Comparison of the genetic algorithm and pattern search methods for forecasting optimal flow releases in a 2 multi-storage system for flood control 3

Arturo S. Leon^{a,*}, Linlong Bian^a, Yun Tang^b

^a Department of Civil and Environmental Engineering, Florida International University, 10555 W. Flagler Street Miami, FL 33174, USA

^b HDR Engineering, 8115 Mapple Lawn Blvd, Suite 360, Fulton, MD 20759, USA

Abstract 8

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This paper compares the well-known genetic algorithm (GA) and pattern search (PS) optimization methods for forecasting optimal flow releases in a multistorage system for flood control. The simulation models used by the optimization models include (a) a batch of scripts for data acquisition of forecasted precipitation and their automated post-processing; (b) a hydrological model for rainfall-runoff conversion, and (c) a hydraulic model for simulating river inundation. This paper focuses on (1) demonstrating the application of the framework by applying it to the operation of a hypothetical eight-wetland system in the Cypress Creek watershed in Houston, Texas; and (2) comparing and discussing the performance of the two optimization methods under consideration. The results show that the GA and PS optimal solutions are very similar; however, the computational time required by PS is significantly shorter than that required by GA. The results also show that optimal dynamic water management can significantly mitigate flooding compared to the case without management.

Keywords: Flood control, Flood Management, Forecast, Optimization, 9 Real-time 10

1. Highlights 11

- 1. We compare the performance of the genetic algorithm (GA) and pattern 12 search (PS) methods for forecasting optimal flow releases in a multi-storage 13 system for flood control. 14
- 2. The results of the GA and PS methods are very similar, however the run 15 time required by PS is significantly smaller than that required by GA. 16
- 3. Dynamic water management according to the optimization results can 17 help to significantly mitigate flooding compared to the case without man-18 agement. 19
- 4. A key factor for flood control is to partially empty the storage systems 20 before the rainfall event and during the initial rainfall period before the 21

pre-specified inundation level at the control cross-section is exceeded. 22

^{*}Corresponding author Preprint in that the ter ter ter to be the term with the term of June 2, 2021

23 2. Introduction

Inland flooding produces more damage annually than any other weather 24 event in the United States (NOAA 2016). It is expected that global warm-25 ing along increasing trends in urban development will make the problem worse 26 (NASA 2017). Multiple strategies to mitigate floods have been developed in the 27 last few decades. In particular, flood mitigation at the watershed scale is re-28 ceiving increasing attention (Kusler 2004, Flotemersch et al. 2016). Within this 29 context, flood control can be improved by operating detention ponds, reservoirs 30 and other storage systems in an integrated and coordinated manner according 31 to precipitation forecasts (Leon et al. 2020). For instance, flood control can be 32 improved by partially emptying wetlands ahead of (e.g., a few hours or a couple 33 of days before) a heavy rainfall that would produce flooding. In this case, the 34 storage made available by the early release would provide extra water storage 35 during the heavy rainfall, thus mitigating floods. 36

Even though a few numerical frameworks were proposed for near real-time 37 flood control (e.g., Wei and Hsu 2008, Vermuyten et al. 2020, Tang et al. 2020a), 38 there are very few papers comparing the numerical performance of optimization 39 algorithms. The present work compares the performance of the well-known 40 genetic algorithm (GA) and pattern search (PS) for forecasting optimal flow 41 releases in a multi-storage system for flood control. This paper is organized as 42 follows: (1) the simulation and optimization models are briefly described; (2) the 43 objective function and constraints are presented; (3) the case study is presented 44 and discussed. Finally, the key results are summarized in the conclusion. 45

46 3. Model Description

A numerical framework for forecasting hourly flow releases in a multi-storage
system for flood control needs to include an array of models intended for data acquisition of forecasted precipitation, landscape rainfall-runoff conversion, levelpool routing in storage systems, river inundation modeling and optimization.
For each of these components, there are an array of options available in the
literature. Below, it is briefly described the models used in the paper and the
justification for their use.

⁵⁴ 3.1. Acquisition of precipitation forecast and conversion to DSS format

The acquisition of precipitation forecasts is obtained using our scripts that 55 are provided in GitHub (see Appendix A). The scripts also include code to 56 convert the data to DSS format, which is the file format used by HEC-HMS 57 and HEC-RAS for storing time series data (such as precipitation and discharge 58 over time) and other types of data (such as unit hydrographs, elevation-area 59 curves, and elevation-discharge curves). As an illustration, Fig. 1 presents the 60 precipitation forecast for the south east area of the United States. This figure 61 depicts the precipitation forecast for April 13, 2020 and was generated using the 62 code on April 08, 2020 (5 days lead time). 63



Figure 1. Precipitable water forecast generated with our Python script for the south east area of the United States. The scale of the precipitation is in mm and corresponds to 6-h cumulative precipitable water.

64 3.2. Hydrological and Hydraulic routing

As discussed in Leon et al. (2020), the U.S. Army Corps of Engineers' Hydrologic Modeling System (HEC-HMS) [Hydrologic Engineering Center 2017]
is a good alternative for the hydrologic modeling and the U.S. Army Corps of
Engineers' Hydrologic Engineering Center's River Analysis System (HEC-RAS)
[Hydrologic Engineering Center 2016a, Hydrologic Engineering Center 2016b] is
a good option for inundation modeling. The version of the models used herein
are: HEC-HMS 4.3 and HEC-RAS 5.0.7.

⁷² 3.3. Optimal schedules of flow releases in a multi-storage system

For forecasting optimal schedules of flow releases for flood control, an opti-73 mization solver is needed. The number of decision variables in the optimization 74 is directly proportional to the number of storage systems and the number of 75 time intervals (e.g., hourly releases) used in the optimization. For instance, if 76 the number of storage systems is 20 and optimal schedules of flow releases are 77 needed for a period of 5 days at hourly time intervals, the number of decision 78 variables would be 2400 (5x24x20). Thus, a near real-time flood control frame-79 work requires an optimization solver suitable for large-scale problems. Herein, 80 the performance of two state-of-the-art optimization solvers are compared and 81 discussed within the context of flood control. Due to the availability of these 82 solvers within the MATLAB optimization Toolbox (Chipperfield and Fleming 83 1995), this toolbox was used herein. The version of the MATLAB model used 84 herein is MATLAB R2021a. The two used solvers are briefly described next. 85

3.3.1. Genetic Algorithm (GA)

The Genetic Algorithm (GA) solves constrained and unconstrained opti-87 mization problems based on a natural selection process that mimics biological 88 evolution (Chipperfield and Fleming 1995). The GA repeatedly changes a pop-89 ulation of individual solutions. At each generation, the GA randomly selects 90 individuals from the current population and uses them as parents to produce 91 children for the next generation. After several generations, the population is ex-92 pected to evolve toward an optimal solution. The GA is recommended to solve 93 problems that are not well suited for standard optimization algorithms, includ-94 ing problems in which the objective function is discontinuous, nondifferentiable, 95 stochastic, or highly non-linear (Chipperfield and Fleming 1995). For more 96 details about the genetic algorithm and its application to water resources the 97 reader is referred to Wardlaw and Sharif (1999), Leon and Kanashiro (2010), 98 Leon et al. (2014), Lerma et al. (2015), Yang et al. (2015), and Chen et al. 99 (2016). 100

101 3.3.2. Pattern Search (PS) Optimization

The Pattern search method is an efficient algorithm for solving smooth and 102 nonsmooth optimization problems (MathWorks 2020). At each iteration, the 103 pattern search method searches a set of points, called a mesh, around the current 104 point, looking for one where the value of the objective function is lower than 105 the value at the current point. The Pattern Search method forms the mesh by 106 (MathWorks 2020) (1) generating a set of vectors by multiplying each pattern 107 vector by the mesh size and (2) adding the set of vectors to the current point, 108 which is the point with the best objective function value found at the previous 109 step. The set of pattern vectors is defined by the number of decision variables 110 in the objective function (e.g., N) and the positive basis set. Two commonly 111 used positive basis sets in pattern search algorithms are the maximal basis, with 112 2N vectors, and the minimal basis, with N + 1 vectors. For example, if there 113 are two independent variables in the optimization problem, the default for a 2N114 positive basis consists of the following pattern vectors: $v_1 = [0 \ 1], v_2 = [1 \ 0],$ 115 $v_3 = [0, -1]$ and $v_4 = [-1, 0]$. The reader is referred to Kolda et al. (2006) for 116 a description of the way in which the Pattern Search method forms a pattern 117 with linear constraints. For more details about the pattern search algorithm 118 the reader is referred to Lewis et al. (2007) and Abramson et al. (2009). 119

120 4. Objective Function and Constraints

121 4.1. Objective Function

A typical watershed may experience flooding only a few times per year. During flooding conditions, the water level at control cross-sections of the rivers and creeks should be maintained below the respective pre-specified maximum water level. A control cross-section can be specified, for instance, at densely populated areas. The maximum water level specified at a control cross-section corresponds to a level where inundation is imminent. The objective function f for flooding conditions can be written as follows:

$$f = \sum_{i=1}^{CS} w_i \sum_{j=1}^{P} \left[(E_i)_j - (E_{max})_i \right]^2$$
(1)

where the summation in Eq. (1) is included for all $(E_i)_i > (E_{max})_i$ and "0" 129 otherwise. In Eq. (1), CS and P are the number of control river cross-sections 130 at which the water level constraint is checked and the number of time intervals 131 (e.g., hourly flow releases) for each managed wetland, respectively. Also, $(E_i)_i$ 132 is the water level at control river cross-section i and at time interval j (e.g., 133 hour j), and $(E_{max})_i$ is the specified maximum water level constraint at control 134 river cross-section *i*. Also, in Eq. (1), w_i is the weight of the importance of 135 maintaining the water level in control river cross-section i. If the weights are 136 equally important, all w_i can be set equal to 1. 137

138 4.2. Constraints

The optimization may be subject to linear equality $(\mathbf{A}_{eq} \mathbf{x} = \mathbf{b}_{eq})$ and in-139 equality constraints ($\mathbf{A}_{ineq} \ \mathbf{x} \leq \mathbf{b}_{ineq}$). The equality constraint needs to be 140 specified when, for instance, a certain water level needs to be maintained in 141 the wetlands at a given time. For brevity, let's consider only two wetlands and 142 three time intervals (e.g., three decision variables for each wetland). For this 143 case, the vector of decisions variables x would consist of 6 variables. If a certain 144 water storage (S_{end}) needs to be maintaned at the end of the optimization, the 145 matrix \mathbf{A}_{eq} and vector \mathbf{b}_{eq} would be defined as: 146

$$\mathbf{A}_{eq} = \begin{bmatrix} 1 & 1 & 1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 1 & 1 & 1 \end{bmatrix}$$
$$\mathbf{b}_{eq} = \begin{bmatrix} (S_o - S_{end})_1 / \Delta t + \Sigma I_1 \\ (S_o - S_{end})_2 / \Delta t + \Sigma I_2 \end{bmatrix}$$

where $(S_o)_i$ is the initial storage at wetland i and ΣI_i is the sum of inflows that enters wetland i.

The optimization would also be subject to several linear inequality con-149 straints. For instance, from the operational point of view, it may be desirable 150 that the change of two consecutive flow releases are within a certain value. 151 Mathematically, this means that the absolute value of the difference of two 152 consecutive flow releases are within a certain value (e.g., c). Note that the abso-153 lute value is equivalent to two linear inequality constraints $(x_k - x_{k+1} \leq c \text{ and})$ 154 $-x_k + x_{k+1} \leq c$). Another inequality constraint can be defined to maintain the 155 water storage in each wetland above a minimum wetland storage, which may be 156 required for ecological purposes (S_{ecol}) . Another inequality constraint can be 157 defined to keep the water storage in each wetland below its maximum storage 158 capacity (S_{max}) . As an illustration, for the two wetlands and the three time 159 intervals mentioned above, the matrix \mathbf{A}_{ineq} and the vector \mathbf{b}_{ineq} for the three 160

aforementioned inequality constraints, in the presented order, can be written as:

where I_i^k indicates the inflow that enters we land *i* at time interval *k*.

5. Case Study: A hypothetical eight wetland system in the Cypress Creek watershed, Houston, TX

The coupled optimization-simulation model is applied to the operation of 166 a hypothetical eight wetland system in the Cypress Creek watershed, which is 167 located in Houston, Texas (see Fig. 2). The characteristics of this watershed 168 are described in Tang et al. (2020b). The Cypress Creek watershed, which has 169 a total area of 8.33×10^8 m², experienced devastating floods during Hurricane 170 Harvey in August 2017. The upper half of the Cypress Creek watershed was 171 historically covered by wetlands and rice farms and as such, there are a mul-172 titude of existing levees that can be easily repaired to restore the function of 173 wetlands (Tang et al. 2020b). To help in flood mitigation, Tang et al. (2020b) 174 considered eight hypothetical wetlands (WL-300, WL-310, WL-330, WL-380, 175 WL-390, WL-400, WL-410, WL-420) that are placed in the midstream portion 176 of the watershed. These eight wetlands are depicted as yellow clouds in Fig. 3. 177 This case study considers a single control cross-section (Station 42006.23) 178 in the Lower Reach of the Cypress creek River) to track the water level. The 179



 $\mathbf{Figure}~\mathbf{2.}$ Geographical location of Cypress Creek watershed, TX



Figure 3. Cypress Creek Basin of HEC-HMS model displaying the schematics of eight hypothetical wetlands in midstream (yellow clouds)

maximum desired water elevation at this river station was set to 37 and 37.5 m.
It is noted that according to Eq. (1), the objective function is the sum of the square of the difference between the water level in the control cross-section and the maximum desired water elevation. Thus, specifying a higher inundation level will result in less flooding and in more operation flexibility before and during the flood.

The flow chart of the fully coupled optimization-simulation model for fore-186 casting optimal flow releases in a multi-storage system for flood control is pre-187 sented in Fig. 4. As shown in this figure, the HEC-HMS and HEC-RAS models 188 are prepared, validated, and linked offline. The linking consists on using the out-189 flows of HEC-HMS (managed wetlands and unmanaged basins) as inflows for 190 the HEC-RAS model via DSS filepaths. After the HEC-HMS and HEC-RAS 191 models are specified, the user needs to specify the optimization parameters, the 192 initial water levels in the managed wetlands and the initial flow conditions in the 193 river. Then, for a given precipitation (historical or forecasted), the optimization 194 model generates an schedule of outflows for each wetland at each generation in 195 GA or at each iteration in PS. The schedule of wetland outflows is then used by 196 HEC-HMS to update the water levels in the wetlands. Then, the outflows from 197 HEC-HMS, which could be unmanaged flows (sub-basins without managed stor-198 age) or managed flows (sub-basins with managed storage), enter the streams in 199 HEC-RAS. The water levels in the control cross-sections in HEC-RAS are used 200 to evaluate the objective function given in Eq. (1). The linear inequality and 201 equality constraints are satisfied at each generation or iteration in both, GA and 202 PS. The process is repeated until the optimization stop criteria is satisfied. Once 203 the optimization is completed, the process can be repeated for another precipi-204 tation. The Matlab and Python scripts for the coupled optimization-simulation 205 are provided in GitHub (see Appendix B). 206

The hydrologic model of the Cypress Creek watershed was created in HEC-207 HMS. The details of the HEC-HMS model construction, calibration and vali-208 dation are discussed in Tang et al. (2020b). It is noted that the present paper 209 used gridded precipitation instead of time series precipitation used in Tang et al. 210 (2020b). For details of the gridded precipitation, the reader is referred to Bian 211 et al. (2021). Our Python and Matlab scripts for obtaining gridded precipita-212 tion are provided in GitHub (see Appendix A). For the present demonstration, 21 3 the eight hypothetical wetlands (WL-300, WL-310, WL-330, WL-380, WL-390, 214 WL-400, WL-410, WL-420) have a total combined area of about 3.5% of the 21 5 whole watershed area and each wetland has a maximum depth of 1 m. The hy-216 draulic model of the major streams of the Cypress Creek watershed was created 217 in HEC-RAS using the HEC-GeoRAS tool within ArcGIS. The details of the 218 HEC-RAS model construction, calibration and validation are discussed in Tang 21 9 et al. (2020b). 220

The optimization period considered in this case study is 14 days (336 hours) resulting in a total of 2688 optimal hourly flows for the eight wetlands. The optimization parameters specified for the GA are as follows: Population, 128; Function Tolerance, 1e-4. The optimization parameters specified for the PS are as follows: Initial mesh size, 0.5 m³/s; maximum number of iterations, 1000;



Figure 4. Flow chart of the integrated model for determining optimal flow releases in a multi-storage system for flood control

Mesh Tolerance, 1e-4; Function Tolerance, 1e-4. The lower limit for the flow 226 releases at all eight managed wetlands was set to $0 \text{ m}^3/\text{s}$. The upper limit 227 for the flow releases was set to 25, 12, 15, 15, 25, 10, 10, and 10 m^3/s for 228 wetlands WL-300, WL-310, WL-330, WL-380, WL-390, WL-400, WL-410, WL-229 420, respectively. To speed up the computations, all HEC-RAS simulations are 230 performed in a vectorized manner (e.g., HEC-RAS simulations are computed 231 in parallel). Herein we have used 18 available processors in the 8th Generation 232 Intel Core i7-8700 (18 parallel computations). 233

Equality and inequality constraints were specified for all eight wetlands. Two 234 constraint scenarios were specified in the optimization. The first constraint 235 scenario considered one equality constraint and two inequality constraints. The 236 equality constraint specified that 72 hours (3 days) after the beginning of the 237 optimization, which was also before the beginning of the rainfall event, the 238 water level in all wetlands be at its ecological depth (assumed to be 0.3 m for all 239 wetlands). The first inequality constraint is that the maximum change between 240 two consecutive hourly flow releases is $5 \text{ m}^3/\text{s}$. The second inequality constraint 241 specified that the water depth in each wetland needs to be maintained above the 24 2 minimum ecological depth at all times. The second constraint scenario includes 243 all constraints of the first constraint scenario plus a no overflow constraint. The 244 no overflow constraint specified that the water depth in all wetlands at all times 245 need to be maintained below the respective maximum wetland depth (1 m). 246 This inequality constraint was set to avoid overflows at the wetlands. 247

The typical convergence process for the GA and PS are shown in Figs. 5 and 248 6, respectively. After the stopping criteria of the GA and PS is satisfied, our 249 framework automatically generates a plot for the best optimal solution for each 250 managed wetland. Each plot includes the optimal trace of outflows, the corre-251 sponding time trace of the water surface elevation and storage in the wetland, 252 and the time trace of total inflow, wetland spill flow and total outflow (spill flow 253 + managed outflow). A plot produced for wetland WL-390 with GA and PS for 254 inundation elevation of 37.5 m and for the first constraint scenario is shown in 255 Figs. 7 and 8, respectively. As shown in Figs. 7 and 8, the pattern of outflows 256 produced with both algorithms are very similar. As also shown in these figures. 257 the optimization releases water from the wetlands before the rainfall and during 258 the initial rainfall period. This initial rainfall period corresponds to the period 259 before the control cross-section is about to be inundated. 260

Four optimization conditions were simulated. The conditions were obtained 261 by utilizing two inundation elevations at control cross-section 42006.23 (37 and 262 37.5 m) and the two aforementioned constraint scenarios. Figs. 9 - 12 show 263 the time traces of the water elevation and discharge at the control cross-section 264 for the above mentioned optimization conditions for the best solutions obtained 265 with the GA and PS methods and those without any water management. Over-266 all, the optimization aims to release water from the wetlands before the rainfall 267 and during the initial rainfall period. This initial rainfall period corresponds to 268 the period before the control cross-section is about to exceed the pre-specified 269 level of inundation. During the later rainfall period, there is no significant 270 change in the objective function and as such no significant flood mitigation. 271



Figure 5. GA typical convergence process for optimal schedule of storage outflows



Figure 6. PS typical convergence process for optimal schedule of storage outflows



Figure 7. Optimal trace of outflows for wetland WL-390 obtained using GA. This plot also shows the corresponding time trace of the water surface elevation and storage in the wetland, and the time trace of total inflow, wetland spill flow and total outflow (spill flow + managed outflow) [Assumed inundation elevation = 37.5 m and first constraint scenario.]



Figure 8. Optimal trace of outflows for wetland WL-390 obtained using PS. This plot also shows the corresponding time trace of the water surface elevation and storage in the wetland, and the time trace of total inflow, wetland spill flow and total outflow (spill flow + managed outflow) [Assumed inundation elevation = 37.5 m and first constraint scenario.]

This is because during most of this period, the wetlands are full and the river is flowing near maximum capacity.

The results in Figs. 9 - 12 indicate that the results produced by the GA and PS are very similar, however the computational time required by PS is significantly smaller than that required by GA. For instance, the results in Fig. 9 required a runtime of 16 hr for the PS and about 5 days for the GA. The results also show that the simulation without water management exceed more significantly the specified inundation level (37 or 37.5 m) and for longer periods of time.

For the same inundation level (37 or 37.5 m), the results for the two aforementioned constraint scenarios are also very similar. It is clear that in the second constraint scenario, the flow releases at the managed wetlands will be continuous even during the entire rainfall period, however the total outflow (flow release + spill flow) for both constraint scenarios are essentially the same. Thus, the results are very similar.



Figure 9. Time traces of water elevation and discharge at the control cross-section (Station 42006.23) for best solutions obtained with GA and PS methods and those without management [Assumed inundation elevation = 37 m and first constraint scenario.]

287 6. Conclusions

This paper compares the performance of the well-known genetic algorithm and pattern search methods for forecasting optimal flow releases in a multistorage system for flood control. This framework combines HEC-HMS, HEC-RAS, the MATLAB Optimization Toolbox, and a batch of scripts to integrate these models. All scripts used are made available in GitHub (see Appendices A and B). The case study is illustrated using the operation of a hypothetical eight



Figure 10. Time traces of water elevation and discharge at the control cross-section (Station 42006.23) for best solutions obtained with GA and PS methods and those without management [Assumed inundation elevation = 37 m and second constraint scenario.]



Figure 11. Time traces of water elevation and discharge at the control cross-section (Station 42006.23) for best solutions obtained with GA and PS methods and those without management [Assumed inundation elevation = 37.5 m and first constraint scenario.]



Figure 12. Time traces of water elevation and discharge at the control cross-section (Station 42006.23) for best solutions obtained with GA and PS methods and those without management [Assumed inundation elevation = 37.5 m and second constraint scenario.]

wetland system in the Cypress Creek in Houston, Texas. The key results are as follows:

The results produced by the genetic algorithm (GA) and pattern search
 (PS) methods are very similar, however the computational time required
 by PS is significantly smaller than that required by GA.

- 299 2. In general, the results show that the dynamic water management according to the optimization results can help to significantly mitigate flooding
 301 compared to the case without management (e.g., uncontrolled water release of wetlands).
- 303
 3. The results without any water management exceed more significantly the maximum water level at the control cross-section and for longer periods of time.
- 4. A key factor for flood control is to partially empty the storage systems before the rainfall event and during the initial rainfall period. This initial rainfall period corresponds to the period before the pre-specified inundation level at the control cross-section is exceeded. During the later rainfall period, the optimization doesn't play a significant role because the wetlands are full and the river is flowing near maximum capacity.

312 7. Software and Data Availability

All scripts used in this paper are made available in GitHub (see Appendices A and B).

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Appendix A: Automated Acquisition of Precipitation Forecast and conversion to DSS for its use in HEC-HMS

The acquisition of precipitation forecast and the automated conversion of the acquired data to DSS format is performed using a batch of scripts available at https://web.eng.fiu.edu/arleon/Code_Precip_Forecast_DSS.html and the GitHub repository https://github.com/artuleon/Automate-Precipitation-Forecast. git

The acquired precipitation is the bias-corrected Global Forecast System 326 (GFS) for a lead time of 5 days (today's time is April 04 of 2021) and a time 327 interval of 6 hours. The acquired data is automatically projected to the Cy-328 press Creek Watershed. The precipitation map for a lead time of 5-days is 329 shown in Fig. 13. This file is automatically generated in the folder "\Fore-330 cast GFS" with the name "precip plot.pdf". The DSS file is automatically 331 generated in the folder "\Forecast GFS" with the name "GFS.dss". The script 332 "Forecast GFS.py" re-samples the precipitation to a 1000 m \times 1000 m grid cell 333 and 1 hour time interval. An example of gridded precipitation converted to DSS 334 for its use in HEC-HMS is shown in Fig. 14. 335



Figure 13. Snapshot of bias-corrected Global Forecast System (GFS) acquired by Python and projected to the Cypress Creek Watershed



Figure 14. Snapshot of gridded precipitation converted to DSS for its use in HEC-HMS.

Appendix B: Coupled simulation-optimization model for forecasting optimal flow releases in a multi-storage system for flood control

Our scripts for the coupled optimization-simulation used in this paper can be found at https://web.eng.fiu.edu/arleon/Code_Flood_Control_DSS.html and the GitHub repository https://github.com/artuleon/Flood_Control_ DSS

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