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## **A Scalable Earth Observations-Based Decision Support System for Hydropower Planning in Africa**

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**Research Impact Statement:** A novel decision support system based on earth observation satellites, ensemble climate forecasts and hydrologic models for hydropower planning under deep data uncertainty in Africa.

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**ABSTRACT:** Hydropower is a key part of the increasing shift in power production from non-renewables to renewable energy. In regions such as Africa, hydropower reservoirs are vital for achieving several sustainable development goals, including clean water, energy, and poverty elimination. However, the operations of hydropower reservoirs are often sub-optimal due to lack of hydrologic data for generating reliable inflow forecasts. Here, we present a decision support system (DSS) framework for hydropower planning at daily to seasonal timescales by combining data from earth observation satellites (EOS) with ensemble climate forecasts from dynamical models and hydrologic modeling. The large uncertainty inherent in satellite-based datasets is overcome by using a data validation framework which does not require ground-based measurements. In addition, an EOS evapotranspiration product is used as a proxy for streamflow in calibrating hydrologic models. Compared to a DSS forced with a climatological forecast (zero-skill), the hydropower production with the new DSS increased by 20%. The study highlights the advantage of using data from EOS in overcoming the issue of data scarcity in water resources applications, particularly in developing regions of the world such as Africa.

**(KEYWORDS:** hydropower; decision support system; remote sensing; water resources)

## INTRODUCTION

Access to water and energy are essential for the development of the socio-economically vulnerable regions of the world. In fact, clean water and energy constitute two (SDG6 and SDG7) out of the seventeen sustainable development goals (SDGs) identified by the United Nations (Griggs *et al.*, 2013; Sachs, 2012) (<https://sustainabledevelopment.un.org/>). Effective water and energy resources planning is necessary for not only achieving SDG6 and SDG7 but also plays an important role in addressing other SDGs such as poverty elimination (SDG1), zero hunger (SDG2), and promotion of sustainable cities and communities (SDG11). In this regard, hydropower, which lies at the nexus of water and energy, has an important role to play. This is especially true in Africa, which has witnessed significant growth in the construction of reservoirs, including those specifically targeting hydropower production. With such an exponential increase in hydropower capacity, it is crucial to operate these reservoirs in such a way that guarantees energy production is maximized, not an easy task given the seasonal and annual variability of water availability under present (Broman *et al.*, 2020) and future (Fletcher *et al.*, 2019) climatic conditions. The lack of optimal reservoir operation causes more frequent power outages and associated economic losses, and

incurs substantial opportunity cost (Conway *et al.*, 2017; Sridharan *et al.*, 2019). These reasons necessitate the development and implementation of decision support systems (DSSs) which can provide reliable and effective information to decision makers, at the relevant time scales.

DSSs are used for the optimal operations of reservoirs for a variety of purposes. Typically, the near-term (daily), sub-seasonal (weekly), and seasonal (monthly) releases from a reservoir serve multiple purposes, such as domestic, industrial, and agricultural water supply, flood control, hydropower, and the maintenance of environmental flows (Alemu *et al.*, 2011; Koppa, Gebremichael, Zambon, *et al.*, 2019; Westphal *et al.*, 2003). A DSS consists of three parts: 1) an inflow forecasting system which uses statistical or dynamical methods to generate possible realizations of future inflow into the reservoir at the required timescales, 2) an optimization system which employs either deterministic or stochastic programming techniques, based on the nature of the inflow forecasts, to optimize reservoir outflows, and 3) a visualization support system interface that communicates this information to the user in an effective way to meet their decision-making process in a timely fashion. In the rest of the Introduction, we provide a brief overview of the three enumerated DSS components and summarize the objectives of this study.

### *Inflow Forecasting System*

The effectiveness of a DSS for hydropower planning is significantly influenced by the reliability of the inflow forecasting system. Inflow forecasting systems generally fall into one of the following two categories: (1) statistical modeling based on past streamflow observations, and (2) dynamically driven hydrologic modeling forced by climate forecasts.

In the first category, statistical modeling techniques such as autoregressive moving average and neural networks which sample from past observation of inflows, are used to generate the forecasts (Cuo *et al.*, 2011; Li *et al.*, 2017). Several factors hinder the application of such an inflow forecasting system in Africa, of which in-situ data scarcity and inaccessibility are the most significant, because the lack of reliable long-term inflow information adversely impacts the accuracy of statistical models of forecasting.

In the second category, dynamic forecasts of reservoir inflows are generated with computational physics-based climate and hydrologic models. The emergence of ensemble climate and hydrologic forecasting in the last decade has shown potential for improving the quality of the forecasts, and

hence forecast-informed decision making (Alfieri *et al.*, 2013; Benninga *et al.*, 2017). While this category has shown value in generating dynamic forecasts and acknowledging some uncertainties in the forecasts, it is limited by the large range in ensemble members and questions about which ensemble forecast products are reliable. In addition, reliable calibration of spatially distributed hydrologic models for forecasting purposes are largely dependent on the availability of streamflow measurements.

In our opinion, the next advancement in the inflow forecasting system in regions with reduced *in situ* monitoring would be to develop a methodology that accurately quantifies the uncertainty in the climate ensemble forecast products and reduces the uncertainty to a level that is useful for decision making. Therefore, in this study, we propose a new approach for inflow forecasting system that is particularly appropriate in data-scarce regions, such as Africa. This approach is to utilize Earth Observing System (EOS) data to both dynamically adjust the climate forecasts provided by climate forecast centers, while also utilizing the EOS data with novel techniques to calibrate the hydrologic models of watersheds with limited surface measurements.

The value of EOS in enabling improved water resources management in data scarce regions is well recognized (Sheffield *et al.*, 2018). The development of improved EOS over the last fifty years has resulted in vast amounts of direct and indirect observations of nearly all the water and energy balance components required for modeling the earth's terrestrial processes, including its hydrology (Lettenmaier *et al.*, 2015). Although, EOS data have been extensively used in climate and hydrological modeling and forecasting through data assimilation (Crow and Ryu, 2009; Mazrooei and Sankarasubramanian, 2019) and model calibration (Koppa, Gebremichael, and Yeh, 2019; López *et al.*, 2017; Rakovec *et al.*, 2016; Zink *et al.*, 2018) or directly as forcing inputs, the utility of such data for water and energy resources planning, in general, and hydropower reservoir operation, specifically, has not been sufficiently explored.

One of the key challenges in utilizing EOS data products is to choose which data products to use. There are many EOS data products for the same variable (e.g., precipitation) with large differences amongst them owing to differences in satellites, sensors and retrieval algorithms. In addition, the choice of EOS data products may have to take into account their joint performance to ensure some realism, for example, the closure of energy and water balance. This is corroborated by several findings (Bitew *et al.*, 2012; Koppa, Gebremichael, and Yeh, 2019) who showed that the use of

EOS data products for only one variable may show good performance in simulating the streamflow at the outlet of the catchment, but it may have large errors and unrealistic performance in simulating other water balance components, indicating that such an approach may not work in simulating even streamflow in the case of cascading hydropower reservoirs. Therefore, new methodologies need to be developed that advance the use of EOS data for hydropower reservoir planning, particularly in Africa where ground validation data are lacking.

### *Optimization System*

The optimization of a cascade of hydropower dams, using an ensemble of streamflow forecasts, is generally carried out using stochastic programming with recourse models (Yeh, 1985). In such models, the system of reservoirs is optimized for the entire forecast horizon but the release decisions for only the first-time step (referred to as ‘first stage’) is adopted. Then, the forecast horizon is moved forward by one stage and the optimization procedure is repeated. Although the value of stochastic inflow forecasts in hydropower optimization is well studied (Séguin *et al.*, 2017), an assumption inherent in such optimization models is that the first stage (day, week, month) forecast is deterministic. In other words, the forecast for the first stage is assumed to be sufficiently accurate such that a single deterministic forecast for the first stage is deemed enough for the optimization of reservoirs. When new information regarding the inflow into reservoirs are available, the whole system is validated, and the required adjustments are made to the DSS before the start of the next stage. Several studies employ this approach for the operation of reservoir cascades (Etkin *et al.*, 2015; Wang *et al.*, 2012). However, such an approach is dependent on the availability of reservoir inflows at regular intervals for the validation of the entire DSS, which may not be possible in data scarce regions such as Africa. Here, we implement a new stochastic programming with recourse model which considers the first stage to be also stochastic (Koppa, Gebremichael, Zambon, *et al.*, 2019). In addition, we implement the conventional stochastic programming with recourse model and a purely deterministic optimization model to enable decision making under data scarcity and uncertainty.

### *Visualization Support System*

The effectiveness of a DSS for hydropower planning is significantly enhanced by providing a coherent interface between the technical outputs of the inflow forecasting and optimization systems that then communicates this information to the user in an effective way to meet their

144 decision-making process, all in a timely fashion. The scale of the information produced by  
145 hydrometeorological services and climatological centers can often be overwhelming to a user. As  
146 an example, ensemble rainfall forecasts at a single location from a single weather center can easily  
147 comprise over 3000 data points for a forecast going out to two weeks in advance – a well-designed  
148 visualization and support system then should consolidate and filter such information using expert  
149 knowledge of the data's relevance to the unique decision making process of the user. A number of  
150 systems have been developed that have been shown to be effective in communicating timely,  
151 coherent, relevant, and user-friendly information for a number of applications that have relevance  
152 to a broad class of user's decision-making needs, such as in the area of climate change (Wilhelmi  
153 et al. 2016). Decision support visualization tools for hydropower planning comprises a unique  
154 challenge, in that design considerations for decision making need consider a broad range of data  
155 types (e.g. rainfall, streamflow, and power), temporal immediacy (e.g. historical, current  
156 observations, forecasts), data source centers (e.g. space agencies and weather centers), the range  
157 of temporal scale (e.g. 24-hour, 5-day, 1-month, and 3-month totals) and spatial scale (grid, small-  
158 to large-catchment averaging), data accessing formats (e.g. csv, flat file, time-series, etc.),  
159 uncertainty information (ensembles versus cumulative probabilities versus averages), and general  
160 aesthetic and design considerations.

### 161 *Objectives of the Study*

162 In this study, the three systems detailed above are combined to create a Decision Support System  
163 (DSS) for hydropower planning in Africa and other data scarce regions that leverages the potential  
164 of EOS data, ensemble climate forecasts, hydrological models, and stochastic optimization  
165 systems. This study leverages the findings of our previous research to develop, implement, and  
166 test a coherent DSS prototype, at daily to seasonal timescales, in a major river basin in Ethiopia  
167 consisting of a cascade of hydropower reservoirs. The newly developed DSS contains the  
168 following innovations, and web-based tools to enable hydropower managers to implement the DSS  
169 in operational settings:

- 170 • **Selection of appropriate EOS data products** – The DSS includes a new data validation  
171 framework for data-scarce regions that allows users to select the best EOS data products,  
172 among the wide variety available data products, required for the calibration of climate  
173 precipitation forecasts and hydrologic models (Koppa and Gebremichael, 2017). The

framework does not require any ground-based data and uses the concept of Budyko hypothesis to select the most appropriate EOS data products that represent the climate accurately and close the water and energy balance.

- **Calibration of weather and climate forecasts** – The DSS development has led to innovations in calibrating optimized multi-model/multi-center ensemble weather and climate forecasts at daily (medium-range) and weekly (S2S) time scales using conditioned analogue approaches blended with geostatistical regressors and quantile regression. These post-processed forecasts then provide skillful and reliable rainfall forecasts tailored for the next stage in hydrometeorological forecast generation.
- **Calibration of hydrologic models** – The DSS will use a recently developed Bayesian framework and EOS terrestrial evaporation data product to calibrate a hydrologic model (Koppa, Gebremichael, and Yeh, 2019; Koppa and Gebremichael, 2020). This approach conveniently replaces streamflow data, which is the commonly used data for calibrating hydrologic models, with EOS terrestrial evaporation data products, because most watersheds in Africa are ungauged and even those that are gauged have data quality issues (outdated rating curve, stage measurements observed and recorded manually by non-experts) and availability (substantial time lag until the data are transferred to electronic format and shared by users, and bureaucracy in data sharing).
- **Reservoir optimization models** – The DSS will use a new methodology that incorporates uncertainties in climate forecasts and hydrologic model parameters in the optimization of hydropower (Koppa et al. 2019).
- **Web-based decision support tool** – A powerful web- and GIS-based visualization tool for analyzing DSS outputs to aid decision makers, that presents information in ways relevant to the unique breadth and challenges of hydropower management.

The study is organized as follows. In the next section, we provide a detailed overview of the DSS framework for data scarce regions. Then, we describe the experimental design of the application of the DSS using selected hydropower reservoir systems in Ethiopia as a case study. Finally, we present and discuss the implications of using EOS-based DSS for data scarce regions.

## METHODOLOGY

The DSS in this study consists of the following components: a) Earth observations module (EOM), b) Climate forecasting module (CFM), c) Hydrologic forecasting module (HFM), d) Optimization module (OM), and e) Visualization module (VM). The DSS process (Figure 1) starts with the selection of the most appropriate EOS data for precipitation (P) and evapotranspiration (ET) variables for the selected domain (EOM). The selected P dataset is then used to calibrate ensemble weather and climate forecasts using combined analogue and quantile regression approaches (Hopson, 2014; Hopson and Webster, 2010; Knievel *et al.*, 2017; Koenker and Bassett, 1978b) at the daily to seasonal timescales in the CFM. An additional forecast calibration methodology in the form of Bayesian Model Averaging (BMA) (Hoeting *et al.*, 1999; Raftery *et al.*, 2005) is also implemented. Simultaneously, the selected ET dataset is used to calibrate the hydrologic model using a Bayesian calibration algorithm to derive a set of parameters for streamflow forecasting. Next, the calibrated climate forecasts are used as input into the hydrologic model to generate ensemble forecasts of inflows into all the reservoirs in the study domain for the forecast horizon (HFM in Figure 1). In OM, the generated reservoir inflow forecasts are then used as an input into a stochastic programming with recourse model to generate optimized reservoir release decision such that the hydropower production is maximized. Finally, web-based decision support tools visualize the ensemble climate forecasts, the reservoir inflow scenarios, and the optimized release, storage and hydropower decisions (VM in Figure 1). We detail each module of the DSS in the following subsections.

Insert Figure 1

#### *Earth Observations Module (EOM)*

The primary objective of the EOM is to select the most appropriate EOS-derived P and ET datasets for the calibration of ensemble P forecasts and the hydrologic model. In data scarce regions, such as Africa, evaluation of EOS data products using in-situ measurements is not possible. We use a recently developed framework which does not require in-situ measurements for validating EOS-based P and ET datasets (Koppa and Gebremichael, 2017). The framework compares P and ET datasets against the Budyko hypothesis, a semi-empirical model that describes the coupled water and energy balance of watersheds at long-term timescales (Budyko, 1974), using two indices: (1) Evaporative Index (ET/P, abbreviated as EI) and (2) Aridity Index (PET/P, abbreviated as AI). In the DSS, we utilize Fuh's equation (Fuh, 1981) (Equation 1), a single parameter Budyko function:



$$\frac{ET}{P} = 1 + \frac{PET}{P} - \left(1 + \left(\frac{PET}{P}\right)^\omega\right)^{\frac{1}{\omega}} \quad (1)$$

where PET is potential ET, and  $\omega$  is a parameter which has no analytical solution, but several parameterizations have been suggested relating  $\omega$  to watershed characteristics such as topography, soil, vegetation, and geographical location of watersheds among others (Li *et al.*, 2013; Xu *et al.*, 2013).

The Budyko curve (Equation 1) is constrained by the following water and energy limits:

$$\frac{ET}{P} = 1, \frac{PET}{P} > 1 \quad (\text{water limit}) \quad (2)$$

$$\frac{ET}{P} = \frac{PET}{P}, \frac{PET}{P} < 1 \quad (\text{energy limit}) \quad (3)$$

The water limit (Equation 2) implies that ET cannot exceed P in the long term. Implicit in the constraint is the assumption that the contribution of watershed storage to long-term water availability is negligible. We note that this assumption may be inadequate in watersheds which have experienced severe long-term groundwater loss (Condon and Maxwell, 2017). In watersheds where water availability is not a constraint, ET is limited by the available energy in the form of net radiation ( $R_n$ ) or PET (Equation 3). Consequently, in our application of the Fuh equation (Equation 1), the parameter,  $\omega$ , is stationary. However, several studies have disputed this assumption (Mianabadi *et al.*, 2020; Ning *et al.*, 2018) at finer timescales (monthly, seasonal, or interannual). We acknowledge that the lack of consideration of the non-stationarity in  $\omega$  could impact the results of the analysis presented below. To reduce this impact, we conduct our analysis at long-term time scales. In addition, we have comprehensively quantified the effect of the variability in  $\omega$  in a previous study in which we have developed the methodology (Koppa and Gebremichael, 2017). We have shown that at long-term time scale, the value of  $\omega$  does not have significant on our results. Moreover, similar analysis has been used in a number of hydrological (Greve *et al.*, 2020) and climate change studies (Greve *et al.*, 2014; Zhou *et al.*, 2015). Finally, we emphasize here that a different methodology for selection of precipitation datasets is necessitated by the lack of availability of ground-based measurements for validating the datasets. In regions where such validation datasets are available, the remote sensing datasets should be evaluated using

ground-based measurements. As this study focuses on detailing the alternate methodology, we do not present a evaluation with ground-based measurements.

In Koppa and Gebremichael (2017), we show that the validation framework is capable of mimicking traditional methodologies which use in-situ measurements. Specifically, we show that the combined error (CE) in P and ET datasets can be represented by the following Euclidean measure (Equation 4):

$$CE = \sqrt{(AI_{est} - AI_{act})^2 + (EI_{est} - EI_{mod})^2} \quad (4)$$

where,

- 1)  $EI_{est}$  and  $AI_{est}$  are the long-term average evaporative and aridity indices estimated from satellite-based estimates of P, ET, and  $R_n$  considered in this study for water and energy balance closure.
- 2)  $AI_{act}$  is the actual long-term estimate of AI determined using observed  $R_n$  from the NASA/GEWEX Surface Radiation Budget (SRB) (Cox *et al.*, 2006) v3.0 data and precipitation from WorldClim v2.0 dataset (Fick and Hijmans, 2017). This is done as the methodology developed in Koppa & Gebremichael (2017) is based on the assumption that the aridity of the watershed is known and does not change significantly. The SRB data spans the years 1983-2007 with a spatial resolution of  $1^\circ \times 1^\circ$ . The temporal range of the WorldClim dataset is 1970–2000 and the spatial resolution is 1km x 1km.
- 3)  $EI_{mod}$  is determined from Fuh's equation (Equation 3) as  $EI_{mod} = 1 + AI_{act} - (1 + (AI_{act})^\omega)^{1/\omega}$  where  $\omega$  is the Budyko parameter.

As  $\omega$  has no analytical solution, we use the parameterization developed by (Xu *et al.*, 2013). Specifically, we make use of the following multiple linear regression (MLR) model

$$\omega = 5.057 - 0.093lat + 0.130CTI + 1.316NDVI + 0.000003A - 0.00018elev \quad (5)$$

where,

- 1)  $lat$  is the latitude of the centroid of each watershed. This is derived from the HydroBASINS dataset.

- 2) *CTI* is the compound topographic index (Beven and Kirkby, 1979) defined as  $\ln(a/\tan \beta)$ , where  $a$  is the upstream watershed area derived from the HydroBASINS dataset,  $\beta$  is the slope in degrees. We derive the average slope of each watershed from the Multi-Error-Removed Improved-Terrain (MERIT) digital elevation model (DEM) which has coverage of the entire earth (Yamazaki *et al.*, 2017). *CTI* is correlated with soil moisture. Low *CTI* values implies smaller watersheds and steep slopes. High *CTI* values are associated with large watersheds with gentle slopes and represents more water accumulation.
- 3)  $A$  is the area of watershed derived from HydroBASINS dataset and  $elev$  is elevation derived from MERIT DEM.
- 4) *NDVI* is the normalized difference vegetation index derived from NASA's Moderate Resolution Imaging Spectroradiometer (MODIS), specifically MOD13A2 v6.0 available at 1km spatial resolution (Didan, 2015). We determine one *NDVI* value per watershed by averaging over the years 2000–2018.

In summary, the following steps are followed to select the best performing P and ET datasets: 1) For a given watershed or catchment area of hydropower reservoirs, the Fuh parameter ( $\omega$ ) is determined using Equation 5. 2) The actual or reference long-term aridity index of the study region is calculated using reliable potential evaporation (PET) or net radiation and precipitation datasets. 3) For every combination of P and ET dataset to be evaluated, a Euclidean distance metric in the Budyko space (CE) is calculated using Equation 4. 4) Finally, the combination of P and ET dataset with the least value of CE is selected as the best performing datasets.

In the DSS, we implement this framework described above to select the most appropriate P and ET dataset among 14 widely used EOS P and ET datasets (Figure 1 and Table 1), using the Euclidean distance metric described in Equation (4). The best P and ET dataset selected using the framework for a specific watershed will then be used in CFM to calibrate the forecasts and in the HFM to setup and calibrate the distributed hydrologic model.

#### *Climate Forecasting Module (CFM)*

In the CFM, weather and climate forecasts at three different timescales can be generated as input to the HFM: daily, sub-seasonal-to-seasonal (S2S), and seasonal. Based on the optimization

system, three different forecast scenario structures are produced: a) A single deterministic forecasts for all stages (DET), b) A single deterministic forecast for the first stage and ensemble (stochastic) forecasts for the rest of the forecast horizon (SPWR-D), and c) Ensemble (stochastic) forecasts for all the stages (SPWR-S). For generating these scenarios, raw or calibrated multi-model ensemble weather or climate forecasts are used. Two distinct approaches are available in the CFM for calibration of the forecasts: 1) Combination of analogue and quantile regression, 2) Bayesian Model Averaging (BMA). Below, we provide details of both the approaches.

The combined analogue and quantile regression algorithm (Knievel *et al.*, 2017; Koenker and Bassett, 1978) can be explained as follows. Let  $\{y_i\}$  represent a set of observations of the regressand  $y$  of interest, and  $\{\mathbf{x}_i\}$  be an associated set of predictor values. Analogous to standard linear regression, a linear function of  $\mathbf{x}$  can be used to estimate to a specific quantile  $q_\theta$  of  $y$

$$q_\theta(\mathbf{x}_i; \boldsymbol{\beta}) = \beta_0 + \sum_{k=1}^n \beta_k x_{ik} + r_i \quad (6)$$

with residuals  $r_i = y_i - q_\theta(\mathbf{x}_i; \boldsymbol{\beta})$  and  $\theta \in (0,1)$ . However, instead of minimizing the squared residuals as with standard linear regression, in QR a weighted iterative minimization of  $\{r_i\}$  is performed over  $\boldsymbol{\beta}$ :

$$\min \sum_{i=1}^n \rho_\theta(r_i) = \arg \min_{\boldsymbol{\beta}} \sum_{i=1}^n \rho_\theta(y_i - q_\theta(\mathbf{x}_i; \boldsymbol{\beta})), \quad (7)$$

with the weighting function used inside the summation defined as (using a generic placeholder “ $u$ ”):

$$\rho_\theta(u) = \begin{cases} \theta u & u \geq 0 \\ (\theta - 1)u & u < 0 \end{cases}, \quad (8)$$

where the value of  $\theta$  then prescribes the quantile function that one is solving for (e.g. say, 0.5 for a fit to the median; or 0.9 for a 90<sup>th</sup> percentile functional fit). The benefits of using QR is that it can be used to estimate the full probability distribution function of the regressand, the optimality of its estimation does not require homoscedastic residuals (unlike standard linear regression), and its functional fit is more immune to unrealistic outliers than standard linear regression (which minimizes the squares of the residuals).

Building on this QR backbone, one aspect that makes our postprocessing approach novel is that we “pre-process” the ensemble dispersion ensuring its reliability (Hopson, 2014), and then explicitly condition the training of the final postprocessing model on the degree of the (now-calibrated) ensemble dispersion, the primary benefit of which is that when the ensembles of the forecast are less(more) dispersed, the forecast user can trust that the forecast is more(less) certain. Figure 2 provides a schematic of our approach. Additionally, we have investigated the use of hybrid statistical-dynamical prediction methodologies to multi-model ensemble dynamical forecasts and geophysical teleconnections to generate rainfall predictions. Specifically, at the S2S scale we have enhanced forecast skill of the NCEP-CFSv2 model through combining with Madden Julian Oscillation (MJO) indicators, which we will discuss further below in our Case Study and Results Section.

Insert Figure 2

The second method implemented for calibration of forecasts is Bayesian Model Averaging (BMA). BMA is a well-established methodology for calibrating forecast ensembles generated from multiple statistical (Hoeting *et al.*, 1999) or dynamical models (Raftery *et al.*, 2005). BMA of a forecast ensemble results in a calibrated and sharp predictive probability density function (PDFs), represented as a weighted averaged of the PDFs of the ensemble members. Following Sloughter *et al.* (2007), the BMA predictive PDF can be mathematically represented as

$$P(x|f_1, f_2, \dots, f_n) = \sum_{n=0}^N \omega_n c_n(x|f_n), \quad (9)$$

where  $\omega_n$  is the posterior probability of ensemble forecast member  $f_n$  being the best one, determined in the calibration or training period using observed or reference data of the hydrologic variable under consideration  $x$  (for example, precipitation or terrestrial evaporation); and  $c_n(x|f_n)$  is the conditional PDF associated with the ensemble forecast  $f_n$  of the hydrologic quantity  $x$ . For variables such as temperature, the conditional PDF  $c_n(x|f_n)$  can be assumed to be normally distributed (Raftery *et al.*, 2005), but a gamma distribution is more appropriate for precipitation (Sloughter *et al.*, 2007). In the DSS, we use a mixture of point mass at zero and a gamma distribution as the conditional PDF (Sloughter *et al.*, 2007). We determine the BMA weights ( $\omega_n$ ) of ensemble precipitation members using the most appropriate P dataset selected in the EOM.

In the DSS, we aim to provide support for the most popular global ensemble weather and climate forecasts at daily to seasonal timescales. At daily weather scale (1- to 16-day lead-times), real-time ensemble forecasts are available from NCEP (21 members) and Environment Canada (21 ensembles). To expand the multi-model, ensemble forecasts are utilized from an additional six climate centers from the (two-day delayed) THORPEX Interactive Grand Global Ensemble (TIGGE) archive: CMA (15 ensembles), CPTEC (15 ensembles), ECMWF (51 ensembles), MeteoFrance (11 ensembles), UKMet (24 ensembles), and JMA (51 ensembles). The spatial resolutions of the forecasts vary in the range from 0.25 to 1.50 Degrees (Table 1). The forecasts are available at lead times, ranging from nominally 6-hr to 16-days. At the subseasonal- to seasonal-range (S2S; 2- to 6-week lead-times), dynamical real-time forecasts are available from the SubX Project (<http://iridl.ldeo.columbia.edu/SOURCES/.Models/.SubX/>), with the following contributing models and centers: NCEP-CFSv2, NCEP-GEFS, NASA-GEOS5, ECCO-GEM, US Navy-ESM, NCAR-CCSM4, ESRL-FIM. For seasonal forecasts, we use the North American Multi-Model Ensemble (NMME). *Hydrologic Forecasting Module (HFM)*

The main objective of HFM is to generate reliable reservoir inflow forecasts, the primary input to the optimization module. For this, we use the deterministic and stochastic precipitation forecasts at daily to seasonal timescales, produced in the CFM as input into a calibrated spatially distributed hydrologic model. The novel contribution in this module is in the use of terrestrial evaporation (ET) as a proxy for streamflow (SF). The selection of ET as a proxy for SF is motivated by the findings of several previous studies which show that calibrating hydrologic models with ET, in the absence of SF observations, improves the accuracy of SF relative to an uncalibrated model (Immerzeel and Droogers, 2008; López *et al.*, 2017; Zink *et al.*, 2018). Hence, we assume that the high fidelity of the hydrologic model in simulating ET implies accurate simulation of streamflow. In addition, we also introduce the role of hydrologic model parameter uncertainty in affecting the reservoir inflow forecasts and hence hydropower production. For this, we adopt a formal Bayesian calibration approach to derive the posterior probability distribution of model parameters. Specifically, we utilize the Differential Evolution Adaptive Metropolis (DREAM) Markov Chain Monte Carlo Scheme (MCMC) scheme (Vrugt *et al.*, 2008, 2009).

First, we calibrate the hydrologic model using the DREAM algorithm to derive the posterior distribution of model errors. Next, we define a limit of acceptability or error threshold to

distinguish between behavioral and non-behavioral solutions (Beven, 2006). ‘Behavioral’ solutions are model parameter sets, derived from calibration, that result in errors that are within an acceptable limit (error threshold) for a specific model output (ET in this study). We use the model parameter set with the least model error for generating deterministic and stochastic inflow scenarios. The remaining behavioral model parameter sets then are used to quantify the uncertainty in ET and SF forecasts due to uncertainty in model parameters. A detailed description of the calibration methodology is available in (Koppa, Gebremichael, and Yeh, 2019).

In summary, the following steps are followed in generating the hydrologic forecasts in this module:

- 1) Once the hydrologic model is selected (Noah-MP), the model is calibrated using satellite-based P and ET datasets,
- 2) The best P and ET datasets selected in the EOM are used in a Bayesian calibration framework (DREAM) to generate a set of behavioral parameters for the hydrologic model (Noah-MP) for the calibration time period (2004),
- 3) Each set of parameters will result in one set of hydrologic forecast (one ensemble member),
- 4) The set of parameters are used to generate different deterministic and stochastic inputs to the optimization model (described below).

#### *Optimization Module (OM)*

In the OM, we implement a multistage deterministic and stochastic programming with recourse model to optimize hydropower production at the required timescales. First, we provide a generic example of a multistage stochastic programming with recourse model. Then, we describe the specific hydropower optimization scheme implemented in the DSS. We note that the description is provided for seasonal timescales (monthly time step). However, the same optimization scheme is applicable for the daily (hourly time step) to S2S (daily time step) time scales.

Consider a system of  $R$  reservoirs. Let the seasonal hydropower planning horizon be  $T$  months, which is divided into  $T$  stages (each stage is one month). Let the monthly time period be  $t$ ,  $t = 1, 2, \dots, T$ . In a multistage stochastic programming with recourse model, at the beginning of each time period  $t$ , a reservoir inflow scenario with  $n$  scenarios is constructed to represent possible future inflows into the reservoir. These scenario trees or fans are used as an input to an optimization model that minimizes or maximizes the expected value of a specified objective function. We adopt a ‘rolling horizon control’ scheme in which the optimal release decisions are adopted only for the immediate stage ( $t$ ). Then, the planning horizon ( $T$ ) is ‘rolled’ forward (

$t = t + 1$ ), the reservoir inflows are reforecasted, and the model is re-optimized (recourse). The rolling horizon control is a general-purpose control scheme that involves repeatedly solving a constrained optimization problem, as well as using predictions of future inflows, and constraints over a moving time horizon to choose the control action. This process is repeated until the end of the planning horizon ( $t = T$ ).

First, the deterministic and ensemble reservoir inflow forecasts generated in the HFM are used to construct the three scenario structures implemented in the DSS – 1) DET, 2) SPWR-D, and 3) SPWR-S. For the construction of the completely deterministic or DET scenario, only the deterministic forecasts generated from BMA of ensemble precipitation forecasts are used at all stages of the planning horizon ( $T$ ). As all stages are deterministic, the DET scenario consists of only one inflow scenario. For the SPWR-D scenario, deterministic forecast (from BMA) is used for just the first stage of the planning horizon, and  $n$  ensemble forecasts (generated from raw ensemble precipitation forecasts) are used for the remaining  $T - 1$  stages (Figure 1). Therefore, SPWR-D scenario consists of  $n$  inflow scenarios. Finally, for the SPWR-S scenario, only ensemble forecasts are used at all stages resulting in a completely stochastic scenario, consisting of  $n$  scenarios. Note that the DET, SPWR-D, and SPWR-S scenarios are constructed at the beginning of each iteration of the multistage stochastic programming with recourse model, i.e., at each stage  $t$  of the planning horizon  $T$ . Next, the different scenarios are used as an input to a nonlinear programming (NLP) hydropower optimization model to generate optimal release and storage decisions. We choose NLP because it can accommodate the nonlinear power production functions without approximation. It has been shown that NLP models are most accurate in generating reliable release and storage policy for reservoir management and operation (Barros *et al.*, 2003). A detailed description of the optimization methodology is available in Koppa, Gebremichael, Zambon, *et al.* (2019).

In summary, the following steps constitute the optimization module: 1) Rolling horizon scheme is followed in which the system is optimized at the start of every month for a planning horizon of 8 months, 2) At the start of every month, three inflow scenarios (DET, SPWR-D, and SPWR-S) are generated 3) DET is generated by combining the BMA of precipitation forecasts (CFM) with the Noah-MP model run with the best parameter set from HFM for all the 8 months, 4) SPWR-D is generated by running the BMA forecast through the Noah-MP model for the first month, and for



the remaining months all the ensemble climate forecasts and parameter sets are used to generate an ensemble of forecasts for the remaining 7 months, 5) SPWR-S scenario is generated using ensemble forecasts and model parameters for all the, 6) The system is optimized for the entire 8 months, but the decisions are implemented only for the first month, 7) At the start of the next month, the entire procedure (Step 1 -7) is repeated for the next months.

### *Visualization Module (VM)*

Because each collaboration has its own region with its own unique geography, hydrology, and decision-making needs, each partnership begins by identifying the relevant datasets, and forecast models, as well as determining the most convenient output formats, including spatial requirements (local catchments, grids or sites) and best data formats for interfacing with the agencies' current prediction systems. Because of this, the VM is primarily oriented around a customizable web-based decision support tool that integrates many of the outputs from the DSS into a GIS-based visualization framework to aid decision makers in assessing and downloading the DSS data outputs into their particular context. The power behind the VM is the ability to visualize and interrogate the output from the DSS through space and time. A time series graph of precipitation estimates for each catchment is integrated into the interactive mapping application for each catchment. The democratization of the forecasts lead to enhanced situational awareness of possible future rainfall events for decision makers. The web application components are built using open source data formats, programming languages, and, mapping and graphing libraries. The spatial forecast data is stored as a JavaScript Object Notation (JSON) file, which is a standard for storing and exchanging data written in JavaScript notation, while the time series for each catchment is stored as Common Separated Values (CSV) files. the webapplication is developed using JavaScript code libraries; the mapping component uses a library called Leaflet (Leaflet, 2016), while the time series are plotted using the JQPlot. Leaflet is one of the most popular mapping JavaScripts libraries today (Donohue *et al.*, 2013) and is used as the mapping engine to glue all map and data services together.

The data services that are displayed in the VM are spatial and temporal aggregations of precipitation estimates from the EOSs and CFMs. This aggregation is developed using Python scripting and the open-source library called GDAL/OGR. The processing steps required for our precipitation product displays are provided in Figure 3.

Insert Figure 3

488

## CASE STUDY: OMO-GIBE RIVER BASIN

489 As described in the previous section, the DSS developed in this study contains several components  
 490 to aid in the generation of reliable reservoir release decisions at different timescales (daily to  
 491 seasonal). The components include consideration of various EOS-based P and ET datasets (14  
 492 datasets), ensemble climate forecasts, hydrologic models (based on NASA's LIS), uncertainty  
 493 quantification (incorporation of model parameter uncertainty in addition to climate forecasts  
 494 uncertainty), different optimization schemes (deterministic or stochastic), and visualization  
 495 support tool design considerations. However, for the purpose of the case study, we apply a specific  
 496 sequence of the DSS chain for a large river basin in East Africa at seasonal timescales: a) In the  
 497 EOM, we use all the EOS-based datasets described in Table 1; b) In the CFM, we use the NMME  
 498 seasonal forecasts to generate all the three different scenarios (DET, SPWR-D, and SPWR-S) to  
 499 couple to the HFM, and use NCEP and TIGGE forecasts for daily to weekly rainfall guidance; c)  
 500 In the HFM, we setup the Noah-MP hydrologic model (Niu *et al.*, 2011) using NASA's LIS and  
 501 calibrate the model using DREAM, however, we select only one behavioral parameter set and  
 502 therefore no model parameter uncertainty is incorporated in the final release decision; d) In the  
 503 OM, we use deterministic and stochastic programming model at monthly timestep to optimize  
 504 hydropower under DET, SPWR-D, and SPWR-S scenarios. In the following sections, we present  
 505 the hydropower scheme selected as a case study, describe implementation of the developed  
 506 methodology step-by-step, demonstrate the added value of the DSS by comparing results against  
 507 actually generated hydropower values, and present the particular implementation of our  
 508 visualization and support module for the DSS.

509 *Study Area and Time Period*

510 Our study region is the Omo-Gibe river basin, with an area of 79,000 km<sup>2</sup>, in Ethiopia (Figure 4).  
 511 The elevation ranges from about 700 to 3,100 m.a.s.l. The average rainfall in the basin is about  
 512 1,150 mm with a humid north and arid south. The annual temperature varies between 17 °C and  
 513 29 °C. The study area consists of three power plants in operation (Gilgel Gibe I, II and III) and one  
 514 planned hydropower plant (Koysha) – see Table 2 for characteristics of the hydropower plants.

515 For our study, we considered a cascade of two reservoirs (Gibe I and Gibe III). We focused on the  
 516 time period of February 2005 to September 2005, due to availability of actually generated  
 517 hydropower production data. Assuming a planning horizon of eight months, we forecasted inflows

to the reservoirs eight months in advance. Therefore, this case study demonstrates the values of our DSS when we selected forecasts made eight months in advance.

Insert Figure 4

#### *Earth Observations Datasets (EOS)*

The first step in implementing the DSS is the selection of an appropriate EOS-based P and ET datasets required for the calibration of climate forecasts and the calibration of the hydrologic model. Using the Budyko-based framework of the DSS (see EOM component in Fig. 1), we select the most appropriate P and ET datasets from a list of fourteen datasets (Table 1) in the following steps. We discretize the study domain into regular grids of  $0.25^\circ \times 0.25^\circ$  (a total of 592 grids). The 14 datasets are then interpolated onto the grids using bi-linear interpolation. For each of the grid, the Budyko parameter is calculated using Equation 5. Then the combined error (CE) in a combination of P and ET dataset (total of 49 combinations) is determined for each grid cell using Equation 4. Finally, the Root Mean Square Error (RMSE) of all the CE values (total of 592 values) is used to summarize the performance of a specific combination of P and ET in representing the water and energy balance of the Omo-Gibe river basin. The combination of P and ET dataset with the least RMSE is selected as the best combination. In Figure 5, we present a heat map of the RMSE of each combination of P and ET dataset. It is seen that the best combination of P and ET dataset (i.e. with the least RMSE) is obtained for the P product “PERSIANN.CDR” and ET product “SSEBOPv4.0”.

Insert Figure 5

#### *Weather and Seasonal Precipitation Forecast Data*

For climate forecasts, we use the ensemble seasonal precipitation forecasts from the North American Multi-model Ensemble (NMME) (Kirtman *et al.*, 2014). It consists of nine partner models with the number of ensemble members in each model varying from six to twenty-eight. As the hydrologic model (described below) requires daily forecasts to run, three models which provide the seasonal forecasts at daily time step are chosen : 1) Goddard Earth Observation System version 5 (GEOS-5) (Borovikov *et al.*, 2019), 2) Third generation Canadian Coupled Global Climate Model (CanCM3) (Merryfield *et al.*, 2013), and 3) Fourth generation Canadian Coupled Global Climate Model (CanCM4) (Merryfield *et al.*, 2013). The CanCM3 and CanCM4

models issue forecasts for lead times of up to 12 months. GEOS-5 forecasts are available for lead times of up to 9 months. With ten ensemble members for each model, the DSS application to the Omo-Gibe river basin uses a total of thirty ensembles from three models. The hindcasts of NMME are available for the time period 1981-2010. The spatial resolution is  $1.0^\circ \times 1.0^\circ$  and the temporal resolution is daily.

At the daily- to two week-range time-scales, the dynamical forecast products we discussed above are used to provide rainfall guidance to the user, with these forecasts coming from NCEP and TIGGE. For S2S forecasts, geostatistical information at weekly-evolving time-scales can also be used to enhance NWP rainfall forecasting skill. In Figure 6, we show composite plots of how the Madden-Julian Oscillation (MJO) impacts rainfall anomalies over Ethiopia based on the phase of the MJO because of its proximity to the equator (Broman, 2019).

Insert Figure 6

Similarly, at seasonal timescales, ENSO can have an impact on the rainfall over the major river basins in Ethiopia, but the phase of the impact varies strongly based on the location, as we see in Figure 7.

Insert Figure 7

### *Hydrologic Model Setup and Calibration*

To translate the NMME precipitation forecasts into reservoir inflow forecasts, we choose the Noah-MP (Multi-Parameterization) Land Surface Model (LSM) (Niu *et al.*, 2011), driven through NASA's Land Information System (LIS) (Kumar *et al.*, 2006). We source the static input datasets required for running the Noah-MP mode from NASA's LIS data portal (<https://portal.nccs.nasa.gov/lisdata>). This includes the land cover map, sourced from United States Geological Survey (USGS); the soil texture map from State Soil Geographic (STATSGO) dataset, sourced from the United States Department of Agriculture (USDA); and the elevation map from GTOPO30, sourced from USGS. Albedo, greenness fraction and temperature are sourced from the National Centers for Environmental Prediction (NCEP) reanalysis. The meteorological forcings required by the Noah-MP model include precipitation, air temperature, surface pressure, specific humidity, wind speed, and radiation. Barring PERSIANN.CDR precipitation, all meteorological forcings are derived from the Global Data Assimilation System (GDAS), sourced

from the Environmental Modeling Center (EMC) of the NCEP. The spatial resolution of the dataset is  $0.47^\circ \times 0.47^\circ$ . The Noah-MP model is set at a spatial resolution of  $5\text{km} \times 5\text{km}$ . The meteorological inputs, including the forecasts, are interpolated onto the model grid using bilinear interpolation. The model is spun-up for a period of 68 years by looping through the year 2003 until the groundwater and soil moisture storage reach equilibrium. The model time step is three hours. The number of soil layers in the model is four with thicknesses 10cm, 30cm, 60cm, and 100cm. Specific Noah-MP model physics options selected for different processes are detailed in Table 3.

The Noah-MP model contains 71 standard parameters (present in user-defined tables) and 139 hard-coded parameters (present in the model code). The Noah-MP model output has been found to be sensitive to about two-thirds of the 71 standard parameters (Cuntz *et al.*, 2016). We select five of the most sensitive parameters from the Cuntz *et al.* (2016) study. The selected parameters are two surface runoff-related parameters (REFDK and REFKDT), the exponent in the Brooks-Corey equation (BB), soil porosity (MAXSMC), and hydraulic conductivity at saturation (SATDK). Of the five parameters, BB, MAXSMC, and SATDK are related to soil texture. As there are twelve soil texture classes, the total number of parameters selected for calibration of the Noah-MP hydrologic model is 38 (Table 4 presents a detailed breakdown of the parameters with maximum and minimum values used for calibration).

To calibrate the hydrologic model and quantify the uncertainty in reservoir inflow forecasts due to uncertainty in model parameters, we use the DREAM algorithm. Specific configuration options and parameters of the DREAM algorithm used in this study are detailed in Table 5. In the absence of streamflow observations, we use satellite-based estimates of ET (SSEBOpv4.0) to calibrate the hydrologic model for the year 2004. Specifically, error residuals are determined at all the  $5\text{km} \times 5\text{km}$  grid cells and time steps (monthly) over the entire Omo-Gibe River basin. On a workstation with 24 processors, DREAM required approximately 11,300 iterations to converge to a solution. For the purpose of this case study, we choose the best performing model parameter. As described in the methodology section, multiple behavioral solutions from DREAM can be used to incorporate model parameter uncertainty in hydropower decision making. A comprehensive quantification of model parameter uncertainty and its impact on hydropower is discussed in Koppa, Gebremichael, Zambon, *et al.* (2019).

#### Visualization Module

Our visualization module provides displays and downloadable data of rainfall estimates from forecasts at time-scales of short-, medium-, and seasonal-range over East Africa, with focus over Ethiopia. Spatially, to provide the viewer with different scales of resolution, two different sizes of basin-averaged rainfall were provided on the displays, which the user could access through zoom-in and zoom-out features. The chosen catchment scales are shown in Figure 8.

Insert Figure 8

## RESULTS AND DISCUSSIONS

First, we evaluate the weather and seasonal precipitation hindcasts over our case study region, the Omo-Gibe river basin, and the major basins of Ethiopia. Then, we evaluate the Noah-MP hydrologic model using ET estimates from SSEBOPv4.0. Next, we present the reservoir inflow forecasts and resulting three different scenario structures used for optimization. We also present the results from the deterministic and stochastic programming with recourse model including the optimized release decisions and resulting hydropower production. Finally, we show results from our developed Visualization Module.

### *Evaluation of Weather and Climate Forecasts*

To validate the 30-member seasonal ensemble precipitation forecasts from NMME, we use the PERSIANN-CDR dataset (selected in the EOM). We present Taylor diagrams (Taylor, 2001) to represent the root mean square error (RMSE), correlation with observations and standard deviation of different forecast models (Figure 9). A Taylor diagram represents the standard deviation of the observed data and modeled results, radially, along the x and y axes (for example the standard deviation of the observed precipitation is approximately 50 mm). The correlation of the different models with the observed data is shown along the circumference of the Taylor diagram, increasing radially from the y-axis to the x-axis (for example, the observed data is shown on the x axis, representing a correlation of 1.0 and CanCM4 has a correlation of 0.92 at lead time of 1-month). Finally, the RMSE of models are represented as contours (dashed yellow lines in Figure 4), with RMSE values increasing from the x-axis to y-axis (for example, the observed data is shown on the x-axis, representing an RMSE of 0.0 and CanCM4 has an RMSE of approximately 20 mm/month at lead time of 1-month). The closer the point representing a model (for example, CanCM4) is to the observed data (purple point in Figure 5), better the performance of the model.

The stochastic programming with recourse model implemented in this study uses forecasts that are updated at the start of each month, while the release decisions are implemented only for the immediate stage. Therefore, we focus on the performance of the forecasts at shorter lead times. At lead times of 2-3 months, we see that the GEOS-5 model consistently outperforms the other two models (Figure 9). At lead time of 1-month, the CanCM4 model exhibits lower RMSE and higher correlation with the observed data (Figure 9). However, at longer lead times, CanCM4 model performs relatively poorly compared with the other models. As expected, the forecast accuracy of all the models deteriorates with increasing lead times.

Finally, we compare the simple mean and Bayesian model average of all 30 ensemble members with the individual models. We see that the ensemble BMA outperforms all the other models at almost every lead time (Figure 9). The low RMSE (approximately 18 mm/month) and high correlation coefficient (greater than 0.9) at lead time 1-month supports this conclusion. At shorter lead times, the CanCM4 model outperforms the ensemble mean in terms of both the magnitude of error and correlation with the observed data. This highlights the advantage of the BMA technique, which provides higher weights to better performing models (CanCM4 in this case). The ensemble mean, which weighs all the ensemble members equally, is biased by the lower performing CanCM3 and GEOS-5 models.

Insert Figure 9

The inclusion of large-scale teleconnections as geostatistical predictors along with NWP multi-modeling can greatly enhance the forecasting skill of NWP seasonal and weather forecasts over not only over the Omo-Gibe river basin (our primary study region), but over all the major river basins of Ethiopia. Building on the relationship between ENSO and rainfall anomalies shown in Figure 7 above, in Figure 10 we utilize ENSO as a predictor along with all eight NMME models into an optimized probabilistic forecast for the Blue Nile river basin, using the Centennial Trends (CenTrends) gauge-based precipitation dataset (Funk, Nicholson, *et al.*, 2015) for observations. The individual forecast models are calibrated using a regression of the model ensemble mean against the observations leaving one year out at a time (Unger *et al.*, 2009). A simple linear regression is also used to create a probabilistic forecast based on the Nino3.4 index. A multi-model forecast is then calculated by averaging the individual NMME forecasts together with ENSO. Since the higher confidence forecasts show greater variability from the climatological

mean, they will be more highly weighted in the average. As a last step, the output of the multi-model forecast itself is once again calibrated to ensure accurate forecast probabilities. The summer season rainfall over the basin can be skillfully forecast using this multi-model approach ( $R=0.59$ ,  $p<0.001$ ).

Insert Figure 10

Similarly, geostatistical information at weekly-evolving time-scales can also be used to enhance NWP rainfall forecasting skill. Utilizing the information shown in Figure 6 on how the phasing of the MJO impacts rainfall anomalies over Ethiopia, this information, along with NWP rainfall forecasts from NCEP's CFSv2, can be combined through a quantile regression model, to significantly improve weekly time-scale rainfall forecasts for the Omo-Gibe, as shown in Figure 11 (Broman *et al.*, 2020).

Insert Figure 11

At daily-to-two-week time-scales, combining NWP ensemble forecasts into a multi-model forecast can provide significant benefits in forecasting skill for extreme events, as we show below in Figure 12 (here, 90<sup>th</sup> percentile rainfall), where we compare rainfall forecasting skill of four weather centers (Canada – CMC, ECWMF, US – NCEP, UK Met Office) to a combined multi-model over Ethiopia (Stellingwerf *et al.*, 2020). As shown in the figure using the Brier skill score, the multi-model forecast is equal to or out-performs any individual model for all of the 12 primary Ethiopian river basins shown.

Insert Figure 12

### *Evaluation of Hydrologic Model Calibration and Reservoir Inflow Forecasts*

We validate the set of selected behavioral solutions with the SSEBOPv4.0 ET dataset for the year 2005 using time series (Figure 13a) and relevant error metrics. Figure 13a reveals that the SSEBOPv4.0 ET-calibrated Noah-MP model performs well in simulating ET over the Omo-Gibe River basin. In the calibration period (12 months of 2004), we see that the reference ET data (black line) is closer to the 5% quantile of the modelled ET for the months of April, May, and June. This implies that the behavioral solutions consistently overestimate ET for the months with higher observed evapotranspiration. In the validation period (12 months of 2005), the reference dataset



corresponds to the median modelled ET values for the first six months. In this last six months of 2005, we see that the model consistently underestimates ET over the study area. Additionally, the model can capture the quantity and timing of the peaks and troughs seen in the reference ET dataset. A low mean RMSE of 2.5 mm/month and a high mean correlation co-efficient of 0.94, determined for the validation time period, shows that the Noah-MP model is capable of simulating ET. As stated in the methodology, we assume that the high fidelity of the Noah-MP model in simulating ET across the Omo-Gibe River basin implies accurate simulation of streamflow.

For the application of the DSS in the Omo-Gibe river basin, we select the best performing Noah-MP model parameter set from the twenty behavioral solutions (used in Figure 13a) to generate the reservoir inflow forecasts for two reservoirs (Gibe I and Gibe III). As described in the methodology, we construct three scenario structures (DET, SPWR-D, and SPWR-S) for the months February 2005 to September 2005 by combining the calibrated and uncalibrated NMME precipitation forecasts and the ET-calibrated Noah-MP hydrologic model. Here, we compare the differences in reservoir inflows among the three scenarios. Figure 13b presents the deterministic (from BMA) and stochastic (raw forecast ensembles) inflows used to construct the three scenario trees. In addition, we also present the inflows generated from a climatological forecast generated by forcing Noah-MP with PERSIANN-CDR precipitation for a period of 10 years (2002 – 2015) (SEASN) and determining the average streamflow values for each month of the planning horizon. We see that the first three months of the study period are relatively dry compared to the rest of the months. Also, the deterministic inflows into both Gibe I and Gibe III are near the mean of the 30-member ensemble, with July and September being the exceptions. Additionally, we also see that there is considerable uncertainty in the reservoir inflow arising from uncertainty in the input precipitation ensembles (boxplots in Figure 13b). The climatological forecasts are higher than the mean of the ensemble mean in the low flow months and lower than the ensemble mean in the high flow months.

Insert Figure 13

#### *Optimized Release Decision and Power Produced*

The three inflow scenarios (DET, SPWR-D, and SPWR-S) along with the climatological forecast generated using 10-year of PERSIANN-CDR data (SEASN) are used as inputs to a deterministic

and stochastic programming with recourse model to generate optimized power releases (Figure 14a) and the associated hydropower production (Figure 14b).

For the Gibe I reservoirs, we see that the release decisions generated with the DET and SPWR-D inflow scenario structures are similar to each other, except for the month of May 2005 (Figure 14a). We note here that the results correspond to the immediate stage of the stochastic programming with recourse model. Therefore, the similarity between the DET and SPWR-D release decisions may be because the immediate stage of the SPWR-D model is deterministic, and the value derived from BMA of ensemble members is equal to the DET inflow scenario structure. We see that the optimized release decisions are consistently higher in the SPWR-S case compared with either the DET or SPWR-D scenario structures, in the dry months. However, in the later months of the planning horizon the releases are lower. In Gibe III, the SPWR-S scenario is consistently higher than the DET or SPWR-D scenarios for all months. Additionally, for Gibe 3, it is interesting to note that the uncertainty in the inflows represented in the SPWR-S scenarios only impacts the dry periods (February 2005 to May 2005). In the wet months, the power releases reach the capacity of the power plants.

Finally, we compare the optimized hydropower values with the actual power produced at the Gibe I reservoir for the months of February 2005 to September 2005. Due to unavailability of historic hydropower production data, we do not present the same comparison for Gibe III reservoir. The actual power produced in Gibe I for the eight-month study period is 0.53 million MWh. In comparison, the optimized hydropower generated from the DET, SPWR-D, and SPWR-S scenario structures are 0.68 million MWh, 0.71 million MWh, and 0.76 million MWh respectively (Table 6). The higher power produced in the SPWR-S scenario structure may be attributed to the consistently higher values of reservoir inflow compared with the DET and SPWR-D scenarios. We note that reservoir evaporation has been ignored in our study, which, when included, may reduce the optimized hydropower values. To avoid this bias, we compare the power production results of the three reservoir inflow scenarios with a baseline scenario generated with climatology (SEASN). The hydropower generated from the climatological inflow forecasts in Gibe I is approximately 0.54 million MWh. In comparison, all the different scenarios (DET, SPWR-D, and SPWR-S) represent a significant improvement in terms of power production. In Gibe III, the power produced from DET, SPWR-D, SPWR-S scenarios are 1.96,

1.96, and 2.1 million MWh respectively. The power produced from the climatological inflow forecast is approximately 1.84 million MWh (Table 6).

Insert Figure 14

#### *Visualization Module for Decision Support System*

Our developed Visualization Module for the dissemination of real-time and automated climate data is shown below in Figure 15, which shows a screenshot of the current display and user interface. The interactive nature of the VM is the power behind the DSS. The selection options on the left-hand side of the map provide the following options: The choice to display satellite products versus forecast precipitation estimates; the selection of a temporal averaging period (24-hr, 5-day for satellite and 24-hr, 5-day, 1 month, 3 month for forecast estimates); a temporal period; and the satellite product, forecast model or a merged/multi-model product. Once the data is mapped different spatial scales for the catchments are available through the zoom-in functionality, and a time series plot is displayed through the click functionality on a catchment. Finally, the data from the time series is available as a download into a text file format.

Insert Figure 15

## CONCLUSIONS, LIMITATIONS, AND FUTURE WORK

In this study, we presented a novel decision support system (DSS) to aid hydropower planning from daily to seasonal timescales in Africa, where significant increases in hydropower capacity is hindered by lack of reliable data. The DSS demonstrates how the progress in earth observation satellites, ensemble weather and climate forecasts, and distributed large scale hydrologic modelling can be leveraged to create an implementable tool for helping water managers take reliable decisions under deep uncertainty. The DSS applied to a real hydropower system in East Africa resulted in significant improvements over both the current hydropower production (34%) and a system optimized using climatological forecast (20%). The DSS is flexible enough to provide the decision makers with several different options ranging from different EOS-based data products and multiple hydrologic models (enabled by NASA's Land Information System) to different scenario structures to account different sources of uncertainty. To the authors' knowledge, this is

the first demonstration of a DSS for hydropower optimization at seasonal timescales using earth observation satellites and dynamical forecasts.

During the course of the design of the DSS, we have made sure that all the components which form the overall framework are not only open source but are proven in several hydrologic and water resources applications by different research communities over the recent decades. This includes the satellite-based remote sensing datasets, the hydrologic model and the optimization system. However, we acknowledge that there are several other alternative datasets and models which could be equally suitable for producing accurate hydrologic forecasts and improved hydropower in data-scarce regions. For example, simpler frameworks which combine runoff from downscaled global scale seasonal climate forecast systems such as SEAS5 (Johnson *et al.*, 2019) with offline routing schemes such as the Routing Application for Parallel computation of Discharge (RAPID) (David *et al.*, 2011) have shown promise (Snow *et al.*, 2016). Global hydrological forecast systems such as the Global Flood Awareness System (GloFAS) (Alfieri *et al.*, 2013) are also a plausible alternative. A comprehensive DSS intercomparison studies, like the ones in the climate modeling community (Eyring *et al.*, 2016), would help water managers decide the best structure of DSS suitable for their specific applications.

As the structure of the DSS is modular, it can form the basis for further improvements which can overcome the limitations of the prototype framework presented here. Prior to the application of the DSS in an operational mode, it must be tested comprehensively in a data-rich study region, although we note that issues of transferability will always remain. We envisage a similar DSS for multi-purpose reservoirs that considers additional EOS-observations for calibration of hydrologic models including total water storage from the Gravity Recovery and Climate Experiment (GRACE) satellites, soil moisture from the Soil Moisture Active Passive (SMAP) mission, and even direct discharge measurements from the upcoming Surface Water and Ocean Topography (SWOT) mission.

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## List of Tables

**Table 1.** List of satellite-based precipitation, terrestrial evaporation, and net radiation datasets implement in the decision support system.

Data source	Spatial resolution (degree)	Temporal resolution (years)	Spatial Coverage (degree)	Reference
<b>Precipitation</b>				
CHIRPSv2.0	0.05	1981–2019	50N–50S	(Funk, Peterson, <i>et al.</i> , 2015)
CMORPHv0.x.RAW	0.25	2002–2017	60N–60S	(Joyce <i>et al.</i> , 2004)
PERSIANN	0.25	2000–2019	60N–60S	(Sorooshian <i>et al.</i> , 2000)
PERSIANN.CCS	0.04	2003–2019	60N–60S	(Hong <i>et al.</i> , 2007)
PERSIANN.CDR	0.25	1983–2016	60N–60S	(Ashouri <i>et al.</i> , 2015)
TRMM.3B42RT	0.25	2000–2019	50N–50S	(Huffman <i>et al.</i> , 2007)
TRMM.3B43	0.25	2000–2019	50N–50S	(Huffman <i>et al.</i> , 2007)
<b>Terrestrial Evaporation</b>				
AVHRR.NTSG	0.08	1983–2013	Global	(Zhang <i>et al.</i> , 2010)
SSEBOpv4.0	0.01	2003–2019	Global	(Senay <i>et al.</i> , 2011)
MOD16A3	0.05	2000–2014	Global	(Mu <i>et al.</i> , 2011)
GLEAMv3.3a	0.25	1980–2018	Global	(Martens <i>et al.</i> , 2017)
CSIRO-PMLv2.0	0.5	1981–2012	Global	(Zhang <i>et al.</i> , 2016)
BESS	0.5	2000–2015	Global	(Jiang and Ryu, 2016)
FluxCom.RS	0.5	2001–2015	Global	(Tramontana <i>et al.</i> , 2016)
<b>Net Radiation</b>				

CERESv4.0	1.0	2000–2018	Global	(Wielicki <i>et al.</i> , 1996)
<b><i>Precipitation Forecasts</i></b>				
China Meteorological Administration (CMA)	0.5	2006–Present	Global	-
Center for Weather Forecast and Climate Studies, Brazil (CPTEC)	0.94	2006–Present	Global	-
European Center for Medium Range Weather Forecast (ECMWF)	0.75	2006–Present	Global	-
MeteoFrance	0.3	2006–Present	Global	-
UKMet	0.2	2006–Present	Global	-
Japanese Meteorological Agency (JMA)	1.25	2006–Present	Global	-
National Centers for Environmental Prediction	1.0	2006–Present	Global	-

**Table 2.** Details of the five hydropower reservoirs in the Omo-Gibe River basin

Reservoir Name	Start of Operation	Hydropower Capacity	Maximum Storage
Gilgel Gibe I	2004	210 MW	840 Mm <sup>3</sup>
Gilgel Gibe II	2010	420 MW	0.15 Mm <sup>3</sup> (Run-of-river)
Gilgel Gibe III	2015	1870 MW	13700 Mm <sup>3</sup>



Koysha Dam	Planned	2160 MW	-
Halele Wera	2014	424 MW	-

**Table 3.** Noah-MP model physics options

Model Physics	Selected Physics Option
Vegetation model	Use table Leaf Area Index (4)
Canopy stomatal resistance	Ball-Berry (1) [ <i>Ball et al.</i> , 1987]
Soil moisture factor for stomatal resistance	Original Noah (1) [ <i>Chen et al.</i> , 1997]
Runoff and groundwater	TOPMODEL with groundwater (1) [ <i>Niu et al.</i> , 2007]
Surface layer drag coefficient	Original Noah (2) [ <i>Chen et al.</i> , 1997]
Frozen soil permeability	Linear effects, more permeable (1) [ <i>Niu and Yang</i> , 2006]
Radiation transfer	Modified two-stream (1) [ <i>Yang and Friedl</i> , 2003]
Snow surface albedo	CLASS (2) [ <i>Verseghy et al.</i> , 1991]
Rainfall and snowfall Partitioning	Jordan Scheme(1) [ <i>Jordan</i> , 1991]
Lower boundary of soil temperature	Original Noah (2) [ <i>Chen et al.</i> , 1997]
Snow and soil temperature time scheme	Semi-implicit (1)

Super-cooled liquid water

No iteration [Niu and Yang, 2006] (1)

<sup>a</sup> The number in the brackets represents the internal Noah-MP model code for the selected physics option

**Table 4.** Details of Noah-MP parameters used for calibration

Parameter	Description	Sensitive Variable	Total Parameters	Units	Minimum	Maximum
REFDK	Surface runoff parameter	SF	1	m/s	1.4e-06	6.5e-06
REFKDT	Surface runoff parameter	SF	1	No Units	1.0	5.0
BB1 - BB12	Exponent in the Brooks Corey Equation	SF, ET	12	No Units	0.5	12.0
MAXSMC1 - MAXSMC12	Soil porosity	SF, ET	12	No units	0.1	0.7
SATDK1 - SATDK12	Saturated hydraulic conductivity	SF, ET	12	m/s	2.0e-06	7.0e-02

<sup>a</sup> Soil texture classes for BB, MAXSMC and SATDK (from 1 - 12): Sand, Loamy sand, Sandy loam, Silt loam, Silt, Loam, Sandy clay loam, Silt clay loam, Clay loam, Sandy clay, Silty clay and Clay.

**Table 5.** MT-DREAM (ZS) and AMALGAM configuration

DREAM Option	Specified Option
Number of generations	600
Number of Markov chains	3
Number of forward model parameters	38
Number of crossover values	3
Number of Multi-tries	4
Number of chain pairs proposal	1
Prior Distribution	Uniform
Likelihood function	Laplacian likelihood

<sup>a</sup> Note: All other MT-DREAM (ZS) parameters are set to default values

**Table 6.** Comparison of Actual and Optimized Power Production for the Planning Horizon (Feb 2005 to Sep 2005)

Scenario	Gibe I	Gibe III
	Power Produced (million MWh)	Power Produced (million MWh)
Actual	0.53	-
DET	0.68	1.96
SPWR-D	0.71	1.96
SPWR-S	0.76	2.10
SEASN	0.54	1.84

## Figure Captions

**Figure 1.** Block diagram of the hydropower Decision Support System (DSS).

**Figure 2.** Location Schematic of the QR post-processing procedure.

**Figure 3.** Processing steps for the rainfall displays of our interactive visualization module.

**Figure 4.** Location map of the Omo-Gibe river basin in Ethiopia, and its watershed map showing locations of the five hydropower reservoirs. Red dots represent the dams modelled in this study. The green line represents a tunnel which connects Gibe I and Gibe II reservoirs.

**Figure 5.** Heat map of the root mean square error (RMSE) of the combination of precipitation (P), on the x-axis, and terrestrial evaporation (ET) datasets, on the y-axis, for the Omo-Gibe river basin. The values are scaled between 0 and 1, with 0 representing the least performing combination and 1 representing the best performing combination. The red star represents the best combination of P and ET dataset for the Omo-Gibe river basin.

**Figure 6.** Heat Composites of June–September average precipitation anomalies corresponding to each phase of the MJO. Periods with no MJO activity are not shown.

**Figure 7.** Composites of June-September standardized precipitation anomaly over Ethiopia during the El Nino phase of ENSO, with significant values shown with stippling, such as the north-northwest region of the country. Broken down by month (not shown), the July-August (rainfall peak season) and September (late season) show similar results, but there is no coherent pattern during June (early season).

**Figure 8.** Visualization Module rainfall estimates and forecasts are provided at two different basin-averaged spatial-scales over East Africa as provided by the EROS Data Center hydro 1K dataset (top two panels). Over Ethiopia, the lowest resolution basin-averaged rainfall was provided basin-averaged over the 13 major river catchments of Ethiopia (lower right), with a special high resolution provided in the Omo Gibe for upstream catchments areas above the major reservoirs and measurement sites (lower left).

**Figure 9.** Taylor diagrams of precipitation (P) forecasts from the CanCM3, CanCM4, GEOS-5, Ensemble Bayesian Model Average (BMA), and Ensemble mean models derived for different lead times (1-4 months) and for the calibration (12 months of 2004) and validation (12 months of 2005) time periods. The CanCM3, CanCM4, and GEOS-5 values are calculated as the mean of the 10 ensemble members from each of the models. “Ensemble BMA” and “Ensemble Mean” are the simple mean and the BMA of all the 30 ensemble members across all the three models.

**Figure 10.** Calibrated forecast of Blue Nile summertime precipitation using a weighted average of ENSO plus the 8 NMME models. June 1<sup>st</sup> forecast of June – September rainfall. The year being forecast is left out when calculating forecast weights and regression coefficients. Red – CenTrends precipitation data, Blue – Optimized ensemble forecast for mean rainfall ( $R=0.59$ ,  $p<0.001$ ), Blue shading – 80% confidence interval of the forecast.

**Figure 11.** Brier skill scores for NCEP CFSv2 NWP 5-day accumulated rainfall forecasts over the Omo-Gibe river basin (black line) as a function of lead-time (days), and a combined quantile regression model utilizing MJO phase and anomaly information along with CFSv2 (green line), showing the appreciable improvement in forecasting skill that comes with the inclusion of the MJO at all lead-times.

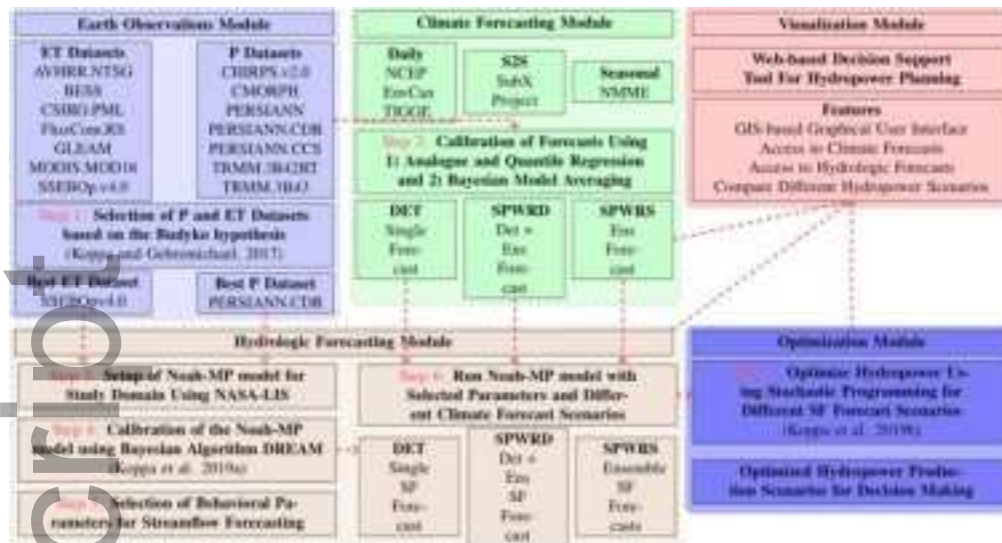
**Figure 12.** Brier skill score for precipitation exceeding the catchment-specific 90th percentile of rain after bias correction, showing how the multi-model forecast is equal to or out-performs any individual model for all of the 12 primary Ethiopian river basins shown. The lower right plot displays the precipitation amount corresponding to the catchment-specific 90th percentile. +24 hr ensemble forecasts were used to create these plots.

**Figure 13.** a) Time series comparison of terrestrial evaporation (ET) from ET-calibrated Noah-MP model (green) and EOS-based ET estimates (black) from SSEBOPv4.0 for the calibration (12

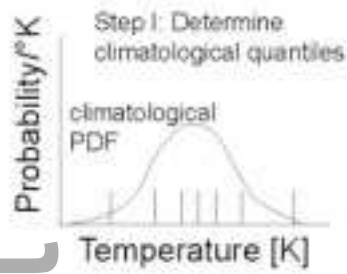
months of 2004) and validation (12 months of 2005) time periods. The 5% and 95% quantiles are from the behavioral solutions of Bayesian calibration. The vertical demarcates the calibration and validation time periods. b) Reservoir inflow forecasts into Gibe I and Gibe III reservoirs for the 8-month planning horizon (February-September 2005) and three scenarios: deterministic (DET), climatological reservoir inflow (SEASN), and stochastic (SPWR-S represented by the box plots). Note: the results in (b) correspond to the first stage of each iteration of the deterministic and stochastic programming with recourse model.

**Figure 14.** a) Optimal release decisions and b) power produced in the Gibe I and Gibe III reservoirs for the 8-month planning horizon (February-September 2005) and four scenario structures: DET, SPWR-D, SPWR-S and SEASN (climatological reservoir inflows). Note: the results correspond to the first stage of each iteration of the deterministic and stochastic programming with recourse model.

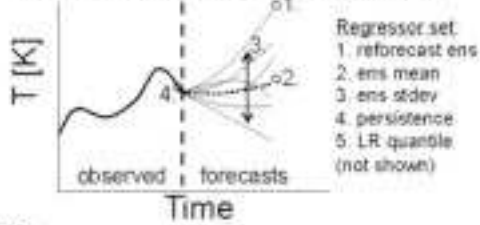
**Figure 15.** GUI for the dissemination of catchment precipitation data to stake holders. Forecasts are available from the NMME seasonal models (monthly and 3-month averages), as well as from the TIGGE models (1-day and 5-day averages) going out 2 weeks. Recent satellite observations are also available at the same time scales. Precipitation data are displayed at two different resolutions which can be accessed by zooming in and out and for both a large East Africa domain, as well as a more focused Ethiopia domain that includes the Blue Nile and Omo-Gibe basins. For the Omo-Gibe basin, the data are available on catchments upstream of local gauging sites. In addition to the map display, users can assess the data in graphical form as well as for download as a text file.



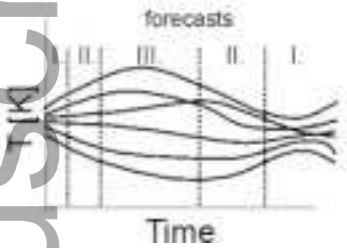
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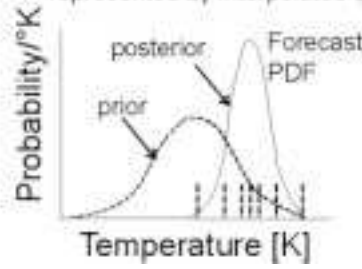
Step 2: For each quan, use forward step-wise cross-validation to select best regress set  
 Selection requires: a) min QR cost function,  
 b) binomial distrib at 95% confidence  
 If requirements not met, retain climatological "prior"



Step 3: segregate forecasts based on ens dispersion; refit models (Step 2) for each range

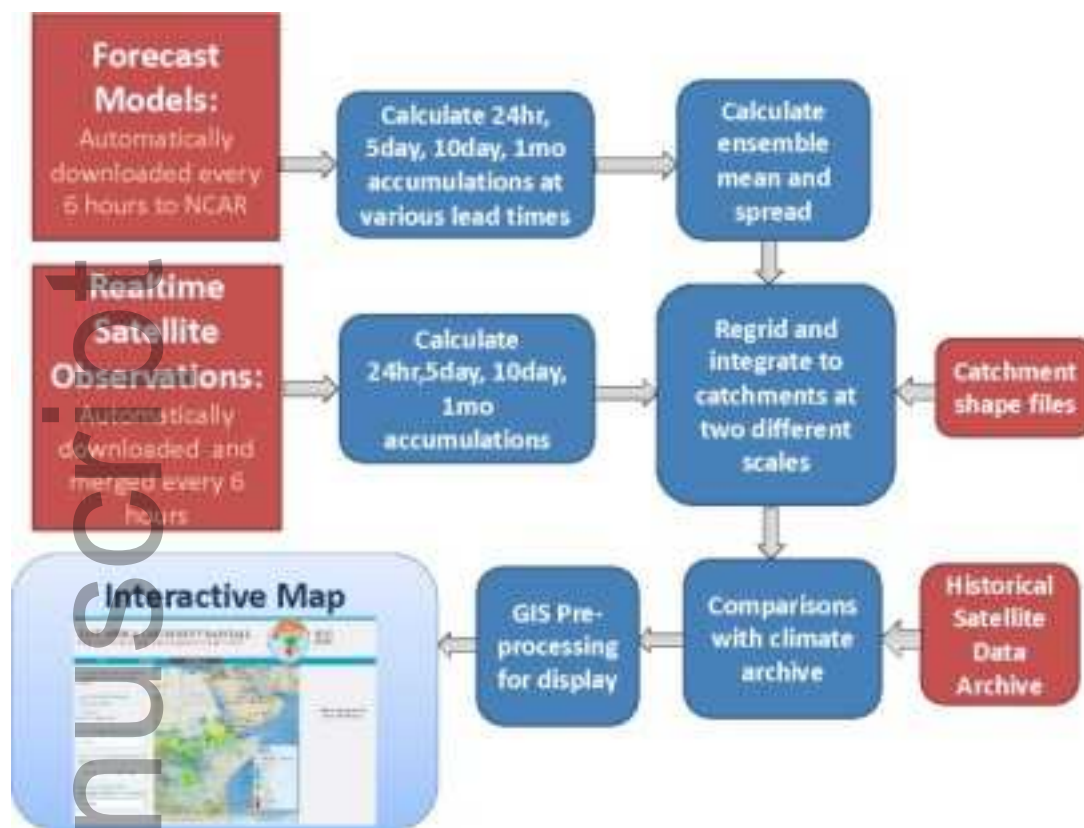


Final result: "sharper" posterior PDF represented by interpolated quans

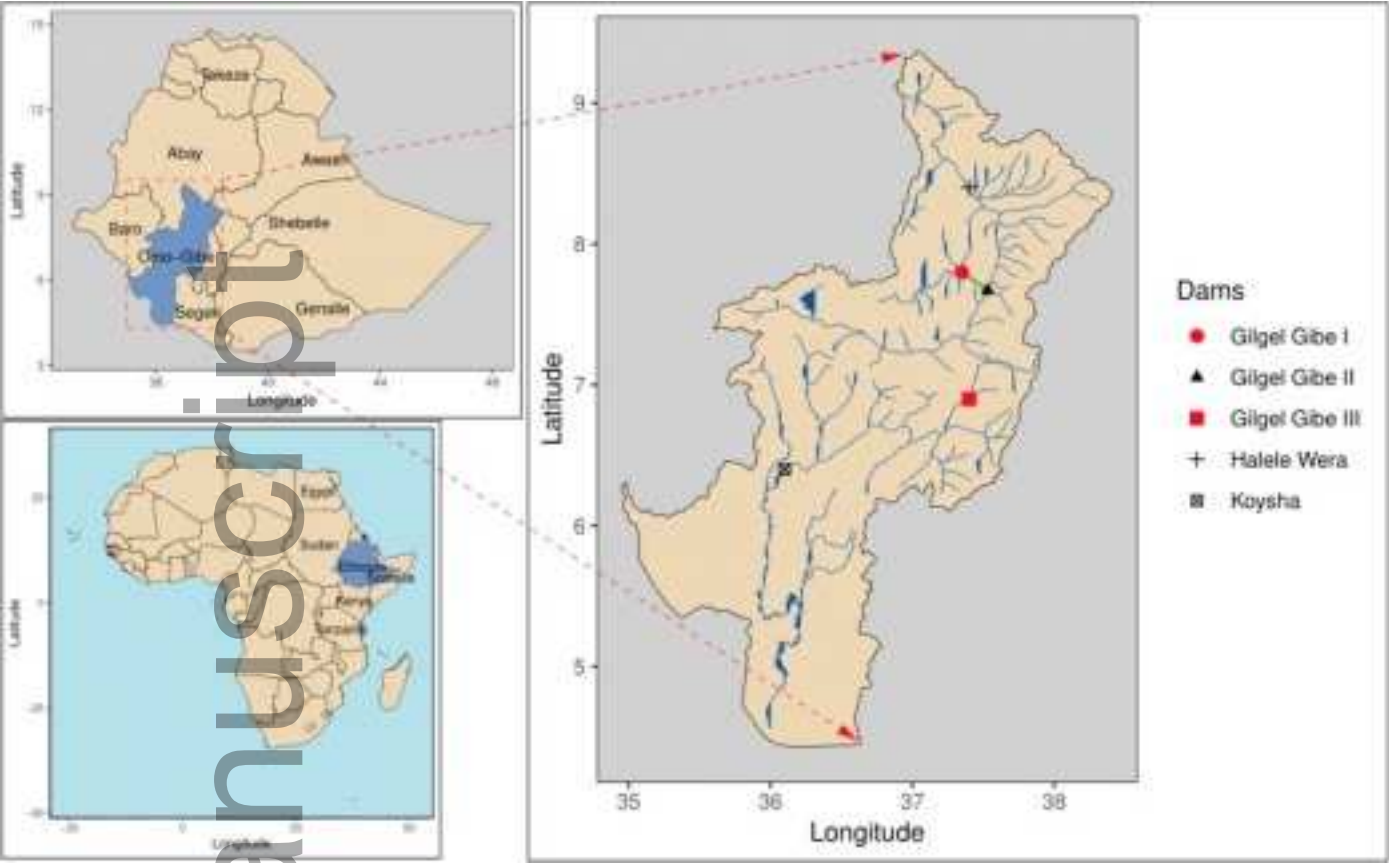


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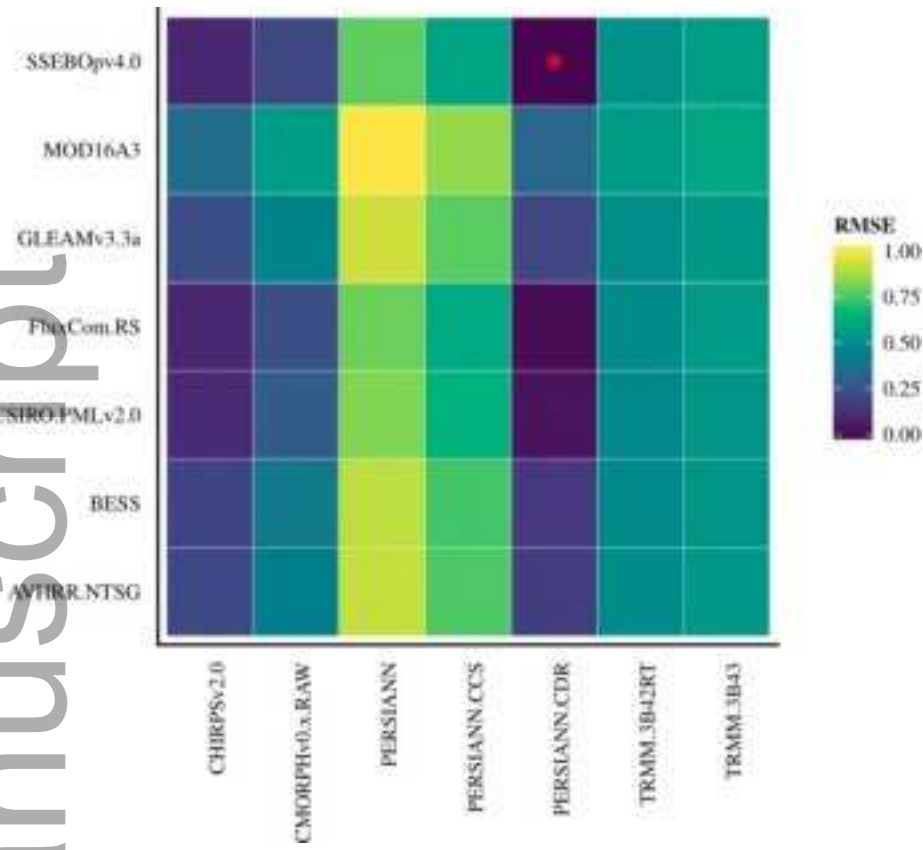




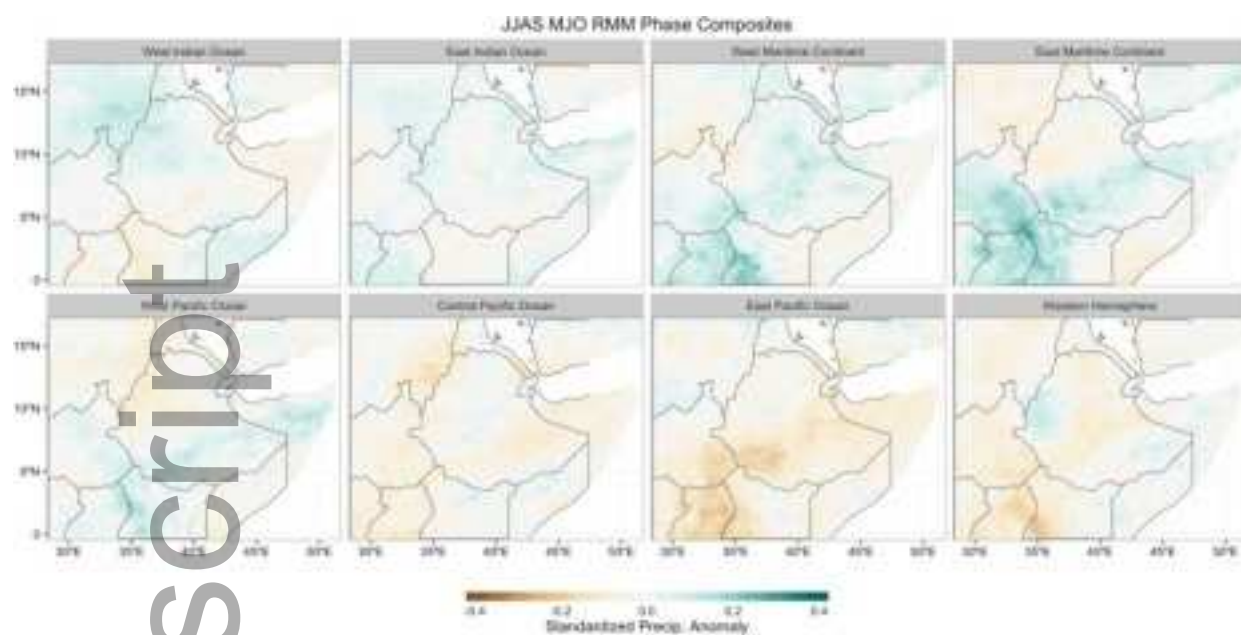
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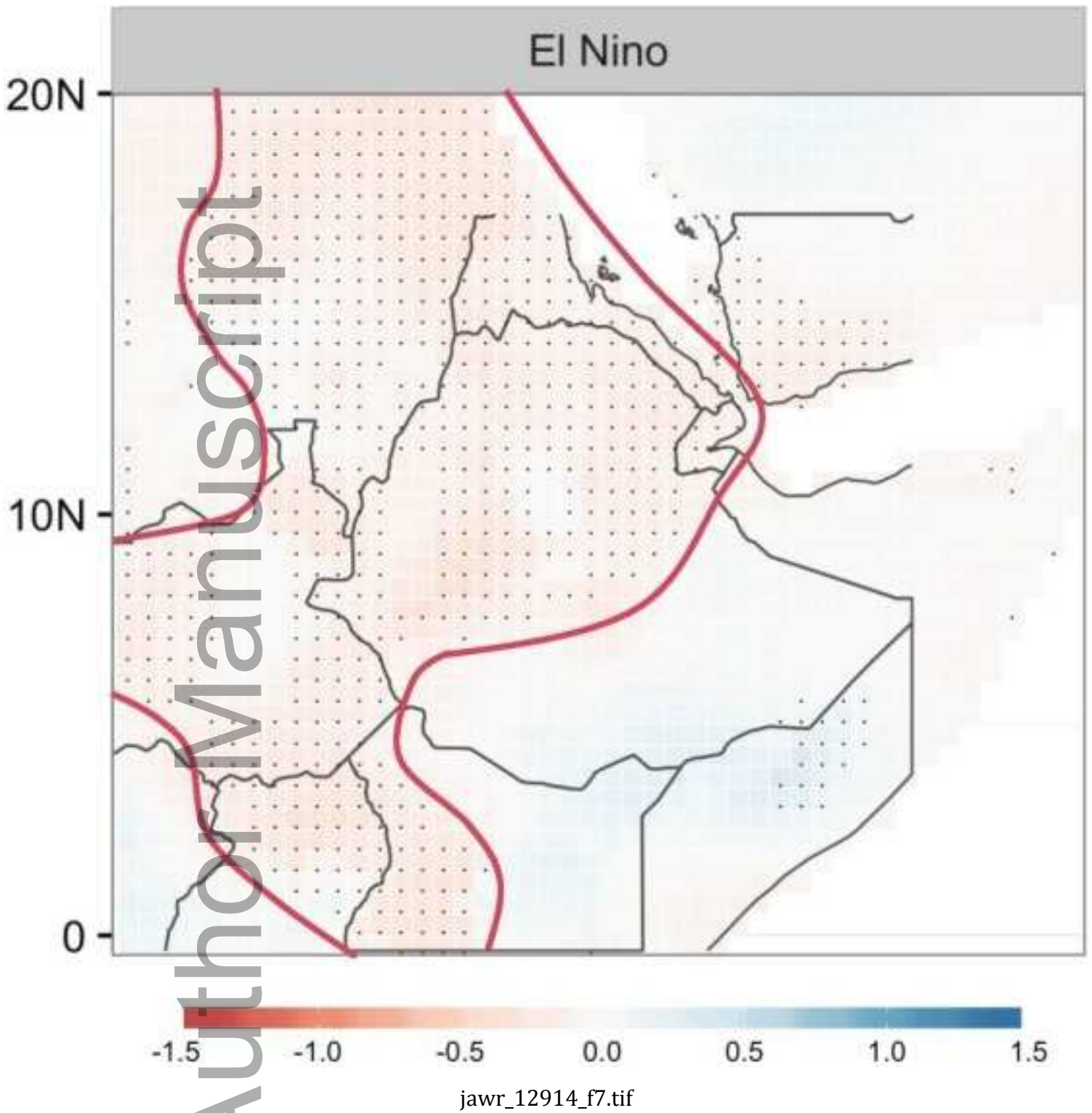
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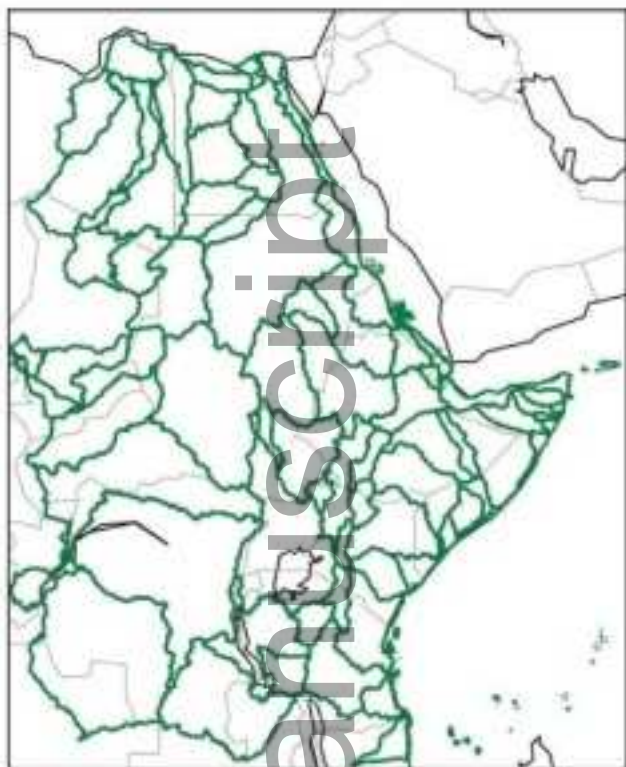


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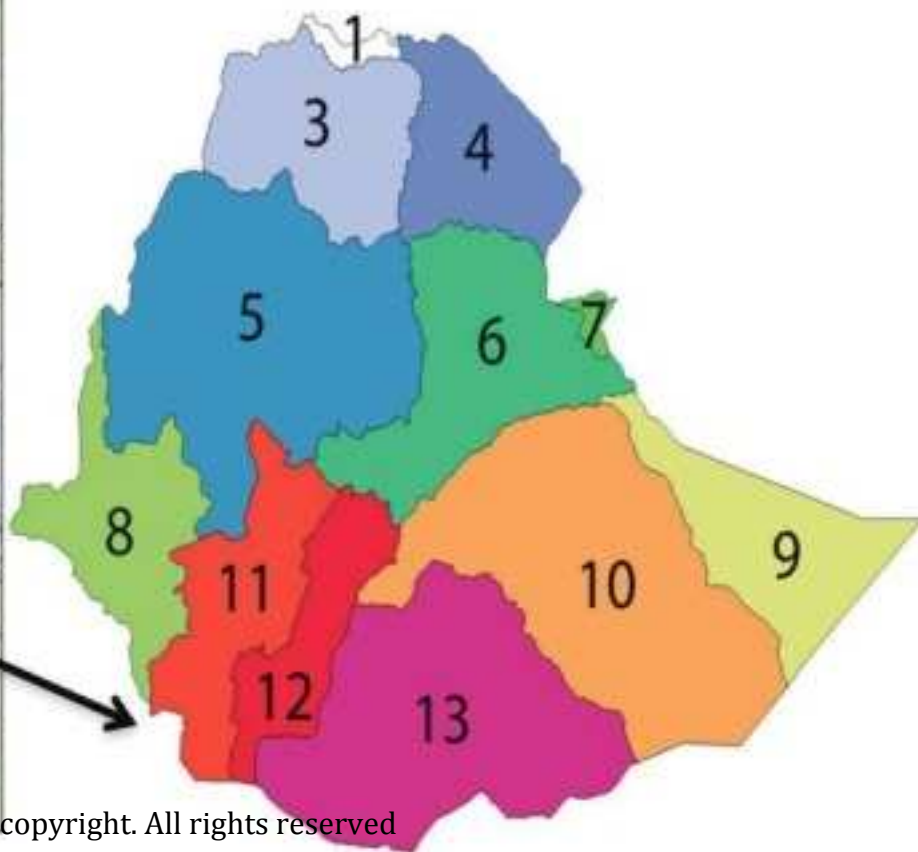
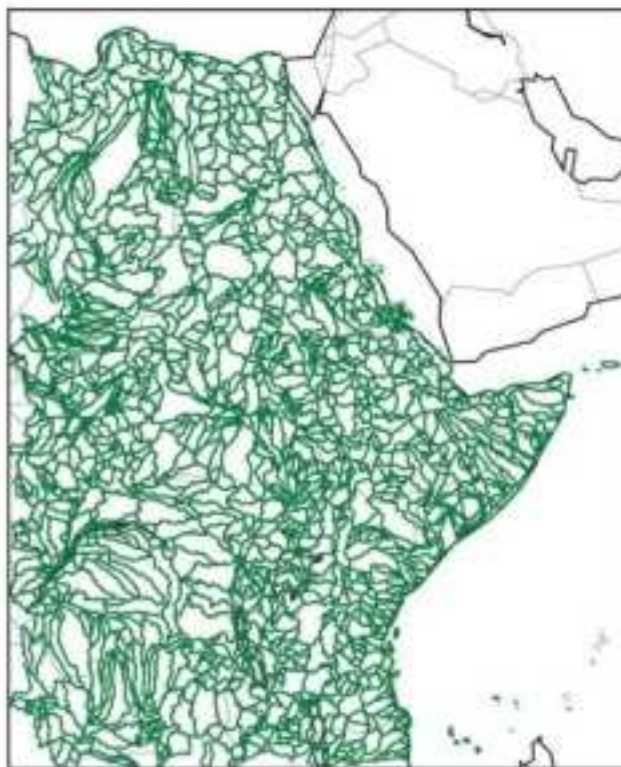




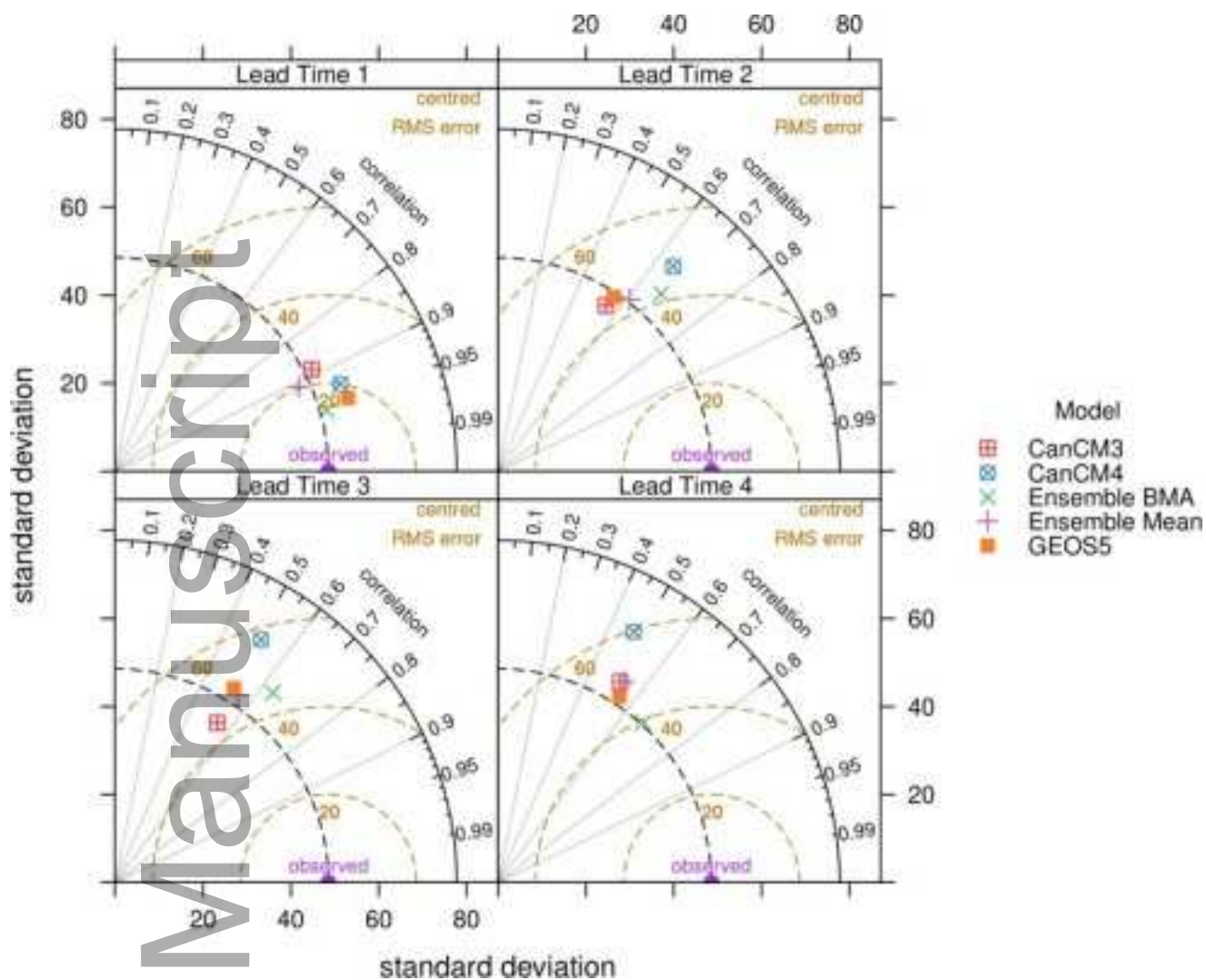
Low resolutions catchments



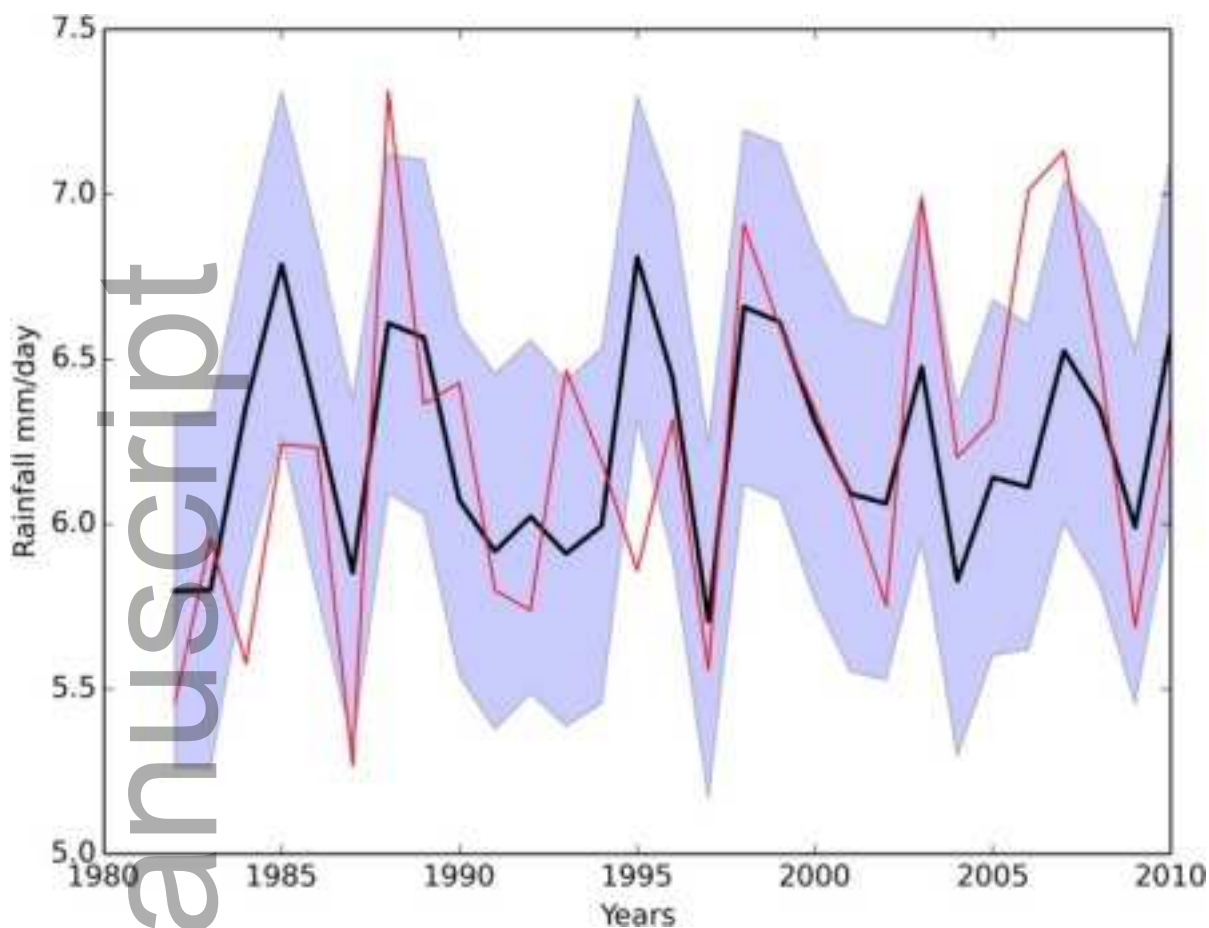
High resolutions catchments



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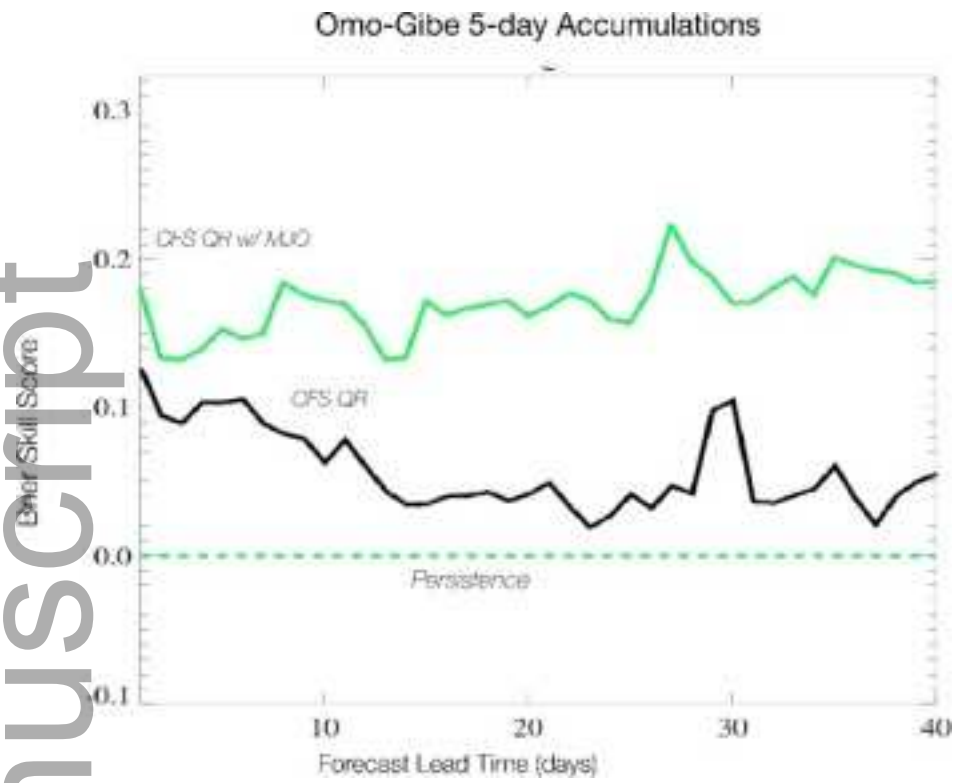


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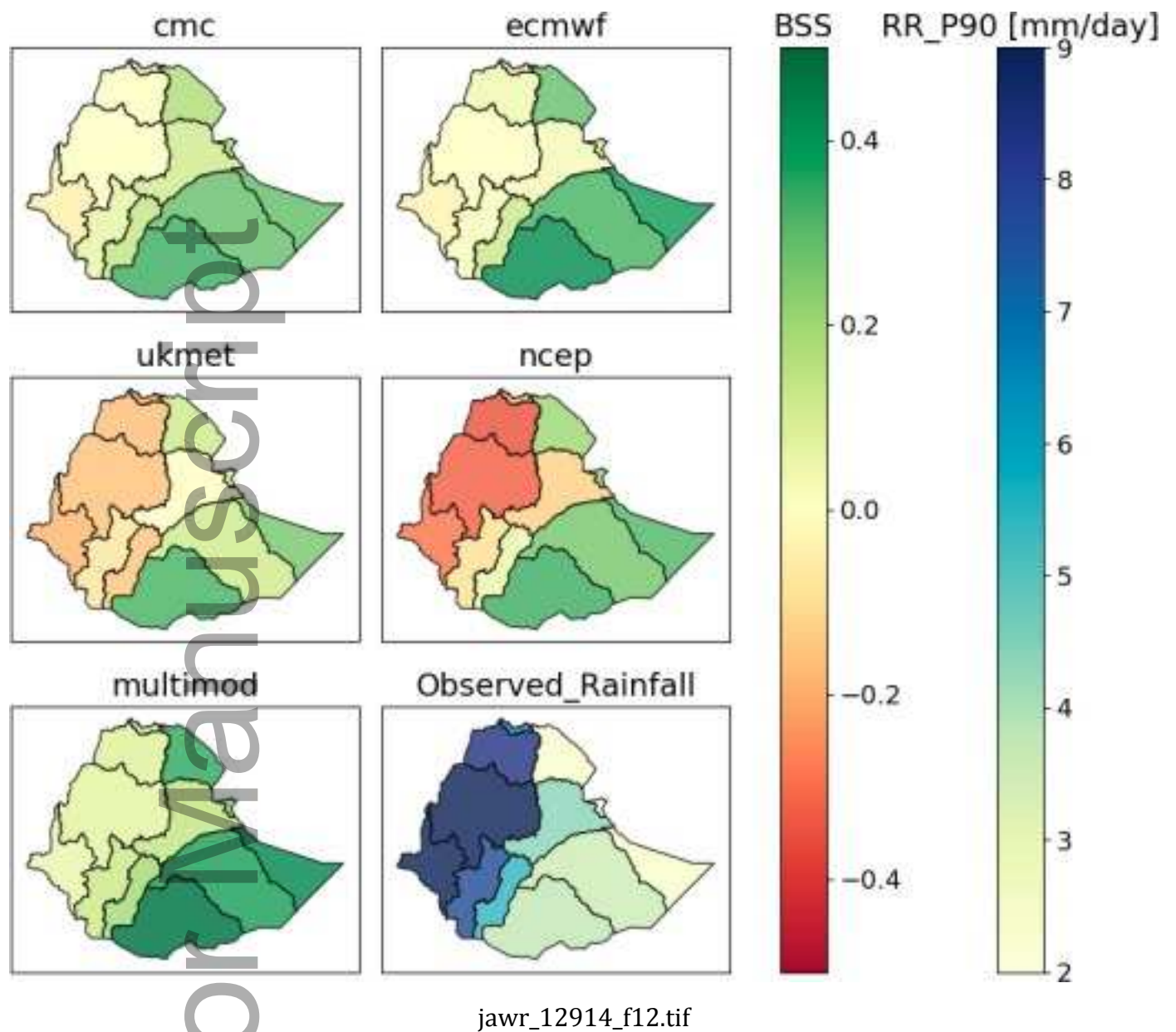


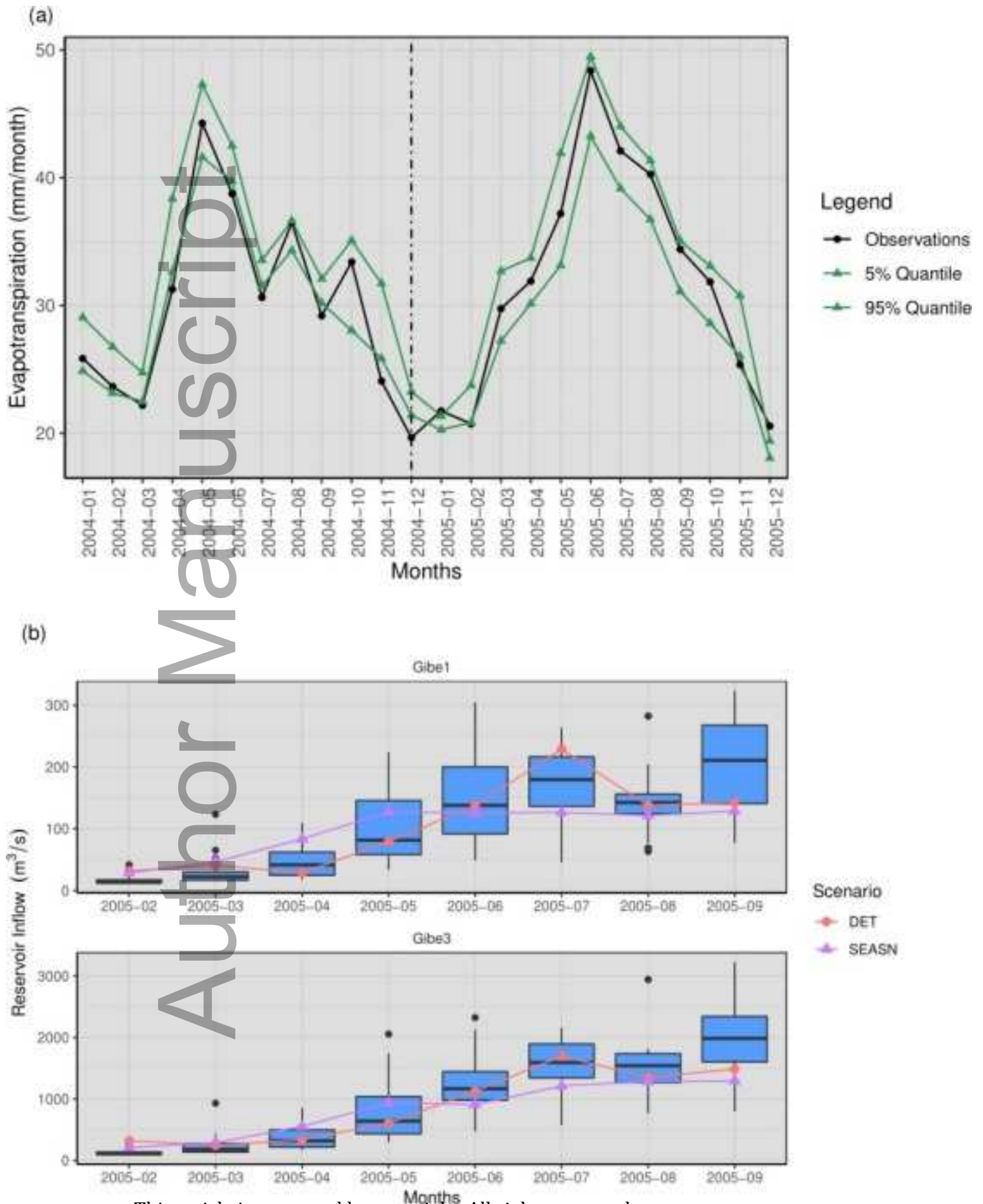
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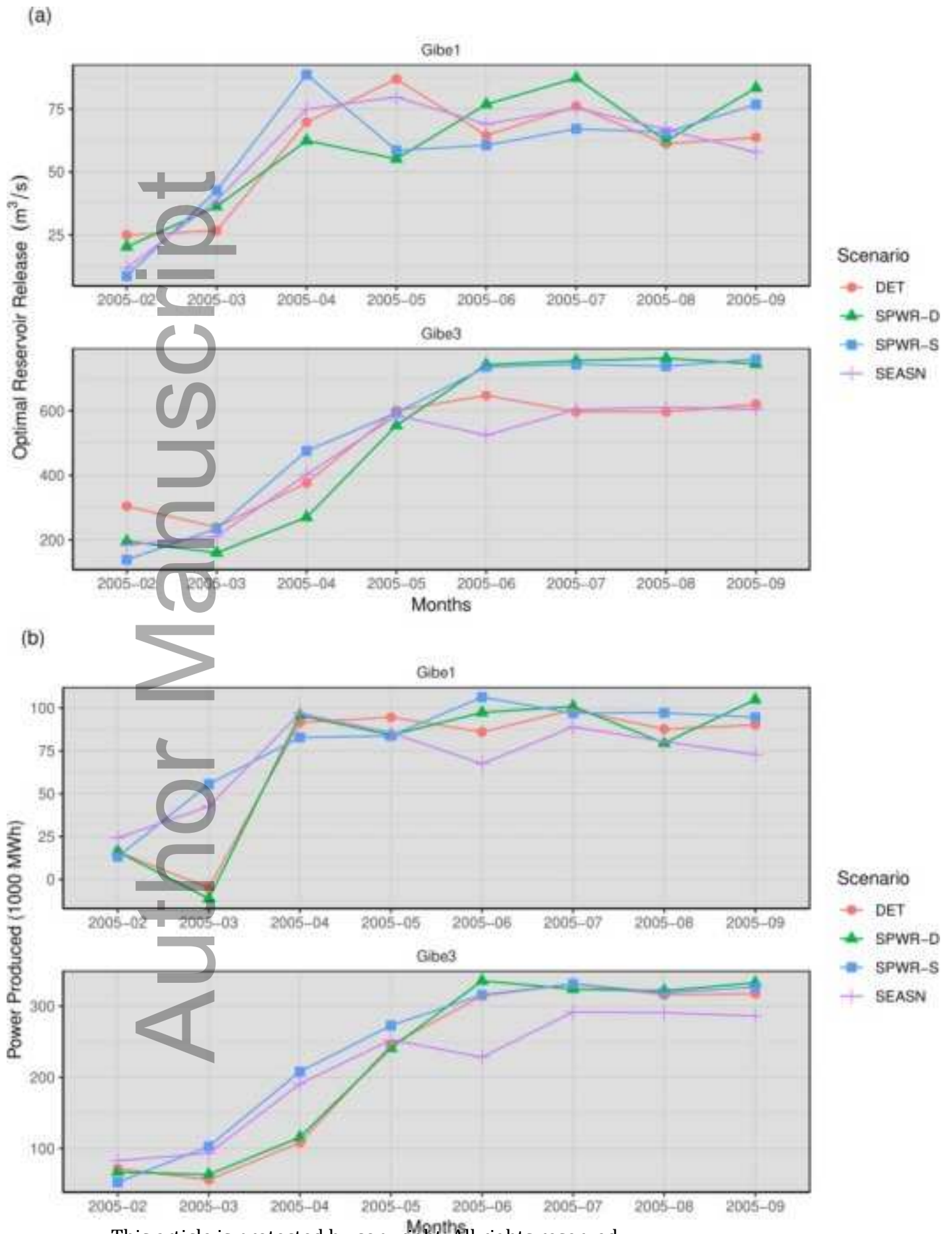




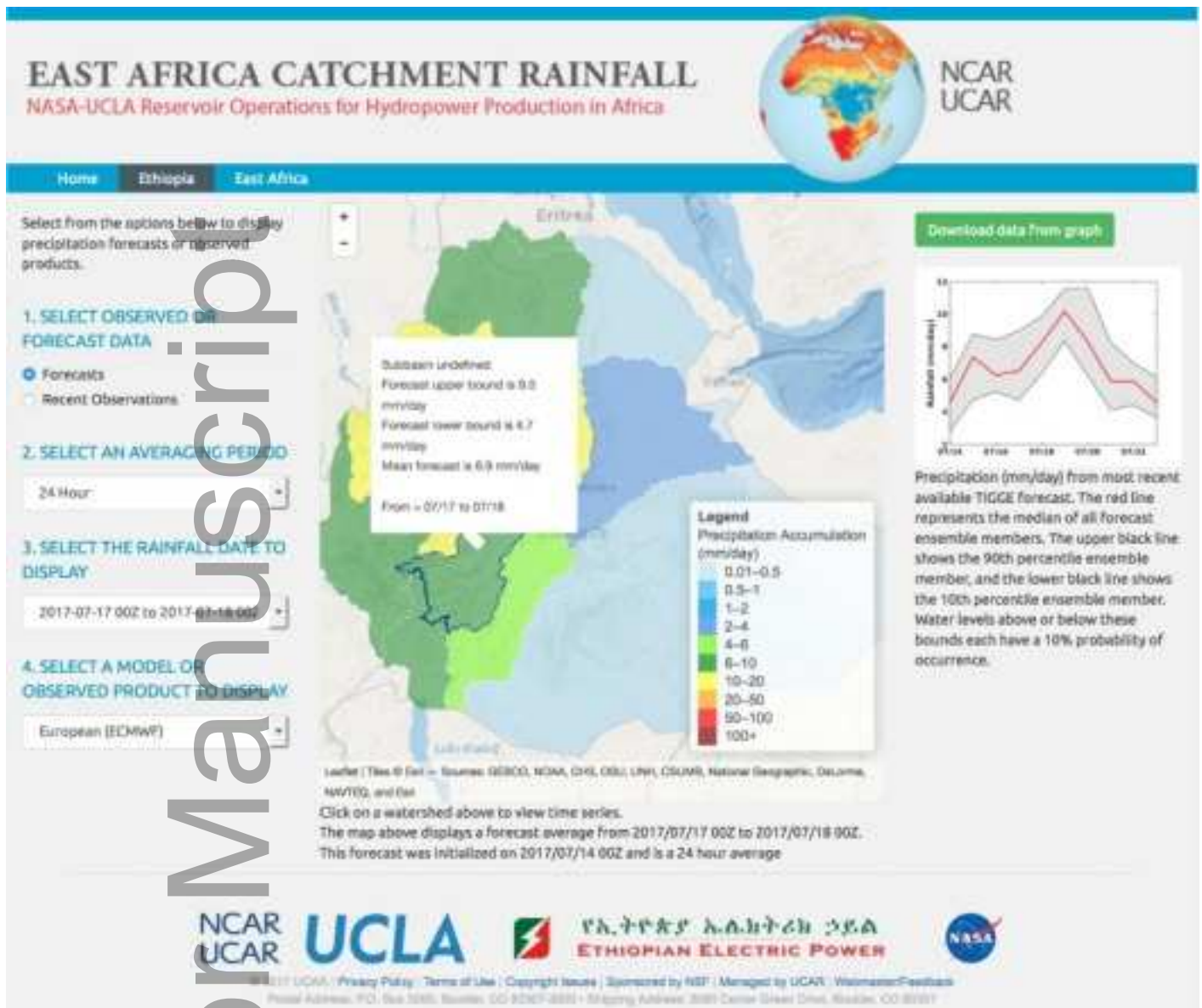
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