Water Harvesting Research Vol. 7, No. 2, Autumn & Winter 2024, Original paper p. 246-257 University of Birjand

Assessment of Re-Forecast Data in the Modeling of Extreme Rainfall-Runoff Events (Case Study: Floods in the Bakhtiari Basin, Iran, March-April 2019)

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Abstract

Predicting inflow into reservoirs is essential for their operation during floods, particularly in mountainous watersheds characterized by snow-rain regimes. The objective of this research is to evaluate the GEFSv12 re-forecast data as an input of the HEC-HMS model for forecasting floods due to the extreme precipitation in March/April 2019 in the reservoir of Bakhtiari dam in southwestern Iran. So, ensemble flood forecasting (control and ensemble members) was conducted using extracted precipitation and temperature data with the lead-time up to 10 days. A sequence of predictions for flood warnings was analyzed when 50% of the members exceeded the threshold inflows of 1000 and 1500 m³/s. The relative volume error values for the control member and the ensemble mean for five days ahead were -15% and -22%, respectively. While previous studies in catchments with snow-rain regimes anticipated challenges in flood forecasting at mid-lead times, this research demonstrated that the proposed probabilistic framework could effectively issue flood warnings for events with a lead time of five days. To address and predict flooding at the Bakhtiari Dam with a threshold of 1500 m³/s, flood warnings are issued with a lead time of 5 to 8 days.

Keywords: Ensemble Forecasting, Flood Warning, GEFSv12, Hydrological Model, Reservoir Operation.

1. Introduction

Many meteorological centers around the world apply numerical weather prediction (NWP) models to produce precipitation forecasts. In some cases, the use of numerical weather and climate models inevitably leads to inaccurate prediction of runoff (Nanditha and Mishra, 2021). The important role of a reforecast in validating and calibrating weather and climate model forecasts, diagnosing model errors, and predicting extreme or rare events has therefore been widely recognized (Baxter et al., 2014; Ou et al., 2016; Gascón et al., 2019; Hamill et al. 2022).

Ensemble forecasting was developed to study and evaluate the efficiency of deterministic weather forecasting systems globally and locally. Ensemble forecasts are available in the re-forecast period and can be input directly into hydrologic models and used to assess the predictability of precipitation events, warn and guide farmers, and manage reservoirs (Stellingwerf et al., 2021). Over the past decade, ensemble flood forecasting has improved significantly with the development of numerical weather prediction models, advances in high-performance computing, and increasing interest in the transition from deterministic to probabilistic decision making (Wu et al., 2020). As for the probabilistic approach, ensemble forecasts consist of forecast elements that can be obtained from perturbations in the initial conditions of the weather and climate forecast model. hydrological models, and various numerical weather models (Moradkhani et al., 2018; Zhu et al., 2019).

An operational system that couples NWP and a hydrologic model at a basin scale was a practical strategy for predicting reservoir inflow. Therefore, poor performance of the NWP model leads to errors in precipitation prediction, which in turn leads to uncertainties in runoff prediction (Fan et al., 2016; Nanditha and Mishra, 2021). Ensemble flood forecasts are usually based on ensemble forecasts based on different meteorological inputs, different initial conditions, multiple hydrological models, or a set of multiple parameters, or a combination of the above (Cloke and Pappenberger, 2009; Duan et al., 2019; Roundy et al., 2019).

The climate in Iran is generally dry and semi-arid, but frequent floods cause significant damage to people and society. A series of major floods occurred simultaneously in different parts of Iran in March/April 2019, causing massive damage to agriculture, farms, and residential areas (Aminyavari et al., 2019). In this context, Maddah et al. (2021) studied the extreme precipitation event of March-April in the Karkhe River basin 2019 in southwestern Iran. The results showed that the maximum and average values of rainfall predicted by the WRF model are underestimated and that the prediction error increases as the lead time increases. In general, they suggest that a forecast time of 78 to 102 hours is appropriate for warning of extreme precipitation events in the Karkhe River basin. Younis et al. (2008) studied the performance of the European Flood Alert System (EFAS) in part of the Elbe River basin in the Czech Republic for the 2006 spring precipitation event. The extreme flood event, triggered by snowmelt, caused major damage in the Elbe River basin. According to the analysis, EFAS forecasts were able to determine the flood probability signal 8 to 10 days in advance. In another study, Thielen et al. (2009)investigated the performance of the European Flood Alert System (EFAS) with a lead time of 3 to 10 days for international rivers in Europe.

Delaney et al. (2020) presented ensemble forecast operations (EFO) as a risk-based approach to reservoir flood control that includes ensemble streamflow predictions (ESPs) produced by the Nevada-California River Forecast Center. Reservoir operations are modeled separately for each of the ESP members to predict system conditions and calculate the risk of reaching critical operating thresholds. Decisions to release reservoirs for predicted risk management are simulated using the identified risk tolerance values. The EFO for Endocino Lake, California, is being developed to assess the extent to which it can improve reservoir storage reliability without increasing downstream flood risk.

Fan et al. (2016) used the GEFSv2 model from the United States National Oceanic and Atmospheric Administration. The researchers used a large-scale distributive hydrologic model from MGH-IPH, to produce an ensemble flood forecast for the Tocantins River basin in Brazil. The 2011/2012 precipitation season was simulated to forecast flood warnings for the reservoir and to examine ensemble members and flood lead time on a daily basis. Other researchers, such as Siqueira et al. (2020) and Wu et al. (2020), studied the importance of ensemble flood forecasts.

The literature search provided us with several studies on the use of re-forecast data and the production of runoff forecasts. However, there are fewer studies on evaluating and improving the forecasts in the watersheds of Iran. It was also found that in watersheds with dams, issuing flood warnings can play a greater role in reducing flood damage by prereleasing from the reservoir ahead of time. Nevertheless, this should be investigated in different geographic areas.

This paper presents the results of ensemble flood forecasting based on GEFSv12 model for the extreme flood event in March and April 2019 in the Bakhtiari reservoir basin in southwestern Iran. In addition, the efficiency of using ensemble flood forecasts in the management of Bakhtiari reservoir was discussed.

2. Materials and Methods

In this section, first, Bakhtiari dam basin was introduced. Then, the method used in the rainfall-runoff conceptual model of HEC-HMS was described, followed by re-forecast precipitation and temperature input data of GEFSv12. Finally, the model evaluation indices were presented.

2.1. Study area

The study area was the Bakhtiari reservoir basin with an area of 6388 km² in southwestern Iran. Bakhtiari reservoir is located 80 km away from Khoramabad city. Its main purpose is power generation and flood control (Hatamkhani et al., 2021). The maximum elevation above sea level of the basin is 4049 m. The Sezar and Bakhtiari rivers join about 3.1 km downstream of the dam to form the Dez River. The Great Karun is formed by the confluence of the Karun and Dez Rivers. The geographic location of the Bakhtiari dam is 48° 46' 50" east longitude and 32° 57' 41" north latitude. The Bakhtiari basin has a rain-snow regime. The average annual precipitation is about 720 mm, and the annual standard deviation of precipitation is 159.1 mm (Gheidari et al., 2011). Fig. 1 shows the topographic characteristics of the Bakhtiari reservoir basin and the locations of the meteorological stations.



Fig. 1. Topographic properties of Bakhtiari dam basin and meteorological stations locations

2.2. Data collection

The Global Ensemble Forecasting System Version (GEFSv12) data, recently 12 launched, 31 years (1989-2019) of forecast the National Center data from for Environmental Prediction (NCEP) were used. The reforecast system is based on the NCEP global real-time forecast version 15.1 and uses the Finite Volume 3 dynamical core. The resolution of the forecast system is about 25 km with 64 vertical hybrid level and with a temporal resolution of 6 hours, i.e., available for 0, 6, 12, 18, and 24 hours (Guan et al., 2022). The newly forecast temperature and precipitation dataset GEFSv12 for the period 2000-2019 is available on the website https://noaa-gefsretrospective.s3.amazonaws.com/index.html. The number of these forecasts outputs is not as much as that of the real-time forecasts. The initial conditions of the model are considered once per day according to the zero runtime. This model has five members, except that an 11-member reforecast is made once per week, and the lead time is 35 days. A critical aspect of the GEFS model is that these forecasts use a dynamic core where only the initial conditions are perturbed and there are some small random perturbations in the forecast phase. These forecasts are in contrast to systems such as the Short-Range Ensemble Forecast (SREF), where different dynamic cores are used in one set (Saminathan et al., 2021).

2.3. Model setup

In the present study, the soil moisture accounting (SMA) and snow melt algorithms (temperature index) available in HEC-HMS were used for continuous modeling of the rainfall-runoff process. According to Bennett (1998), the linear reservoir model was used along with the SMA model to calculate base flow, and the Clark model was used output of the models was used to convert excess precipitation to runoff (Teng et al., 2018).

HEC-HMS consists of three elements, including (1) the river basin model, (2) the meteorological model, and (3) the control specifications. Flowchart of the continuous modeling process undertaken in the present study using the HEC-HMS model is shown in Fig. 2. The snowmelt algorithm is a part of the meteorological model.

Snowmelt modeling is used to estimate snow water equivalent (SWE) volume and the timing and amount of snowmelt that affect soil moisture, runoff, and river flow. It is worth mentioning that the snowmelt algorithm (Temperature Index) is a key component of the meteorological model within the HEC-HMS. However, it is important to acknowledge the limitations of this model when applied to snow-affected basins with a rain-snow regime. For instance, the Temperature Index method relies on empirical temperature thresholds that may not accurately reflect local conditions, leading to potential inaccuracies in predicting snowmelt. Furthermore, the model does not account for complex interactions between precipitation forms, snowpack dynamics, and changing climatic conditions, which can impact the hydrological response (Gao et al., 2023; Houghton et al., 2022). These considerations highlight the need for careful application of the HEC-HMS model in snowaffected basins like the study area.

HEC-HMS provides two alternatives for modeling snowmelt, including (1) the temperature index method and (2) the gridded temperature index method (Davtalab et al. 2017). The river basin model is designed for modeling in two states (1) Continuous model (2) Event-based model.

Event-based flood modeling uses a simulation period of several hours to several days, beginning before precipitation and ending shortly after precipitation ends.

Continuous modeling has longer time periods, including dry and wet periods, ranging from months to years (Gyawali and Watkins 2013). Soil moisture accounting The (SMA) algorithm pattern was introduced by Leavesley et al. (1983) and described by Bennett (1998). This model introduces the basin with a series of storage layers. Surface storage and tree canopy are the first layers to fill during precipitation. Surface infiltration then occurs. The third storage layer is then the soil profile water storage. The that exceeds the aforementioned storage appears as direct runoff. Evapotranspiration causes some of the water in the soil profile to be lost, and some of it reaches the groundwater layers via deep percolation. The calibrated parameters of the algorithm SMA are given in Table 1.

Table 1. Used values for parameters of the SMA

model										
Parameter	Calibrated value									
Soil (%)	5									
Groundwater 1(%)	20									
Groundwater 2(%)	30									
Max infiltration (mm/hr.)	2.41									
Improvision (%)	0									
Soil storage(mm)	945									
Tension storage(mm)	669									
Soil percolation (mm/hr.)	3.28									
Gw 1 storage(mm)	220									
Gw 1 percolation (mm/hr.)	1.59									
Gw 1 coefficient(hr.)	1.35									
Gw 2 storage(mm)	78.45									
Gw 2 percolation (mm/hr.)	1.09									
Gw 2 coefficient(hr.)	0.7									

2.4. Evaluation criteria

The evaluation of the performance of the flood forecasting ensemble using the Nash-Sutcliffe efficiency (NSE), Pearson correlation coefficient (PCC), root mean square error (RMSE), and relative volume error (RVE) is presented in equations 1 to 4.

The NSE is often used to study the performance of hydrologic models. Nash and Sutcliffe (1970) defined a coefficient ranging from negative infinity to 1. Higher values indicate better efficiency. The NSE equation is:

$$NSE = 1 - \frac{\sum_{i=1}^{n} (o_i - p_i)^2}{\sum_{i=1}^{n} (o_i - \overline{p})^2}$$
(1)

PCC is a dimensionless index. It is the criteria for measuring the connection between

the changing trends for each corresponding paired variables. The PCC evaluates the similarity of variations in two variables (Kim et al., 2021). The PCC coefficient equals to:

$$PCC = \frac{\sum (O_i - \overline{O}) \sum (P_i - \overline{p})}{\left[\sum (O_i - \overline{O})^2 \sum (P_i - \overline{P})^2\right]^{1/2}} \qquad (2)$$



Fig. 2. Flowchart of the modeling process undertaken in the current study using the HEC-HMS model.

The RMSE is an index coaxial to the unit of measurement. The lower the RMSE value, the better the performance of the model. The RMSE can be significantly increased by a few large errors, which is the most critical problem with this test. In addition, the test does not distinguish between an underestimated and an overestimated value (Stone, 1993). RMSE is:

$$RMSE = \frac{1}{\overline{O}} \left[\frac{1}{n} \sum_{i=1}^{n} (P_i - O_i)^2 \right]^{1/2}$$
(3)

$$RVE(\%) = \frac{\sum (O_i - P_i)}{\sum (O_i)} \times 100$$
(4)

3. Results and Discussion

The efficiency of the continuous model HEC-HMS (SMA) for the Bakhtiari reservoir basin was evaluated using the index mentioned in section 2-4, and the results are reported here. The observed and simulated discharges during the calibration and evaluation periods are shown in Fig. 3.

SMA continuous model calibration was conducted over four years from 2015 to 2019, and the assessment was conducted over two years from 2019 to 2021. The NSE results for the calibration and evaluation show values of 0.81 and 0.79, and the RMSE is 93 and 30, respectively (Table 2). Due to the large area of the catchment and the temporal and spatial variations in precipitation and snow storage and karst development in the study area, these

criteria are a good indicator of model performance (Davtalab et al., 2017; Razmkhah et al., 2016). Although the model inputs are lumped, the model SMA was able to correctly simulate the physical processes of the watershed.



Fig. 3. Simulation and observation quantities of inflow (outflow) in the calibration (top) and evaluation (bottom) stage

Table 2. Results of the evaluation criteria of the model for the calibration and verification steps.

Criteria	Calibration	Verification
RVE (%)	-9	-7
NSE	0.81	0.79
RMSE (m ³ /s)	93	30
PCC	0.91	0.90

The safe discharge range of the Dez River is between 1,000 and 1,500 m³/s based on the river floodplain conditions and the current condition of the flood control structures downstream of the Dez Dam. Therefore, the lower limit of the no-damage discharge (1,000 m³/s) and the minimum-damage discharge (1,500 m³/s) were established as thresholds.

During the March-April 2019 study period, a precipitation event coinciding with snowmelt resulted in a severe flood with peak flows of 2600 and 2800 m³/s. The flood lasted 13 days, with a daily discharge of 1500 m³/s having been measured on 7 days. The physical the catchment and the conditions of considerable snow accumulation resulted in a slow decline of the hydrograph. Therefore, the flood generated 1570 million cubic meters of runoff. Fig. 4 shows the ensemble flood forecast results for 10 different lead times based on the GEFSv12 model members, including the control run, the four individual members, and the ensemble mean.

The heat map in Fig. 5 shows the results of NSE, RMSE, PCC, and RVE in 60 prediction sequences. Comparing the control run evaluation criteria values with those of the

individual ensemble members and the ensemble mean, the better performance of the ensemble mean is evident.



Fig. 4. Values of observed discharge and sequence of predictions for the March-April 2019 flood. Black lines illustrate the observed discharge. The x-axis represents time, while the y-axis shows discharge (m³/s).

The criteria evaluation in the control run shows that 3 days ahead (3DA), the NSE, RMSE, PCC, and RVE values are 0.34, 540, 0.7, and -8, respectively, which is a better performance compared to the other lead times. However, the PCC is better for 1DA, its value is 0.79. The evaluation of each member of the ensemble shows that the indices tend to be

different for each member. The first and third individual members of 6DA had RVE index values of -14% and -4%, respectively, which were better than the control member's -52%. Examination of the ensemble mean shows that the NSE, RMSE, PCC, and RVE values for 4 days ahead (4DA) are 0.62, 442, 0.84, and -10, respectively, which is better than other lead times. However, the RVE value for 1DA has decreased to 6%. In general, the predicted volume is underestimated in most prediction sequences based on the RVE index. Nevertheless, 1DA is overestimated in all members except the fourth ensemble member. Accurate prediction of flood inflow is more critical to reservoir flood management than the shape and characteristics of the input hydrograph. Therefore, the RVE values show the model accuracy in predicting the inflow, which is more important for the operation of the reservoir.

Studies such as Block et al. (2009), Doblas-Reyes et al. (2005), and Gao et al. (2022) show better performance of the deterministic run compared to individual members. However, the results obtained for the study area showed that some individual members responded better than the control run. The results of the evaluation of the March-April 2019 flood criteria in the Bakhtiari reservoir basin showed that 2DA and 3DA performed better than 1DA for most indices. The results were in good agreement with studies such as Tsering et al. (2022) and Younis et al. (2008).

		Days Ahead										
Members	Evaluated criteria	1DA	2DA	3DA	4DA	5DA	6DA	7DA	8DA	9DA	10DA	
	NSE	-0.07	0.25	0.34	0.33	0.00	-1.06	-0.11	-1.10	-1.59	-1.48	
Control mombar	RMSE(cms)	737	617	580	583	713	1024	753	1034	1149	1124	
Control member	PCC	0.79	0.74	0.70	0.73	0.66	0.19	0.64	0.51	0.01	0.43	
	RVE(%)	12	-25	-8	-19	-15	-52	-33	-55	-59	-61	
	NSE	0.20	-0.31	0.16	0.01	-0.12	0.22	-0.43	-1.07	-1.18	-1.86	
EN/(01)	RMSE(cms)	639	818	655	710	755	628	853	1026	1054	1206	
11(01)	PCC	0.81	0.57	0.72	0.57	0.78	0.70	0.62	0.26	0.43	0.31	
	RVE(%)	6	-15	-28	-27	-41	-14	-43	-35	-55	-67	
	NSE	-0.56	0.58	0.14	-0.50	-0.19	0.03	-0.60	-1.32	-1.80	-1.62	
EN(02)	RMSE(cms)	893	462	663	874	777	702	903	1086	1193	1154	
11((02)	PCC	0.81	0.84	0.71	0.72	0.82	0.71	0.64	0.65	0.14	0.23	
	RVE(%)	20	-12	-28	11	13	-32	-46	-60	-64	-61	
	NSE	-0.61	0.43	0.50	0.03	0.03	-0.20	-1.07	-1.02	-0.99	-1.53	
EN(02)	RMSE(cms)	906	540	506	703	703	781	1027	1015	1006	1134	
E14(05)	PCC	0.75	0.78	0.81	0.71	0.69	0.58	0.45	0.27	0.40	0.34	
	RVE(%)	12	-16	-8	-10	-16	-4	-34	-15	-29	-61	
	NSE	0.03	0.09	0.24	0.10	0.12	-1.14	-1.76	-1.24	-1.78	-1.05	
EN(04)	RMSE(cms)	701	775	621	676	764	1045	1185	1069	1190	1022	
121(04)	PCC	0.66	0.91	0.83	0.74	0.98	0.28	0.48	0.38	0.30	0.40	
	RVE(%)	-10	-16	-32	1	-41	-46	-19	-55	-65	-52	
	NSE	0.04	0.43	0.40	0.62	0.31	-0.42	-0.59	-1.05	-1.40	-1.74	
Encemble mean	RMSE(cms)	701	537	551	442	594	851	900	1021	1105	1182	
Lasemble mean	PCC	0.78	0.78	0.79	0.84	0.77	0.55	0.54	0.43	0.44	0.35	
	RVE(%)	6	-17	-21	-10	-22	-33	-40	-52	-60	-65	

Fig. 5. The heat map of the evaluation indices of prediction sequences

The ensemble members and the ensemble mean are critical in defining the probabilistic framework to make better decisions. By using an ensemble flood forecast, a dam's reservoir can be operated more efficiently during a flood, significantly reducing flood damage (Delaney et al., 2020). All lead times exceeding the thresholds of 1500 and 1000 m³/s were examined using the probabilistic approach in Tables 3 and 4. If at least 50% of the members exceeded the thresholds, it was

considered a serious flood warning (Fan et al., 2016).

The results from the probabilistic table for exceeding the threshold of 1500 m³/s indicate a clear distinction in flood predictability between the two flood peaks. On March 26, during the first peak, there was no exceedance from 6DA to 10DA, while exceedance rates were significantly higher at earlier lead times (83% at 5DA and 100% at 4DA). This suggests that the early warning systems may need refinement for the first flood peak, as reliance

on the monitoring at 6DA and beyond did not indicate an imminent risk. In contrast, during the second peak on April 1, exceedance was detected as early as 7DA (67%), reaching 100% at 6DA, which demonstrates improved predictability and highlights the potential for preparedness strategies better during subsequent flood events. This finding aligns with previous research indicating that earlywarning systems can significantly improve flood management by allowing responders to take timely action (García et al., 2017; Kousky, 2017).

Moreover, the results related to the threshold of 1000 m³/s corroborate the efficacy of our warning systems, as alerts were issued prior to surpassing this critical level during

both peaks. Notably, the higher percentage of exceedance (83%) for the second peak beginning at 8DA suggests that improved forecast accuracy may have contributed to earlier alerts. enhancing response effectiveness. This reinforces the notion discussed by Kousky (2017) that early warnings play a crucial role in flood risk management and community resilience. Overall, these findings emphasize the importance of continuous improvement in flood forecasting and warning mechanisms. Future studies could benefit from exploring advanced modeling techniques and integrating real-time data to further enhance the reliability of flood predictions.

Table 3. The exceedance of the flood threshold in March-April 2019, the numerical index corresponds to the percentage of ensemble members exceeding the discharge threshold of 1500 m³/s (In the red area, the observed discharge is lower than 1500 m³/s, and in the green area it is higher than 1500 m³/s. The data marked with an asterisk shows the observed peak discharge)

marked with an asterisk shows the observed peak discharge).													
land time /data event	23	24	25	26*	27	28	29	30	31	1*	2	3	4
lead time /date event					March April				ril				
10DA	0	0	0	0	17	0	0	0	0	0	0	0	0
9DA	0	0	0	0	0	0	0	0	0	33	33	17	0
8DA	0	0	0	0	0	0	0	0	0	33	67	33	17
7DA	0	0	0	0	17	0	0	0	17	67	67	0	0
6DA	0	0	0	0	17	17	0	0	0	100	100	83	0
5DA	0	0	17	83	50	0	0	0	0	67	83	67	0
4DA	0	0	17	100	83	33	0	0	0	67	100	33	0
3DA	0	0	17	83	100	33	0	0	0	50	83	0	0
2DA	0	0	17	83	100	17	0	0	0	83	83	67	0
1DA	0	0	50	100	100	33	0	0	0	83	100	100	0

Table 4. Same as Table 3 but for $1000 \text{ m}^3/\text{s}$.

lead time /date event	23	24	25	26*	27	28	29	30	31	1*	2	3	4
	March										Ap	ril	
10DA	0	0	0	0	17	17	0	0	0	17	0	0	0
9DA	0	0	0	0	0	0	0	0	0	33	50	33	0
8DA	0	0	0	0	0	0	0	0	17	83	67	67	17
7DA	0	0	0	17	33	33	0	0	67	100	83	67	0
6DA	0	0	17	50	50	17	0	0	33	100	100	100	0
5DA	0	0	17	100	100	0	0	0	17	100	100	100	0
4DA	0	0	50	100	100	67	0	0	33	100	100	83	0
3DA	0	0	50	100	100	83	0	0	17	100	100	83	0
2DA	0	0	17	100	100	67	0	0	0	100	100	100	0
1DA	0	0	83	100	100	100	0	0	17	100	100	100	0

4. Conclusion

The catchment area of the Bakhtiari reservoir is located in the high mountain zone of the Zagros Mountains in southwestern Iran. Consequently, extreme flood events are more likely to occur during the snowmelt season. The flood hydrograph in March-April 2019 shows that the second peak was larger than the first peak, although precipitation was higher at the same time as the first peak. Despite the complexity of the simulation process, especially in catchments with snow storage, the parametric uncertainty of the hydrological and meteorological model, the continuous model HEC-HMS (SMA) was able to correctly model the precipitation and runoff process. The generated ensemble flood forecast provides useful information for the Bakhtiari reservoir operator to improve flood management.

The performance of ensemble flood forecasts based on the GEFSv12 model was presented for the extreme event of March-April 2019. The results showed that although extreme events are always complicated, the use of probabilistic approaches is useful for decision making in flood management. With the proposed probabilistic framework, we could be notified 5-8 days before a flood event with discharge greater than 1500 m³/s and 6-9 days before a flood with discharge greater than 1000 m³/s. Although advance notification of reservoirs during this period has some limitations, especially if the floods occur at the end of the reservoir refilling period, it helps significantly in planning for preparedness and flood damage reduction.

5. Acknowledgment

We are very grateful to the research council of Shahid Chamran University of Ahvaz. and the Research Centre of Khuzestan Water and Power Authority.

6. Disclosure statement

No potential conflict of interest was reported by the authors.

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