

Frameworks for Evaluating and Improving Simplified Hydrologic Models for Baseflow and Rainfall-Runoff Estimation Using Distributed Physical Models

Li Li

BEng, MEng

Thesis submitted in fulfilment of the requirements for the degree of Doctor of Philosophy

The University of Adelaide
Faculty of Engineering, Computer and Mathematical Sciences
School of Civil, Environmental and Mining Engineering

Copyright[©] March 2013

Table of Contents

Table	of Co	ontents	III
Abstra	ct '	VII	
Statem	ent (of Originality	IX
Ackno	wled	gements	XI
List of	Figu	ıres	XIII
List of	Tab	les	XVI
1	Int	roduction	1
1.1	Re	search background	1
1.2	Re	search aims	6
1.3	Or	ganisation of thesis	9
2	Fr	amework for assessing and improving the performa	nce of
recursi	ive d	ligital filters for baseflow estimation with application	to the
Lyne a	nd F	Iollick filter (Paper 1)	11
2.1	Int	roduction	17
2.2	Ge	neric framework for assessing and improving the performan	nce of
RDF	s for	baseflow estimation	21
2.	2.1	Performance assessment	22
2.	2.2	Performance improvement	23
2.3	Ca	se study	25
2.	3.1	Catchment characteristics and hydrological properties	25
2.	3.2	Fully integrated SW/GW model	27
2.	3.3	Digital filter	32
2.	3.4	Error measure and optimization procedure	34
2.4	Re	sults and discussion	36
2.	4.1	Relationship between optimal filter parameters and soil	
pr	oper	ies	36
2.	4.2	Relationship between filter performance and soil properties	es42
2.5	Su	mmary and conclusions	47
2.6	Ac	knowledgements	49

3		Performance assessment and improvement of recursive	e digital
b	aseflov	w filters for catchments with different physical characteris	tics and
h	ydrolo	gical inputs (Paper 2)	51
	3.1	Introduction	57
	3.2	Methodology	60
	3.2	.1 Selection of catchment characteristics and hydrological i	inputs 62
	3.2	.2 Fully integrated SW/GW model	69
	3.2	.3 RDFs	72
	3.2	.4 Calibration and performance assessment	75
	3.2	.5 Development of regression models	77
	3.3	Results and discussion	79
	3.3	.1 Simulated streamflow and baseflow	79
	3.3	.2 Optimal filter parameters	83
	3.3	.3 Filter performance	88
	3.3	.4 Practical implications	93
	3.4	Summary and conclusions	95
	3.5	Acknowledgement	98
4		Assessment of the internal dynamics of the Australian	Water
В	alance	Model under different calibration regimes (Paper 3)	99
	4.1	Introduction	105
	4.2	Methodology	108
	4.2		
		.1 Catchment characteristics and hydrological inputs	
	4.2	• • •	109
	4.2	.2 Fully integrated SW/GW model	109 111
		.2 Fully integrated SW/GW model	109 111 112
	4.2	.2 Fully integrated SW/GW model	109 111 112 I) 114
	4.2	.2 Fully integrated SW/GW model	109 111 112 I) 114 122
	4.2. 4.2. 4.2.	.2 Fully integrated SW/GW model	109 111 112 I) 114 122 122
	4.2 4.2 4.2 4.3	.2 Fully integrated SW/GW model	109 111 112 I) 114 122 122
5	4.2. 4.2. 4.3 4.4 4.5	.2 Fully integrated SW/GW model	109 111 112 I) 114 122 129 131
5	4.2. 4.2. 4.3 4.4 4.5	.2 Fully integrated SW/GW model	109 111 112 I) 114 122 129 131
5	4.2. 4.2. 4.3 4.4 4.5	.2 Fully integrated SW/GW model	109 111 112 I) 114 122 129 131 133
5	4.2. 4.2. 4.3 4.4 4.5	.2 Fully integrated SW/GW model	109 111 112 I) 114 122 129 131 133 135

References	141
Appendix A	155

Abstract

Hydrologic models are becoming increasingly important in the planning, design, operation and management of natural and engineered systems. However, development of such models is complicated by the fact that the underlying physical processes are extremely complex and that the observation and measurement of these processes are expensive and difficult. Consequently, simplified models are generally used in practice for purposes such as baseflow estimation and rainfall-runoff prediction. However, it is difficult to provide a rigorous assessment of how well such simplified models perform under a range of catchment characteristics (e.g. catchment area, soil type, slope) and hydrological inputs (e.g. rainfall, evaporation) and how well they are able to capture the underlying physical processes. In addition, without such assessments, it is difficult to change model structure and parameterization in order to improve the models' predictive capability and the ability to better represent physical processes.

In order to address these shortcomings, in this research, generic frameworks for (i) evaluating and improving recursive digital filters (RDFs) for baseflow estimation and (ii) evaluating the internal dynamic performance of conceptual rainfall runoff (CRR) models are developed and applied. The underlying premise of the frameworks is that fully integrated surface water/groundwater (SW/GW) models are able to provide the best possible approximation to the physical processes of water flow within catchments and can therefore be used as a benchmark against which the performance of these simplified models can be assessed for a variety of physical catchment characteristics and hydrological inputs.

The major research contributions are presented in three journal publications. These publications describe: 1) the development of frameworks to evaluate and improve RDF performance for baseflow estimation based on catchment characteristics and hydrological inputs and their application to a single RDF under a limited number of catchment characteristics; 2) the application of the frameworks developed in the first paper to three RDFs under a larger range of catchment characteristics and hydrological inputs, as well as the development of regression equations for predicting RDF performance and optimal RDF parameters for improving RDF performance; and 3) the development and application of framework to evaluate the internal dynamic performance of one commonly used CRR model-Australian Water Balance Model (AWBM) under different calibration regimes under a larger range of catchment characteristics and hydrological inputs. Consequently, this research has developed a new way of evaluating and improving commonly used simplified hydrologic models for baseflow estimation and rainfall-runoff prediction.

Statement of Originality

I, *Li Li*, hereby declare that this work contains no material which has been accepted for the award of any other degree or diploma in any university or other tertiary institution to Li Li and, to the best of my knowledge and belief, contains no material previously published or written by another person, except where due reference has been made in the text.

I give consent to this copy of my thesis when deposited in the University Library, being made available for loan and photocopying, subject to the provisions of the Copyright Act 1968.

The author acknowledges that copyright of published works contained within this thesis resides with the copyright holder(s) of those works.

I also give permission for the digital version of my thesis being made available on the web, via the University's digital research repository, the Library catalogue, the Australian Digital Thesis Program (ADTP) and also through web search engines, unless permission has been granted by the University to restrict access for a period of time.

igned:Date:

Acknowledgements

I gratefully acknowledge my principal supervisor Professor Holger Maier, cosupervisor Professor Martin Lambert and external supervisor Professor Craig Simmons, who have always supervised, supported and encouraged me during my candidature period. Professor Holger Maier kindly offered me this opportunity to study in the University of Adelaide as an international student and provided me much help initially from my application for my scholarship. He always gave me valuable advice and comments on research design and implementation and especially on my thesis and manuscript writing. Without his guidance, vision and passion for research, this thesis would not be possible.

I would like to sincerely thank the University of Adelaide, China Scholarship Council and Northwest A&F University for awarding me the scholarship. Professor Richard Russell, Ms Sandy McConachy and Ms Iris Liu at the University of Adelaide gave me much instruction and encouragement during my candidature. Professor Junmin Liu and Jinbu Yin, who were my supervisor and teacher at Northwest A&F University, gave me much support and trust throughout study.

I would like to thank Daniel Partington, the first person who introduced me HydroGeoSphere, the software directly related to my whole PhD research, and instructed me how to use this software step by step initially from the very beginning of my research. He also offered great help with model runs, data analysis and reviews of manuscript drafts.

I thank eResearch SA for proving server to run my programs. Special thank to Sean Reilly, Paul Coddington and Shunde Zhang from eResearch SA for their great help and advice with implementing the servers.

I would like to express my deep appreciation to Dr Stephen Carr for assistance with school server setting up and resolving modelling issues; Dr Michael Leonard for introducing FORTRAN and VB programming.

Many thanks go to my fellow postgraduate students within the School for sharing their research experience with me, and especially for their friendship. I am fortunate to have Ms Jaya Kashyap, Ms Mina Pazandeh and Ms Nora Abdullah as my "neighbours" in the office. Their encouragement, comfort, and the enjoyable discussions with them are an unforgettable part of my PhD study.

Finally, I would like to thank my parents, Mr Mingshan Li and Ms Xiulian Song, for supporting me emotionally during my PhD research. Last but not least, I would like to thank my husband Zhongyuan Fu for his selfless love and support.

List of Figures

Figure 1.1 Specific research aims and their hierarchy, and linkage of research aims and publications
ainis and publications
Figure 2.1 Schematic description of the framework for assessing the
performance of RDFs for baseflow estimation
Figure 2.2 Schematic description of the framework for improving the
performance of RDFs for baseflow estimation24
Figure 2.3 Schematic representation of tilted V-catchment flow problem (refer
to Panday and Huyakorn (2004))
Figure 2.4 Ten year daily rainfall data for Adelaide, South Australia, gauge
number 23000
Figure 2.5 Catchment model for case study (modified version of the V-
catchment in Panday and Huyakorn (2004))30
Figure 2.6 Values of the optimal LH filter parameter with the error bars
obtained from the linear estimates of uncertainty for sand (a), sandy
loam (b), loam (c), loamy sand (d) and silt loam (e) with different soil
properties39
Figure 2.7 Simulated streamflow and baseflow for catchments with sand (a)
and silt loam (b) with their mean values of K_s and porosity40
Figure 2.8 Flow duration curves for catchments with sand and silt loam with
-
their mean values of K _s and porosity40
Figure 2.9 Impact of different values of LH filter parameter on baseflow for
catchment with sand with minimum porosity4
Figure 2.10 Relationship between the optimal LH filter parameter and K_s with
the error bars obtained from the linear estimates of uncertainty for
different soil properties
Figure 2.11 Comparison of baseflow calculated from the HGS model
simulation and the LH filter with two different values of the filter

	parameter for sand with maximum K_s (a) and silt loam with minimum K_s (b)
	$\mathbf{K}_{S}\left(0\right)$
Figure	2.12 Flow duration curves for catchments with sand with maximum Ks and silt loam with minimum K_s
Figure	3.1 Schematic representation of the adopted methodology
Figure	3.2 Schematic representation of tilted V-catchment flow problem (refer
	to Panday and Huyakorn (2004))63
Figure	3.3 3D Catchment model (modified version of the V-catchment in Panday and Huyakorn (2004))
Figure	3.4 Scatter plot of BFI and Eckhart <i>BFImax</i> filter parameter 84
Figure	3.5 Regression models for the prediction of optimal filter parameter values using input sets 2 and 4
Figure	3.6 Plot of cumulative distribution functions of E_f values for the different RDFs investigated
Figure	3.7 Regression models for the prediction of optimal filter performance (in terms of E_f) using input sets 2 and 4
Figure	3.8 Procedure for checking filter suitability and estimation of optimal filter parameter values
Figure	4.1 Schematic representation of steps in the proposed methodology 109
Figure	4.2 Schematic representation of tilted V-catchment flow problem (adopted from Panday and Huyakorn (2004))
Figure	4.3 An example of 3D catchment model for case study (adopted from Li et al. (2013b))
Figure	4.4 Structure of AWBM
Figure	4.5 Nonlinear regression models for the prediction of BFI and KBase
Figure	4.6 Performance of AWBMs for the different calibration methods investigated

Figure 4.7 Example of total-, base- and quick- flow hydrographs obtained for
two distinct parameter sets obtained using Method 1 for one of the 66
catchments investigated127

List of Tables

Table 2.1 Soil types and ranges and means (shown in brackets) of soil
properties considered for model simulations (taken from Puhlmann et
al. (2009))
Table 2.2 Optimal LH filter parameters and the linear estimates of uncertainty
for sand, sandy loam, loamy sand and silt loam with different
soil properties
Table 2.3 Comparison of LH filter performance for the case where the optimal
filter parameter was used and a filter parameter of 0.925 was used for
sand, sandy loam, loam, loamy sand and silt loam with different $K_s.44$
Table 3.1 Different physical catchment characteristics considered
Table 3.2 Different hydrological inputs considered
Table 3.3 Surface and subsurface parameters for the synthetic catchment
model (refer to Partington et al. (2012))
Table 3.4 Different input sets considered for the development of all regression
models79
Table 3.5 Maximum, median and minimum daily streamflow, daily baseflow
and BFI for the 66 records
Table 3.6 Maximum and minimum optimal values of filter parameters
corresponding to high and low flows and the corresponding value of
BFI (shown in brackets)84
Table 3.7 Predictive performance (CoE) of regression models for the
prediction of optimal filter parameter values85
Table 3.8 Performance of LH and Eckhardt/Boughton filters
Table 3.9 Predictive performance (CoE) of regression models for the
prediction of optimal filter performance (in terms of E_f)
Table 3.10 Percentage of correct prediction of good filter performance (i.e. Ef
≥0.5) using the regression models

Table 4.1 Catchment characteristics considered (adopted from (Li et al.,	
2013b))	110
Table 4.2 Hydrological inputs considered (adopted from (Li et al., 2013b)) 111
Table 4.3 AWBM parameter description and ranges	114
Table 4.4 Summary of calibration methods	120