications, weighting factors should be considered.

Model-based soil moisture estimations could be affected by error accumulation issues, especially 487 in the real-time forecasting mode. A potential solution is to use data assimilation methodologies 488 489 to correct such errors by intaking soil moisture information from other data sources. Since in-situ soil moisture sensors are only sparsely available in limited regions, soil moisture measured via 490 491 satellite remote sensing technologies could provide useful alternatives. Another issue is with the 492 landslide record data, since most of them are based on human experiences (e.g., through 493 newspapers, and victims), a lot of incidences could be unreported. Therefore, the conclusion made 494 here could be biased. One way of expanding the current landslide catalog can depend on automatic 495 landslide detection methods based on remote sensing images.

In summary, this study gives an overview of the soil moisture performance of three WRF LSM schemes for landslide hazard assessment. We demonstrate that the surface soil moisture (centred at 10 cm) simulated through the Noah-MP LSM scheme is useful in predicting landslide occurrences in the Emelia Romagna region. The high hitting rate of 0.769 and the low false alarm rate of 0.289 obtained in this study show such valuable soil moisture information could work in addition to the rainfall data to provide an efficient landslide early warning system at the regional





- 502 scales. However, one must bear in mind that the results demonstrated in this study are only valid
- 503 for the selected region. In order to make a general conclusion, more researches are needed.
- 504 Particularly, a considerable number of catchments with a broad spectrum of climate and
- 505 environmental conditions will need to be investigated.
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	Noah	Noah-MP	CLM4
Energy balance	Yes	Yes	Yes
Water balance	Yes	Yes	Yes
No. of soil layers	4	4	10
Depth of total soil column	2.0 m	2.0 m	3.802 m
Model soil layer thickness	0.1, 0.3, 0.6, 1.0 m	0.1, 0.3, 0.6, 1.0 m	0.018, 0.028, 0.045, 0.075, 0.124, 0.204, 0.336, 0.553, 0.913, 1.506 m
No. of vegetation layers	A single combined surface layer of vegetation and snow	Single layer	Single layer
Vegetation	Dominant vegetation type in one grid cell with prescribed LAI	Dominant vegetation type in one grid cell with dynamic LAI	Up to 10 vegetation types in one grid cell with prescribed LAI
No. of snow layers	A single combined surface layer of vegetation and snow	Up to three layers	Up to five layers

Table 1. Comparison of Noah, Noah-MP, and CLM4.





Table 2. WRF parameterizations used in this study

	Settings/ Parameterizations	References
Map projection	Lambert	
Central point of domain	Latitude: 44.54; Longitude: 11.02	
Latitudinal grid length	5 km	
Longitudinal grid length	5 km	
Model output time step	Daily	
Nesting	Two-way	
Land surface model	Noah, Noah-MP, CLM	
Simulation period	1/1/2006 - 31/12/2015	
Spin-up period	1/1/2005 - 31/12/2005	
Microphysics	New Thompson	(Thompson et al., 2008)
Shortwave radiation	Dudhia scheme	(Dudhia, 1989)
Longwave radiation	Rapid Radiative Transfer Model	(Mlawer et al., 1997)
Surface layer	Revised MM5	(Jiménez et al.,
		2012;Chen and Dudhia,
		2001)
Planetary boundary layer	Yonsei University method	(Hong et al., 2006)
Cumulus Parameterization	Kain-Fritsch (new Eta) scheme	(Kain, 2004)





Table 3. Statistical summary of the WRF performance in simulating soil moisture for different soil layers, based on comparison with the in-situ observations.

	R				RMSE (m^3/m^3)				
	0.10 m	0.25 m	0.70 m	1.50 m	0.1 m	0.25 m	0.70 m	1.50 m	
Noah	0.728	0.645	0.660	0.430	0.123	0.125	0.141	0.055	
Noah-MP	0.809	0.683	0.738	0.498	0.060	0.070	0.088	0.092	
CLM	0.789	0.743	0.648	0.287	0.089	0.087	0.123	0.089	





Table 4. Rainfall events information.

Starting date				anding dat	e	Duration	Rainfall	Number of
Year	Month	Day	Year	Month	Day	(days)	intensity	Landslide
2014	1	13	2014	1	24	12	(mm/day) 20.50	events 2
2014	1	28	2014	2	24 14	12	13.61	0
2014	2	26 26	2014	3	6	9	13.35	0
2014	3	20 22	2014	3	27	6	11.08	0
2014	4	4	2014	4	5	2	18.98	0
2014	4	27	2014	4 5	4	8	12.13	0
2014	5	26	2014	6	3	9	5.05	0
2014	6	20 14	2014	6	16	3	18.29	0
2014	6	25	2014	6	30	6	11.39	0
2014	7	23 7	2014	7	30 14	8	7.84	0
2014	7	21	2014	7	30	10	15.35	0
2014	8	31	2014 2014	9	5	6	5.67	0
2014 2014	8 9	10	2014 2014	9	12	3	11.84	0
2014	9	10	2014	9	20	2	23.04	0
2014	9 10	19	2014	10	20	1	23.04 14.51	0
2014	10	10	2014 2014	10	17	8	14.51	0
2014	10	4	2014	10	17	8 15	18.28	0
		4 25	2014 2014	11	18 7	13	7.58	0
2014	11			12		4		
2014 2015	12 1	13 16	2014 2015	12	16 17	4 2	6.24 14.87	0 0
2015		21			23	23	7.13	
	1	21 29	2015	1	23 10	3 13	9.98	0 0
2015	1		2015	2				
2015	2	13	2015	2	17	5	6.62	1 4
2015	2 3	21	2015	2	26	6	11.84	
2015		3	2015	3	7	5	11.69	1
2015	3	15	2015	3	17	3	9.00	0
2015	3	21	2015	3	27	7	12.09	2
2015	4	3	2015	4	5	3	16.62	0
2015	4	17	2015	4	18	2	6.99	0
2015	4	26	2015	4	29	4	11.23	0
2015	5	15	2015	5	16	2	8.83	0
2015	5	20	2015	5	27	8	10.58	1
2015	6	8	2015	6	11	4	6.47	0
2015	6	16	2015	6	19	4	13.44	0
2015	6	23	2015	6	24	2	6.07	0
2015	7	22	2015	7	25	4	6.05	0
2015	8	9	2015	8	10	2	24.69	0
2015	8	15	2015	8	19	5	10.69	0
2015	8	23	2015	8	24	2	7.88	0
2015	9	13	2015	9	14	2	24.66	1
2015	9	23	2015	9	24	2	7.50	0
2015	10	1	2015	10	7	7	13.73	0
2015	10	10	2015	10	19	10	9.40	0
2015	10	27	2015	10	29	3	20.33	0
2015	11	21	2015	11	25	5	13.78	1





Table 5. Results of Euclidean distances (*d*) between individual points and the optimal point for ROC analysis are listed. The best performance (i.e., lowest *d*) for each column (i.e., each soil layer of an LSM scheme) is highlighted. The optimal performance of all is highlighted in red.

Noah					Noah-MP				CLM4			
e.p. (%).	10 cm	25 cm	70 cm	150 cm	10 cm	25 cm	70 cm	150 cm	10 cm	25 cm	70 cm	150 cm
1	0.942	0.971	0.962	0.947	0.857	0.937	0.897	0.963	0.942	0.939	0.978	0.975
2	0.906	0.945	0.963	0.923	0.854	0.912	0.883	0.959	0.923	0.922	0.959	0.952
3	0.889	0.924	0.961	0.915	0.849	0.855	0.838	0.952	0.870	0.874	0.940	0.947
4	0.884	0.898	0.946	0.914	0.838	0.814	0.829	0.924	0.831	0.843	0.925	0.947
5	0.860	0.875	0.924	0.896	0.820	0.793	0.812	0.908	0.791	0.822	0.915	0.921
6	0.835	0.854	0.910	0.874	0.803	0.785	0.800	0.905	0.770	0.817	0.911	0.909
7	0.827	0.861	0.902	0.858	0.777	0.767	0.791	0.889	0.753	0.801	0.902	0.900
8	0.816	0.849	0.889	0.851	0.745	0.765	0.782	0.876	0.745	0.785	0.902	0.910
9	0.790	0.827	0.878	0.834	0.706	0.732	0.766	0.871	0.742	0.777	0.864	0.904
10	0.762	0.811	0.863	0.825	0.672	0.702	0.747	0.862	0.738	0.767	0.835	0.887
15	0.615	0.741	0.839	0.763	0.560	0.629	0.716	0.835	0.702	0.700	0.729	0.790
20	0.485	0.627	0.779	0.652	0.515	0.571	0.624	0.774	0.570	0.602	0.594	0.650
25	0.432	0.544	0.728	0.512	0.403	0.465	0.574	0.736	0.509	0.522	0.471	0.509
30	0.437	0.495	0.643	0.451	0.369	0.375	0.544	0.679	0.475	0.477	0.447	0.469
35	0.392	0.446	0.592	0.436	0.390	0.404	0.411	0.498	0.441	0.435	0.428	0.430
40	0.500	0.407	0.531	0.416	0.439	0.385	0.382	0.436	0.406	0.405	0.398	0.410
50	0.552	0.425	0.404	0.411	0.489	0.417	0.416	0.429	0.437	0.435	0.408	0.437





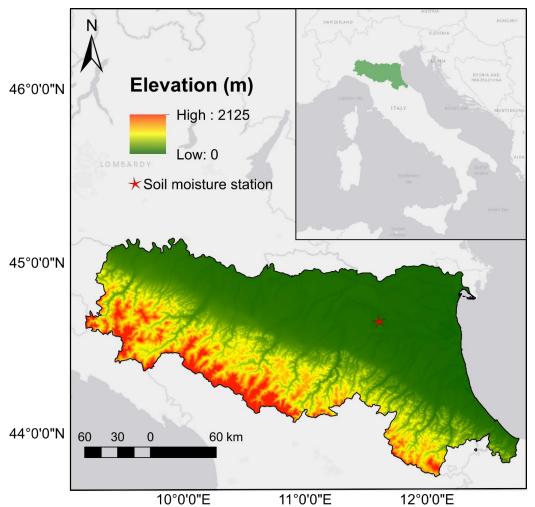
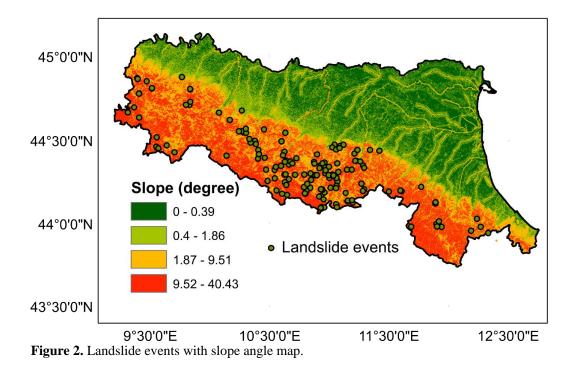


Figure 1. Location of the Emilia Romagna Region with elevation map and in-situ soil moisture station also shown.











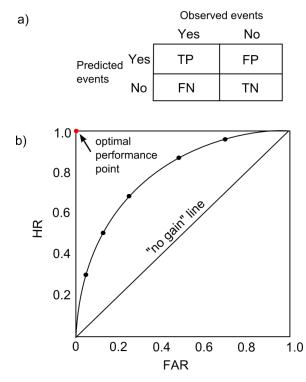


Figure 3. a) Contingency table illustrates the four possible outcomes of a binary classifier model: TP (True Positive), TN (True Negative), FP (False Positive), and FN (False Negative). b) ROC (Receiver Operating Characteristic) analysis with HR (Hitting Rate) against FAR (False Alarm Rate).





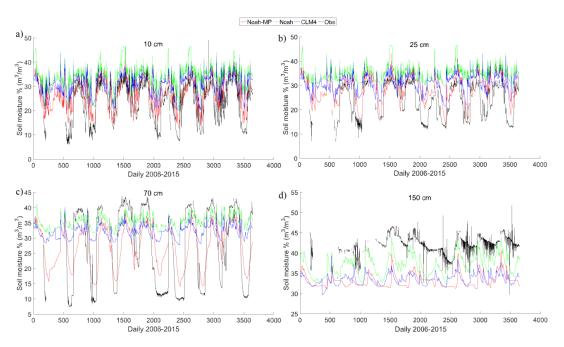


Figure 4. Soil moisture temporal variations of WRF simulations and in-situ observations for four soil layers at a) 10 cm; b) 25 cm; c) 70 cm; and d) 150 cm.





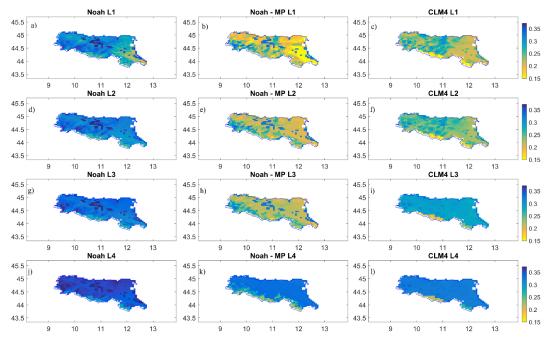


Figure 5. Spatial distribution of soil moisture at four soil layers (L1 = 10 cm; L2 = 25 cm; L3 = 70 cm; L4 = 150 cm) from WRF model simulations for Noah (a, d, g, j), Noah-MP (b, e, h, k), and CLM4 (c, f, i, l), on the August 1, 2015 (dry season).





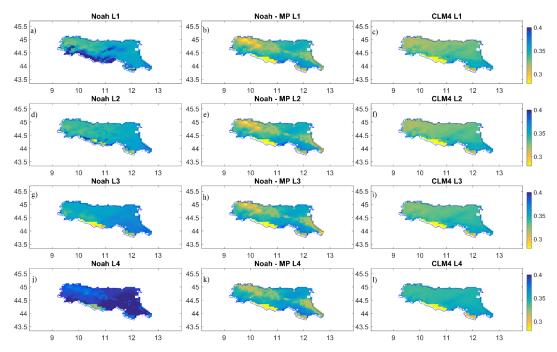


Figure 6. Spatial distribution of soil moisture at four soil layers (L1 = 10 cm; L2 = 25 cm; L3 = 70 cm; L4 = 150 cm) from WRF model simulations for Noah (a, d, g, j), Noah-MP (b, e, h, k), and CLM4 (c, f, i, l), on the February 1, 2015 (wet season).





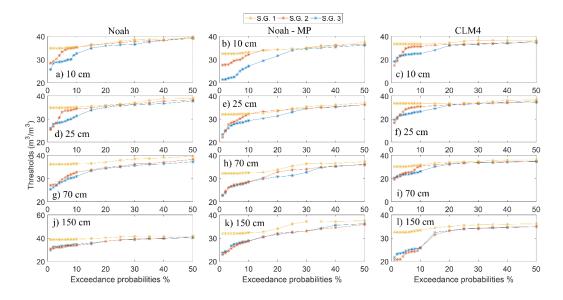


Figure 7. Threshold plots. For Noah (a, d, g, j), Noah-MP (b, e, h, k), and CLM4 (c, f, i, l) land surface schemes under three Slope angle Groups (S.G.) with S.G. $1 = 0.4-1.86^{\circ}$; S.G. $2 = 1.87-9.61^{\circ}$; S.G. $3 = 9.52-40.43^{\circ}$.





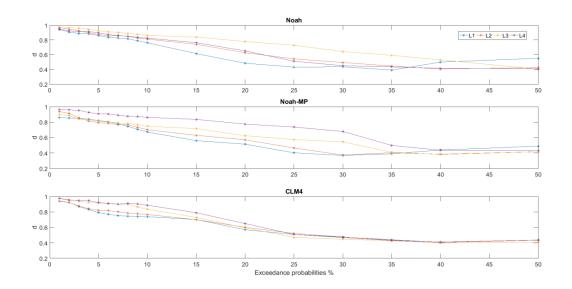


Figure 8. d-scores.





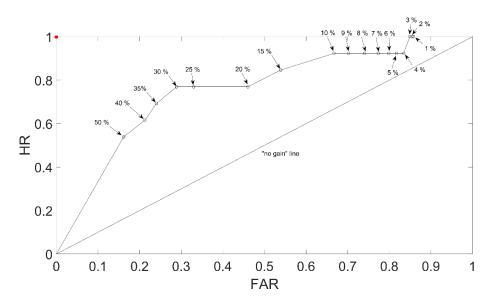


Figure 9. ROC curve for the calculated thresholds using different exceedance probability levels (for Noah-MP at the surface layer). The *no gain* line and the optimal performance point (the red point) are also presented.