

Toward Intelligent Control of Urban Stormwater Management Systems

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Abstract

Today's global challenges, like climate change and urbanization, combined with the growing population in urban areas have exposed conventional urban stormwater infrastructures to a great risk. Although an emerging need for a change in the urban stormwater managerial paradigm has shifted the decision-makers attention to add new objectives to the stormwater management traditional regulations, there are still limited proper solutions to accommodate the urban runoff dynamics over the watershed and enable an adaptive, distributed and sustainable control of stormwater infrastructures. These concerns can be resolved if intelligence is added to the conventional urban systems to balance the network flow dynamics and environmental demand. This paper provides a conceptual discussion to investigate a novel high-performance, adaptive, and intelligent stormwater control optimization architecture as a sustainable solution against the varying environment.

TOWARD INTELLIGENT CONTROL OF URBAN STORMWATER MANAGEMENT SYSTEMS

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Key Points:

- A novel adaptive and intelligent stormwater control optimization architecture is conceptualized
- The presented architecture is unique as it allows flow management based on runoff dynamics and the optimal control of storage units over the stormwater management network.
- This concept substantially improves stormwater management systems adaptation against environmental variabilities, strategies for system level storage, and the infrastructure for next generation smart stormwater network options.

ABSTRACT:

Today's global challenges, like climate change and urbanization, combined with the growing population in urban areas have exposed conventional urban stormwater infrastructures to a great risk. Although an emerging need for a change in the urban stormwater managerial paradigm has shifted the decision-makers attention to add new objectives to the stormwater management traditional regulations, there are still limited proper solutions to accommodate the urban runoff dynamics over the watershed and enable an adaptive, distributed and sustainable control of stormwater infrastructures. These concerns can be resolved if intelligence is added to the conventional urban systems to balance the network flow dynamics and environmental demand. This paper provides a conceptual discussion to investigate a novel high-performance, adaptive, and intelligent stormwater control optimization architecture as a sustainable solution against the varying environment.

Keywords: Adaptive storm water management; Smart City; Control architecture; Sustainability; AdaptiveDynamic Programming; Model Predictive Control

1. Introduction

Rapid urbanization has significantly altered the hydrologic cycle in urbanized watersheds, making stormwater runoff a great challenge for municipalities. Climate Change (CC) also poses additional challenges to urban sustainability by inducing significant changes in precipitation patterns. These challenges, combined with the growing population in urban areas, have exposed urbanized area's traditional stormwater infrastructures to a great risk. Severe downpours have significantly increased in

35 terms of frequency and intensity, and they will become even more frequent and intense in the future
36 according to the projections (Giorgi et al. 2019). This causes greater and quicker urban runoff that
37 consequently is followed by a dramatic increase in the risk of flooding as well as discharging a huge
38 amount of runoff pollutants to the downstream areas around the world. These varying meteorological
39 conditions call for a sustainable and adaptive solution, while the conventional urban infrastructures are
40 only able to provide a static approach to this evolving challenge.

41 Recognizing the need for a change in the urban stormwater managerial paradigm, federal, state,
42 and local regulations joined to chart a new direction to deal with urban runoff problems. As a result,
43 new objectives were added progressively to the stormwater management traditional objectives which
44 target not only the safety of citizens and protecting the public and private properties during rainstorms
45 but also the quality of stormwater runoff discharges to the nation's streams. To achieve these objectives,
46 various control structures could be considered whether at the source (e.g., green roofs or infiltration
47 trenches), over the drainage network (e.g., storage units, perforated pipes), or in the downstream areas
48 (e.g., stormwater basins). A stormwater management system can only achieve these objectives by
49 integrating both quality and quantity controls (Shishegar et al. 2019b).

50 In recent decades, a multitude of infrastructure and amenities, commonly referred to as "Best
51 Management Practices" (BMPs), have been developed to provide stormwater control. The objectives
52 of these BMPs are to control flow rates (by retention) and / or runoff volumes (by infiltration) as well
53 as to improve the quality of water (by sedimentation). Stormwater basins are currently the most used
54 BMPs which are generally designed and operated locally, irrespective of the operation of other
55 structures, or the conditions of other components in the watershed. The United States Environmental
56 Protection Agency (EPA) reports that past practices of controlling the stormwater management systems
57 on a site-by-site basis have been inadequate, raising the need to implement the stormwater control
58 measures as a whole system that incorporates the modern stormwater management goals at the
59 watershed-level (EPA 2008). Recently, Shishegar et al. (2018) demonstrated that the study on
60 integrating the entire watershed at system-level and the feedback with the operational-level decisions
61 is still an open research area and research is needed to design management systems that are adaptable
62 and robust to climate change.

63 Advances in technologies and the appearance of the Internet of Things (IoT) have enabled
64 pervasive progress in system component connectivity that allows transitioning the existing stormwater
65 management systems to economic cyber-physical utilities that would facilitate real-time control (RTC)
66 of urban runoff dynamics in a sustainable managerial approach as well as enhancing the resilience of
67 urban infrastructure against climate change. In such a revolutionary vision, the utilities would oversee
68 the interconnection, aggregation, and integration for stormwater distribution network while maintaining
69 reliability and resilience for its dynamic performance. Although the reconstruction of stormwater
70 management infrastructures based on new emerging socio-environmental needs seems a solution, it
71 would place the municipalities in a precarious and costly predicament by posing a limited short-term

72 solution for a large-scale and unsteady problem. In contrast, a cyber-based autonomous stormwater
73 control framework can realize predictive and adaptive model-optimizer-controller architecture to
74 control the urban stormwater facilities that respond to the varying environment and even react promptly
75 to the potential extreme events. The potential benefits of such an approach for controlling urban
76 stormwater infrastructures have led us to conceptualize a sustainable and intelligent stormwater
77 management architecture as an integrated dynamic framework for autonomous control of the
78 stormwater infrastructures. As compared to current practices, this intelligent architecture offers three
79 distinct capabilities: 1) It implements emerging dynamics and intelligent control to enable maximum
80 utilization of the network capacity and decide on the optimal control strategy such that the intertemporal
81 socio-environmental preferences are met in terms of storm flow volume and quality 2) It operates in
82 real-time in a sense that it continually receives the historical and observed data as well as the spatio-
83 temporal predicted meteorological data and decides how to manipulate the actuators based on their
84 local system's capacity, preference, and compatibility and finally 3) It has the ability to learn not only
85 from the historical data but also from a model that updates itself for the events that have never been
86 experienced.

87 Currently, stormwater management networks are controlled either statistically or partially
88 dynamically utilizing limited local data; they are mostly based on some predefined rules for controlling
89 the end-of-the-network outflows. Although this type of control is relatively easy to implement, it
90 imposes large operating problems even during normal weather conditions, which results in
91 environmentally unfriendly consequences such as stream pollution, waterbody erosion, excessive
92 hydraulic shocks, and probable flooding with associated damages and increased maintenance (Colas et
93 al. 2004).

94 Modern sustainable stormwater management systems are efficient if they have optimal real-time
95 quality and quantity control performance at all levels of the network (such as detention pond, reservoir,
96 sub-catchment, and the watershed) to be able to instantly adapt its operation to the changing
97 environment. To guarantee high operational feedback that continually provides a proper response to
98 the environmental events, the system components should perform based on predictive algorithms. One
99 of the main challenges in urban stormwater management is that the optimal performance at the local
100 scale does not necessarily represent the optimal performance at the system scale; for instance, the peak
101 flow reduction in a single stormwater management unit may induce critical conditions in the
102 downstream watercourse, resulting in a sharp final hydrograph for the whole watershed (Kerkez et al.
103 2016). Thus, there is an essential need for Just-in-Time and Just-in-Place predictive and adaptive
104 model-optimizer-controller architecture with dynamic and stochastic optimizer to control the flows and
105 network capacity to allow the SWM network to respond to these global challenges and to realize an
106 adaptive control. At the large-scale system-wide point of view, no classical static control method would
107 be applied any longer if we were able to build a sustainable, reliable, predictive, and highly efficient
108 urban stormwater management system; and this is due to the dynamics induced by a) the varying state

109 of the environment including, the evolving urbanization and the climate variability, b) stochastic
110 precipitation forecasting data and c) dynamic hydrologic cycle including infiltration, evaporation and
111 groundwater dynamics. Hence, the need for designing an optimal economically motivated control
112 strategy that can adapt to the existing network, considering the underlying SWM system limitations
113 and acting on all network levels seems necessary. Developing such system-wide optimization and
114 control is paramount and critical for urban SWM modernization and will satisfy environmental
115 sustainability as a key element of future smart cities.

116 In this regard, some major questions address the need to advance knowledge and relevant
117 understanding of the stated issues. The impact of the proposed solutions for the control, optimization,
118 modeling, should be in such a way that it will provide answers to major impending questions including:

- 119 • How should urban stormwater runoff be managed to achieve the objectives of environmental
120 sustainability?
- 121 • What are the prospects for achieving the goal of climate change impacts mitigation from large-
122 scale managerial insight?
- 123 • What are the implications for urban runoff management and sustainable development?
- 124 • How can we mimic the pre-development hydrologic cycle without reconstruction of stormwater
125 management infrastructures?
- 126 • What is the role of advanced technologies in facing urbanization and climate change as two
127 stormwater management major challenges?
- 128 • Can we continuously monitor and report the capacity and flow control available to enhance
129 real-time system operation in presence of environmental variability, extreme events, system
130 contingency, and other events?
- 131 • Is it possible to integrate the controllers and optimization framework for real-time monitoring
132 and control of stormwater?
- 133 • How can local controllers perform to serve the global objectives of an SWM system?
- 134 • How will the hydraulic/hydrologic model of a large-scale stormwater management network be
135 designed and optimized to fulfill the water quality and quantity requirements?
- 136 • What are the impacts of uncertain sources such as meteorological forecasting error,
137 measurement error, communication disruption, modeling error, and time delays on the performance
138 of SWM systems?
- 139 • Can we successfully include the stochastic prediction data into the optimal flow control that
140 further aid the dynamic flow distribution and detention process and account for the availability of
141 enough volume capacity in the network storage components like a stormwater basin? Can we
142 continuously monitor inflow variability and precipitation forecast accuracy to improve the above
143 estimates and operating strategies?

- 144 • How can we enable the local controllers to learn from the real-time data stream and stored data
145 to intelligently respond to an event?
- 146 • Can we provide regulations to better manage the balance between optimal detention times and
147 overflow prevention while minimizing the outflow fluctuations in a stormwater storage facility?
- 148 • How should people participate in the planning, control, and management of urban stormwater
149 to reconcile ecosystems and develop interventions?

150 2. Research Background

151 The next generation of dynamic optimal stormwater system controllers should be capable of
152 monitoring the studied system and external changes at various operating scenarios and develop
153 appropriate control objectives with overall goals of adaptability and sustainability in mind (Kerkez et
154 al. 2016; Wong and Kerkez 2016, 2018; Mullapudi et al. 2017; Bartos et al. 2018; Shishegar et al. 2018,
155 2019a). Extensive investigations have been done on different applications including control systems
156 and power networks (Kamal et al. 2013; Zeinalzadeh 2013; Sariri et al. 2016; Zeinalzadeh et al. 2016;
157 Motalleb et al. 2017; Smidt et al. 2018; Thornton et al. 2020), parallel computation and optimization
158 (Schwarzer 2011; Schwarzer and Ghorbani 2013; Motalleb et al. 2016; Reihani et al. 2016), stormwater
159 management systems (Shishegar et al. 2018, 2019a), and robust control (Kamalasadan and Ghorbani
160 2012; Kamal et al. 2014; Tavakkoli-Moghaddam et al. 2016) to add adaptivity and sustainability to the
161 related infrastructures.

162 Table 1- Optimization Techniques Applied to SWM Systems in Conjunction with the Proposed Method

Example	Control Approach					Uncertainty		Objective		Study focus		
	Static	Dynamic					Deterministic	Stochastic	Quality	Quantity	Design	Operation
		Global	Local	Predictive	Reactive	Intelligent						
(Rauch and Harremoës 1999; Gaborit et al. 2012; Shishegar et al. 2019a)			✓	✓			✓		✓	✓		✓
(Shamsudin et al. 2014)	✓							✓	✓	✓	✓	
(Yeh and Labadie 1997; Giacomoni and Joseph 2017)	✓						✓		✓	✓	✓	
(Tung 1988; Perez-Pedini et al. 2005; Baek et al. 2015; Cano and Barkdoll 2016)	✓						✓			✓	✓	
(Chang et al. 2011)	✓							✓	✓		✓	
(Mobley et al. 2014)	✓						✓			✓	✓	

(Che and Mays 2015)			✓	✓			✓			✓	✓	
(Jia et al. 2016)		✓		✓			✓			✓	✓	
(Fu et al. 2008; Verdaguer et al. 2014)	✓		✓		✓		✓		✓		✓	
(Pleau et al. 2000; Duchesne et al. 2004)		✓		✓			✓			✓	✓	
(Joseph-Duran et al. 2014)	✓							✓		✓	✓	
Proposed study		✓		✓		✓		✓	v	✓		✓

163

164 The proposed concept methodology is broad and the optimization architecture is the key in this
165 investigation. The use of optimization techniques in the stormwater management field is an emerging
166 area of research. Since the pioneering work by Behera et al. (Behera et al. 1999), the optimization of
167 SWM systems has received the researchers' attention, and algorithms have been proposed for solving
168 the related problems (Papageorgiou n.d.; Butler and Schütze 2005; Dotto et al. 2012; Christofides et al.
169 2013; Ocampo-Martinez et al. 2013; Saber-Freedman 2016). However, most of them investigated these
170 systems at the design-level (Emerson et al. 2005; Dietz 2007; Visitacion et al. 2009; Mannina and
171 Viviani 2009; Afshar 2010; Sun et al. 2011; Park et al. 2012; Krebs et al. 2013; Tao et al. 2014;
172 Verdaguer et al. 2014; Montaseri et al. 2015; Saber-Freedman 2016; Mao et al. 2017)) and the feedback
173 at the operational-level is rarely considered (Shishegar et al. 2018) (Table 1). Among the studies on the
174 operation of SWM systems, a good number are rule-based systems, meaning that they defined a set of
175 rules to manipulate the system regulator to improve the final performance of the system (Gaborit et al.
176 2012). One problem with these systems is the fact that the trial-and-error method was used to come up
177 with the thresholds for the designed regulations (Bartos et al. 2018; Shishegar et al. 2019a) and also the
178 proposed rules are designed to address one but not many other SWM systems' desired objectives. The
179 results obtained by pre-defined rules are not necessarily optimal and they cannot consider the global
180 performance of the catchment. This calls for generic formulations with the ability to consider all types
181 of systems with different physical and spatial characteristics. This motivates us to employ mathematical
182 optimization methods as one of the most effective methods to design solutions for realizing modern
183 intelligent stormwater management systems.

184 Among a few studies that address operational-level optimization of SWM systems, Shishegar et al.
185 (2019) presented a smart predictive decision-making framework for real-time control of the SWM basin
186 such that an optimization algorithm is integrated with the implemented control rules to enable optimal
187 quality and quantity control performance for the basin. Although this approach showed a significant
188 improvement in the peak-flow reduction and detention time of the basin, it serves the stormwater system
189 only at the local-level. While the optimized performance of a single basin does not necessarily result in
190 an optimal performance at the system-level. In an effort to design a system-level control algorithm, it

191 is shown in (Wong and Kerkez 2018) that an urban watershed network can be modeled using a linear
192 quadratic regulator for controlling the water flows. This approach demonstrates to be efficient in
193 balancing the flood mitigation and flow reduction, however, it poses further challenges for the SWM
194 system when faced with environmental variabilities due to the reactive operation of the system's
195 components.

196 Static optimization appears in most of the stormwater management studies such as when the
197 location and size of a detention basin are modeled using discrete programming techniques to minimize
198 the risk of flooding (Yeh and Labadie 1997) or when the optimal storm sewer network is designed
199 where the nodal elevations of the network are taken into account as the decision variables (Afshar
200 2010). In (Kerkez et al. 2016) it was proposed to consider the watershed-scale control of water
201 management systems dynamically in real-time, which was extended (Wong and Kerkez 2016).
202 Nonetheless, the results fail to present a solution for the water quantity control performance of the
203 meshed stormwater network, due to focusing only on characterizing the urban pollutographs. Recently,
204 a predictive real-time control framework presented (Shishegar et al. 2019a), where the dynamic control
205 of water quality and quantity was applied locally to several examples, and possible explanations were
206 discussed. We proposed to apply this approach to develop the optimization architecture, yet at the
207 catchment-scale, to ensure a global dynamic control performance for managing the urban stormwater.
208 As it is shown in Table 1, the proposed study provides an intelligent global predictive dynamic control
209 while considering the uncertainties engaged in the problem. Besides, all important aspects of
210 stormwater management practices are included as the system objectives in the proposed architecture
211 that realize an enhanced performance for the storm network in terms of quality and quantity.
212 Furthermore, intelligence has never been studied in stormwater management literature which makes
213 this investigation a unique opportunity for transforming the conventional stormwater networks to smart
214 and modern systems that adapt the operation to the great vision of sustainable and smart cities. Most
215 importantly, the proposed intelligent architecture targets the feedback with the operation level of the
216 system and not the design level, an ability which helps the municipalities to build a highly efficient,
217 adaptive and economic storm network without the need to execute the cost prohibitive replacement of
218 existing in-place infrastructure.

219 To ensure system-wide dynamic and optimality, it is of importance to implement and link the
220 optimization algorithms at each layer of the SWM network to local controllers. This conceptual
221 research aims to understand the link between a multi-agent optimization model and optimal controllers
222 at all layers of the stormwater drainage network. *However, the global optimality of storm flow over the*
223 *network is important, and in general, a network needs to be resilient to be able to bounce back after*
224 *disruptive events (Saadat et al. 2019). This can be achieved by linking the optimization model with*
225 *local intelligent controllers at all layers of the drainage network.*

226

227 **3. Solution Approach: Stormwater Intelligent Management (swIm)**

228 An efficient solution to actively manage the distributed SWM systems could be considered a
229 control, optimization, and communication architecture that integrates spatio-temporal precipitation data
230 and real-time control decision set-points into a network of distributed stormwater system assets. In this
231 approach, a unique solution will be investigated that allows a) a dynamic flow scheduling system based
232 on both short-term (weather prediction) and long-term (climate change) precipitation data, b) real-time
233 optimization that can be integrated with several quality control rules, c) an infrastructure that enables
234 interaction between local and supervisory controllers and d) a multi-disciplinary managerial approach
235 to control detention time, erosion and flooding across the network. So here, we investigate the proposed
236 architecture by which the innovative notion of learning in real-time control of stormwater management
237 systems will be introduced, where IoT-enabled devices utilize data-driven models to train real-time and
238 historical data to discover the hydraulic attributes of the network in terms of availability, flexibility and
239 response behavior against the adverse and undesirable environmental events. The new technological
240 concept would have the potential to significantly reduce the system-level issues related to network
241 capacity and water quality, and also allows for adaptive management of urban stormwater, making the
242 municipal SWM network ready for high-volume flash runoff during extreme weather. This technology
243 would be capable of controlling stormwater drainage networks globally, predictively, and adaptively to
244 enhance the flexibility and resilience of the stormwater system and build an intelligent framework that
245 serves the future smart and sustainable cities.

246 More precisely, this introduced novel concept consists of a stormwater control optimization
247 architecture (swIm) which is high-performance, adaptive, and intelligent that balances the network flow
248 dynamics and environmental demand in real-time over multiple levels of the stormwater management
249 system, incorporating meteorological conditions, water quality, and network reliability requirements.
250 This novel SWM architecture involves hydraulically linked flow optimization routines across a three-
251 layer hierarchy of a SWM network: Catchment, sub-catchments, and local scale. Model Predictive
252 Control (MPC) and Adaptive/Approximate Dynamic Programming (ADP) methods joined with
253 integrated Real-Time Optimal Flow (RT-OF) model and quality control rules to meet the requirements
254 of municipal regulations with different performance criteria. The distributed architecture also
255 accommodates runoff dynamic into stormwater storage units operation over the storm sewer network
256 which is connected to a cloud-based data of system parameters, environmental states, and generated
257 set-points, to enable transferring it from a static-state to an adaptive, distributed, and dynamic network.
258 Moreover, this distributed optimization and control paradigm provides an economic alternative to the
259 cost-prohibitive urban infrastructure replacement solution. Most importantly, it allows the network
260 operators to learn from historical events for generating optimal flow schedules when facing unexpected
261 extreme precipitations, which finally realizes sustainable and predictive management of urban
262 stormwater.

263 **3.1. Conceptual Architecture**

264 In the introduced multi-layer architecture, taking the hydraulic/hydrologic constraints into account,
 265 the methods of rainfall-runoff modeling are embedded into the optimization problem. Furthermore, a
 266 supervisory control concept is presented at three layers, which aggregates many small units to larger
 267 units and supervision of local controllers. This approach reduces the complexity of the optimization
 268 problem and allows defining significantly smaller time-steps to generate flow set-points at each local
 269 controller. Also, it augments existing infrastructure with intelligent control algorithms and more
 270 complex infrastructure (to add flexibility to the network) and thus allows network controllers to manage
 271 the flow appropriately between time-critical and non-time-critical contingencies. Fig.1 illustrates the
 272 overall schematics of the three-layer optimization architecture. As illustrated in Fig.1, there are three
 273 hierarchical levels for this optimization and control architecture. From bottom to top, the first level is
 274 the local actuators. At this level, the main focus is on dynamic control with the objective function to
 275 minimize the peak discharge at the outlets to mitigate the hydraulic shocks on the receiving streams
 276 and attenuate the flow hydrograph. At this level, all urban hydrology components incorporate the
 277 processes of higher flow transformation and the calculation of runoff towards the pipes. Subsequently,
 278 the hydraulic components simulate the flow in pipes in the SWM network. All of these processes can
 279 be simulated by the Stormwater Management Model (SWMM) (Rossman and Huber 2016) which is
 280 still the most widely used model in the scientific community and by urban hydrology engineers in North
 281 America. Thus, this model will be used to calculate the parameters associated with local storage
 282 facilities and finally generate the optimal outflow through the site-scale optimization model. At the
 283 catchment level (can be called system, global, or network level, too), the control will be on interactions
 284 between different local sections in terms of flow sharing to realize a balance between the available
 285 network capacity and the flow volume. It is assumed that system-wide planning has been already done
 286 on the system for siting and sizing the detention facilities. The optimal stormwater flow at this level

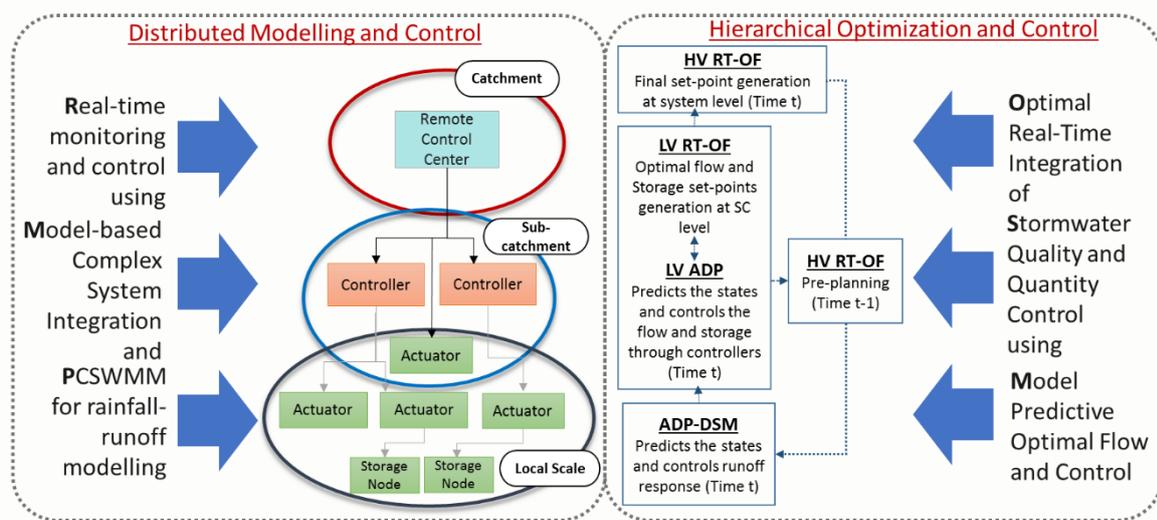


Figure 1: Conceptual Integration of Distributed Modeling and Control and Hierarchical Optimization and Control

287 updates the flow variables to better utilize the distributed system capacity through sub-catchment level

288 controllers. Both the local level management and the system-wide management are in collaboration at
289 the sub-catchment level where the performance of locally generated set-points are tested at the global-
290 scale to decide whether to proceed with the actual state of the system at the present time-step or the
291 global optimization should be performed. This approach allows significantly faster solution time while
292 reduces the efforts needed to apply on-line large-scale optimization algorithms which could be called
293 only when required.

294 The main purpose of the introduced intelligent architecture is to provide real-time optimization and
295 control at all layers in the SWM network and realizes a) efficient real-time management of urban runoff
296 at all levels of the SWM system; b) integration of quality control rules with hierarchical quantity control
297 optimization algorithms for system-level management; and c) adapts to the environmental variability
298 by embedding predictive and learning abilities along with intelligence to the system controllers. This
299 technical concept is a unique hierarchical-distributed modeling, control and optimization architecture
300 that involves a) a core analysis and integration of next-generation design, operations management, and
301 control initiatives; and b) integrated optimization architecture for system-level flow dynamics using
302 model-predictive control. Given all the aspects outlined above, the specific objectives to realize the
303 intelligent architecture approach over multiple layers of the stormwater management network can be
304 categorized into four parts:

305 **Objective 1)** To propose an optimization architecture and real-time control algorithms to control
306 the whole network of stormwater management systems, and design test case scenarios to validate the
307 hydraulic/hydrologic performance of the architecture on a standard case study with precipitation of
308 different characteristics from short and intense storm events that can produce rapid runoff in urban
309 areas, to long but less intense events that may produce a slower response in urban watersheds but result
310 in high flows in the river, and even flooding.

311 **Objective 2)** To develop the model predictive control algorithm and test it based on real-world data
312 developed in collaboration with the City and County of Honolulu in hydraulic/hydrologic simulations
313 (SWMM). Then, a comparison analysis between the performance criteria resulted from the
314 meteorological forecasting data (predictive control) and those of observation data (reactive control)
315 should be conducted.

316 **Objective 3)** To introduce a methodology that takes into account the uncertainties associated with
317 the rain forecasts in the stormwater RTC algorithms and then evaluate the robustness of the control
318 against these uncertainties.

319 **Objective 4)** To design and develop a process for creating a standard test-bed that simulates,
320 synthesizes, and tests project findings, methods, technologies and could be also employed to validate
321 other proposed investigations on SWM networks.

322

3.2. Key contributions of the conceptual methodology

The key contribution of the swIm approach is the ability of the global stormwater network optimization, on a predictive and dynamic basis. This is through implementing model predictive approximate dynamic programming based controllers and massively distributed optimization architecture which enables the intelligent control of the SWM network to operate efficiently and satisfying various modern network-level objectives optimally, with global sustainability. Other contributions include the ability of the overall optimization algorithm and the predictive control framework to adapt based on environmental variability and provides a novel method for real-time and predictive implementation so that maximum water flow control can be achieved at the same time satisfying the SWM system metrics (peak-flow reduction, pollutant removal, flow attenuation, response-time to extreme events, erosion control, etc.). Specifically: a) Proposed adaptive control architecture benefits from having system-centric controllers (controllers that are adaptive based on system and environmental changes) which provide a hierarchical-distributed framework for stormwater network control. This optimal control algorithm is capable of changing the characteristics based on value priority scheme from stochastic to deterministic control, b) Proposed distributed real-time flow optimization can perform predictable and stochastic modeling of large scale system architectures whose components have the ability to learn from historical data to perform efficiently in response to any type of external event and, c) the distributed processing of RT-OF can make the architecture highly dynamic, stochastic which improves accuracy, speeds up and controls resolution.

3.3. Methodology

The key concept of integrated optimization and predictive control is the treatment of network storage nodes as a stormwater basin that interacts between the local discharge/storage management (DSM) side and the network side. The local discharge/storage side can be termed as a controllable flow side and the network side as a stormwater flow optimization side. The interaction between these two sides (Fig.2) provides dynamic stochastic optimal stormwater flow architecture with controllable options. At the local discharge/storage side, controllable and movable outlets are included. The controllable release/detention at this side is represented as U_C . At the system side, water flow interactions and the optimal flow are included and represented as U_G . Depending on the hierarchical level the objective function for control and optimization changes at the various storage network nodes described below:

- 1- At the level of the local nodes, the management and the optimization of water flow is less critical than the global level. The most important requirement at this level is the optimal water quality management features that control the detention time to allow the settling process concerning storage unit capacity and the ability to transfer the flow based on real-time data capturing. Two types of nodes can be considered at this level; downstream storage units

359 (stormwater basin) and the intersectional storage nodes each with different physical
 360 characteristics.

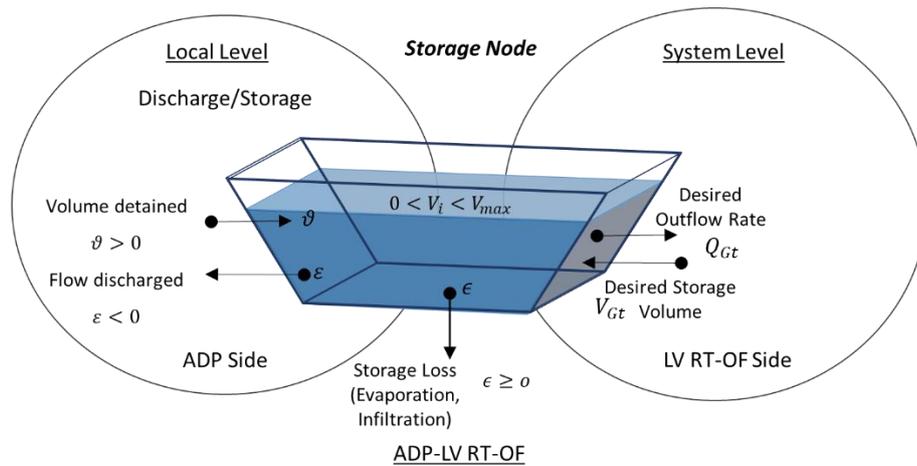
361 2- At the sub-catchment level, the local storage management and stormwater flow management
 362 are equally important. The objective of this level is to establish an optimal interaction between
 363 the local and systems-level while looking at regional network safety in terms of overflow
 364 prevention and pollutant load reduction.

365 3- At the catchment level, the main objective is to develop a stochastic optimal water flow
 366 architecture that includes both quality and quantity control strategies. Flow fluctuations control
 367 is the second priority which is considered to minimize the depreciation of the systems
 368 components facilities as well as the providence of energy consumption.

369 Fig.2 illustrates the proposed stormwater network node concept. As shown, Q_{Gt} and V_{Gt} are desired
 370 outflow rate and desired storage volume at each node respectively, ϑ_i , ϑ_i represents released flow and
 371 detained volume and ϵ_i represent losses due to evaporation and infiltration. Thus the storage level in
 372 the node x_i can be represented as a function of the flow balance as:

$$Q_{Gt}\Delta t + 2V_{Gt} = I_t\Delta t + I_{t-1}\Delta t + 2\vartheta_i - \epsilon_i\Delta t - \epsilon_i \quad \forall t = 1, \dots, L$$

373 where V_t represents the volume of water in the node at time step t (m^3).
 374



375
 376

Figure 2- Illustration of Storage Node and Interaction of ADP and LV RT-OF.

377 It should be noted that The state of the system is estimated by ADP and the status is distributed to
 378 the LV RT-OF for optimization. LV RT-OF then commands the desired flow rates and storage volume
 379 trajectories.

380 Considering all possible variations in flow and storage, the overall functional representation of the
 381 optimization and the control architecture at three levels is defined as follows:

- 382 1) ADP DSM (Fig.1) focuses on dynamic flow management with storage control options. The
 383 input to this controller is the system-level flow variables for the respective local actuator.
- 384 2) The High Volume Real-Time Optimal Flow (HV RT-OF) delivers the network side flow
 385 variables for each controller node (Fig.1).

- 386 3) After performing an optimal flow response, the ADP DSM provides updated and actual flow
 387 rates and storage volumes to the upper-level nodes. This actual flow and volume at the local
 388 level replaces the previously estimated and aggregated set-points which are used for final flow
 389 optimization (Fig.4).
- 390 4) At the Low Volume Real-Time Optimal Flow (LV RT-OF) and ADP controller structure, the
 391 inputs are the pre-planning catchment level inflow and the updated volumes and flow from the
 392 local level. The optimal storm flow then calculates the updated U where U is $U_G + U_C$. U_C
 393 is adjusted based on the control functions of the ADP.
- 394 5) The final output at the controller level is then transmitted to the HV RT-OF.
- 395 6) At the HV RT-OF level, the U from the controller will be utilized for generating the final flow
 396 set-points.

397 LV RT-OF updates each Δt and the optimization problem is solved for the horizon of $k\Delta t$. $\Delta T = m\Delta t$
 398 is the update time over the control horizon for HV RT-OF. The planning horizon time is $L\Delta T$ (Fig.3).

399 To implement the optimization and control architecture, the SWM network of closed pipes, storage,

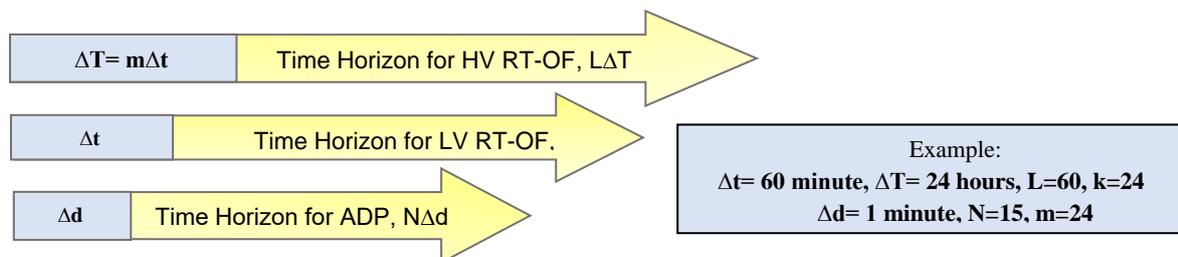


Figure 3- Computation and time horizon demonstration for different units.

400 gates, pumps, controllers, etc. needs to be modeled and integrated. Modeling the system is conducted
 401 using SWMM by U.S. EPA (Rossman and Huber 2016). A large-scale SWM network can be modeled
 402 in PCSWMM software to simulate the hydraulic/hydrologic processes of a watershed that contains
 403 hundreds of thousands of components, to perform an integrated analysis for design, operations
 404 management, monitoring, and control. Hydrological/hydraulic simulations will provide water levels
 405 and retention times in the stormwater basin, flow rates, and output velocities of storage units as well as
 406 peak flows, water levels, and velocities in the river, based on the valve opening values determined by
 407 the optimization problem. This simulation feature makes it possible to decompose complex system
 408 problems both hierarchically (vertically) and horizontally into relatively simple re-composable pieces.

409 Figures 4 and 5 illustrate the implementation architecture of the concept methods. Fig.4 shows the
 410 level of the local nodes, in which the proposed method allows us to control the active and reactive
 411 storage management considering sub-catchment level changes. Fig.5 illustrates the proposed system at
 412 the catchment scale that integrates the sub-catchment controllers to a remote control station with the
 413 help of optimization algorithms. The controllers will be interacting with local actuators and higher-
 414 level components at the sub-catchment level and ADP DSM interacts with quality control rules through
 415 the communication network.

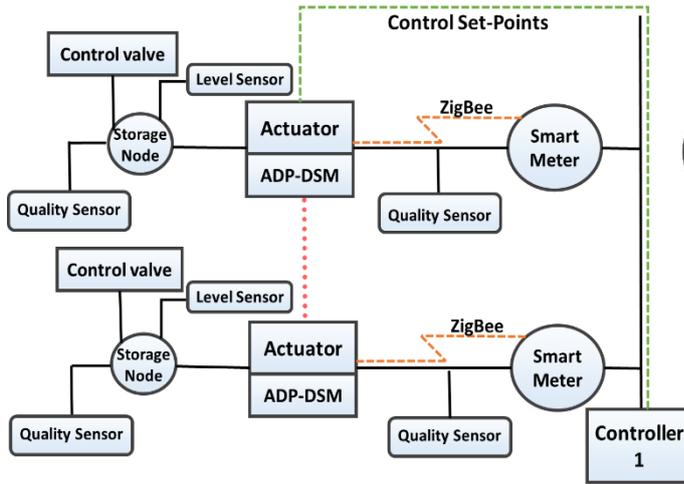


Figure 4- Implementing sub-catchment level control and optimization routine on the SWM network model.

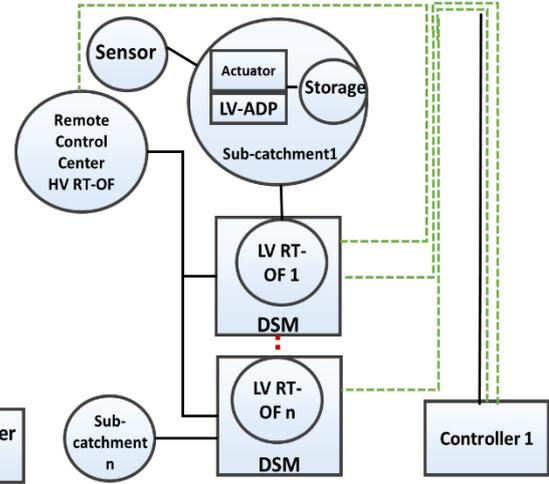


Figure 5-Implementing system level control and optimization routine on the SWM network.

417 3.3.1. ADP-DSM at the local level

418 Assume at time 't-1', an upcoming storm event is predicted which requires the storage nodes to
 419 create available volume. So, the local controllers decide to generate the outflow set-points based on the
 420 remaining time until the next rain event, the required volume, and the emptying time of the storage
 421 volume. We call this a pre-planning condition at time 't'. At the local level with real-time control and
 422 monitoring, first, Approximate Dynamic Programming (ADP) will be used to construct
 423 discharge/storage management (DSM). ADP DSM inputs are the simulated inflows to the network
 424 nodes that are resulted from the runoff journey over the network ($I_{i,t}$). The objective of the ADP DSM
 425 is to perform dynamic management between detained volume, the outflow discharge, and the runoff
 426 dynamics through an agent-based learning process from the environment.

427 The stormwater network node dynamics allows analyzing the amount of runoff required to be
 428 detained and the volume that needs to be discharged at that instant. The storage node dynamics can be
 429 represented as the mass balance equation at the system level. This can be represented as
 430 $Q_{i,t}\Delta t + 2V_{i,t} = I_{i,t}\Delta t + I_{i,t-1}\Delta t + 2V_{i,t-1} - Q_{i,t-1}\Delta t - \epsilon_t \quad \forall t = 1, \dots, m\Delta t$ where the volume of
 431 water in storage i at time t is $V_{i,t} \geq 0$, the inflow rate to storage i at time t is $I_{i,t}$ and, the outflow rate
 432 from the storage i at time t is $Q_{i,t}$ and, $0 \leq Q_{i,t} \leq Q_{max}$ where Q_{max} is the maximum allowable
 433 outflow. The capacity of each storage is limited and formulated as $\sum_t (I_t - Q_t)\Delta t + V_0 \leq V_{i,max}$ where
 434 $V_{i,max}$ is the maximum capacity of the storage i .

435 A model is used to select the fill/discharge cycle of the SWM storage unit. Based on this control
 436 selection, a model predictive controller works on the water storage regulation by controlling the amount
 437 of flow rate at the outlet of each node. The result of this interaction is the updated storage volume at
 438 the time instant. The updated volume ($V_{i,t}$) is fed to the optimization model. The objective of the
 439 optimization policy is, given the residual water volume profile and real-time data capturing, to find the
 440 optimal fill/discharge/idle schedule at each time-step which minimize the total outflow $\sum_i \sum_t (Q_{i,t})$.

441 **3.3.2. HV RT-OF/MPC Structure at the catchment Level**

442 The final planning stage will be executed by the HV RT-OF agent, which is optimizing the flow
 443 rate result under the network conditions. The objective of the optimization here is to perform dynamic
 444 management between end-of-the-network storage (we assume all the storage units at the downstream
 445 area are detention basins), the outflow discharge, and the runoff dynamics.

446 The HV-OF mainly works on the system level storage dynamics. At this level, the outflows
 447 represents the downstream discharges resulting from a simple abstraction of the whole stormwater
 448 drainage network (lumped approach) which enables a faster resolution time for the optimization
 449 algorithms. The ADP controller that solves the optimization problem for one horizon length starts the
 450 overall optimization cycle. Then ADPs are calculating DSM trajectories. Weather forecasting data to
 451 estimate future precipitation intensities across the watershed is provided by the remote control center
 452 for the horizon length. This data is also used as inputs to the hydrologic and hydraulic model to predict
 453 flow rates (and water levels if necessary) at different sites in the system. These flow rates and future
 454 water levels are calculated at the time step chosen for a time equivalent to the response time of the
 455 entire watershed (often called the forecast horizon). When there is not any inflow to the network (dry
 456 period) the control is based on the performance of quality control regulations, which are formulated
 457 based on $t_e = V_{req}/Q_{max}$, Where t_e is the emptying time of the storage until the availability of the
 458 storage volume V_{req} at maximum outflow Q_{max} (s). These rules define the outflow rates according to
 459 the thresholds identifying the detention time windows. In stormwater management studies the minimum
 460 desired detention time for allowing the sedimentation is 20 hours (Carpenter et al. 2014). On the other
 461 hand, there is a 40 hour limit as the maximum detention time after which almost no more settling
 462 process is realized (Gaborit et al. 2012).
 463

ADP formulation using DHP method with state estimation run at each $\Delta d = L\Delta t$

$$x(k+1) = F[x(k), u(k), k], k = 0, 1, \dots$$

$$J[x(i), i] = \sum_{k=1}^{\infty} \gamma^{k-i} U[x(k), u(k), k]$$

$$J^*[x] = \min_{u(k)} \{U(x(k), u(k)) + \gamma J^*(x(k+1))\}$$

$$u^*(k) = \arg J^*[x]$$

Bellman's optimality for continuous-time case

$$x(t+1) = F[x(t), u(t), t], t \geq t_0$$

$$J[x(i), i] = \int_{k=1}^{\infty} U(x(\tau), u(\tau)) d\tau$$

$$-\frac{\partial J^*(x(t))}{\partial t} = \min_u \left\{ U(x(t), u(t)) + \left(\frac{\partial J^*(x(t))}{\partial x(t)} \right)^T \times F(x(t), u(t), t) \right\}$$

$$= U(x(t), u^*(t), t) + \left(\frac{\partial J^*(x(t))}{\partial x(t)} \right)^T \times F(x(t), u^*(t), t)$$

Where:

x : State vector of the system

u : Control action

F : System function

U : Utility function

γ : Discount factor

J : Cost function

$u^*(k)$: Optimal control at time k

\hat{J} : The output of the critic network

E_D : Error measure of DHP over time

W_C : parameters of the critic network

k : Time-step

$$\min \{ \|E_D\| = \sum_k E_D(k) = \frac{1}{2} \sum_k \left[\frac{\partial \hat{J}(k)}{\partial x(k)} - \frac{\partial U(k)}{\partial x(k)} - \gamma \frac{\partial \hat{J}(k+1)}{\partial x(k)} \right]^2 \}$$

$$\frac{\partial \hat{J}(k)}{\partial x(k)} = \partial \hat{J}[x(k), u(k), k, W_C] / \partial x(k)$$

464

Integrated Predictive Quantity and Quality control formulation at each time-step for the time horizon of $L\Delta t$

$$\text{Min} \left\{ \sum_i \sum_t (Q_{i,t} + \xi * pp_{i,t} + \varphi * qq_{i,t}) \right\}$$

Subject to:

$$\sum_t (I_{i,t} - Q_{i,t}) \Delta t + V_{i,0} \leq V_{i,max} \quad \forall i = 1, 2, \dots, N$$

$$Q_{i,t} \Delta t + 2V_{i,t} = I_{i,t} \Delta t + I_{i,t-1} \Delta t + 2V_{i,t-1} - Q_{i,t-1} \Delta t \quad \forall t = 0, 1, \dots, L \ \& \ \forall i = 1, 2, \dots, N$$

$$V_{i,t} \geq 0 \quad \forall t = 0, 1, \dots, L \ \& \ \forall i = 1, 2, \dots, N$$

$$0 \leq Q_{i,t} \leq Q_{i,max} \quad \forall t = 0, 1, \dots, L \ \& \ \forall i = 1, 2, \dots, N$$

$$Q_{i,t} - Q_{i,t-1} = pp_{i,t} - qq_{i,t} \quad \forall t = 0, 1, \dots, L \ \& \ \forall i = 1, 2, \dots, N$$

$$pp_{i,t} \geq 0 \quad \forall t = 0, 1, \dots, L \ \& \ \forall i = 1, 2, \dots, N$$

$$qq_{i,t} \geq 0 \quad \forall t = 0, 1, \dots, L \ \& \ \forall i = 1, 2, \dots, N$$

Where:

$Q_{i,t}$ = outflow (decision variable) from storage node i at time step t (m^3/s);

$pp_{i,t}$ = negative variation of the set-point (continuous variable) associated to storage node i ;

$qq_{i,t}$ = positive variation of the set-point (continuous variable) associated to the storage node i ;

ξ = weight associated to the positive variation $pp_{i,t}$;

φ = weight associated with the negative variation $qq_{i,t}$;

L = number of time steps in the control horizon;

$I_{i,t}$ = inflow to storage node i at time step t (m^3/s);

$V_{i,t}$ = volume of water in the storage node i at time step t (m^3);

$V_{i,max}$ = maximum volume capacity of storage node i (m^3);

Δt = difference of t between two time steps (s);

$V_{i,0}$ = initial volume of water in storage node i (m^3);

$Q_{i,max}$ = maximum allowable outflow from storage node i (m^3/s);

N = number of controlled storage node in the drainage network.

465

466 Having these mathematical models and the time until the start of the next predicted storm event

467 $t_{next\ rain}$, the rules are defined as if $t_{next\ rain} \leq t_e \rightarrow Q_t = Q_{max}$, if $t_e < t_{next\ rain} \leq t_e + 20h \rightarrow$

468 $Q_t = Q_{max} * \frac{t_e}{t_{next\ rain} - t_f}$, if $t_e + 20h < t_{next\ rain} < 40h + t_e^{max} \rightarrow Q_t = Q_{max} * \frac{t_e + 20h}{t_{next\ rain} - t_f}$ or

469 if $t_{next\ rain} \geq 40h + t_e^{max} \rightarrow$ for $\forall t < 40h \quad Q_t = 0$ and for $\forall t \in (40h, 40h + t_e^{max}) \quad Q_t =$

470 $Q_{max} * \frac{t_e}{t_e^{max}}$ $\forall t \in (40h, 40h + t_e^{max})$, Where t_f is the time that the previous rainfall event finished

471 (s), t_e^{max} is emptying time of the whole basin at the maximum outflow Q_{max} (s) and V_{req} is the required

472 storage volume for the next coming rainfall event to avoid any overflow in the basin (m^3) (Shishegar et

473 al. 2019a). Distributing the resulting flow trajectories in both wet and dry periods, the LV RT-OF at
474 each sub-catchment computes the data for the actual horizon length including the storage volume, and
475 flow rates (ADP formulation). With the feasible sub-catchment flow trajectories, the system-level
476 optimization process calculates the final flow planning (Integrated predictive formulation).

477

478 **4. Preliminary Results**

479 Many overflow structures are located on the studied watershed in the southeast of Canada and several
480 overflows are observed, particularly in the municipal area. Between 1984 and 2017, more than 160
481 floods were recorded in this territory. Also, 59% of the shorelines of the studied streams at this
482 watershed are considerably degraded, particularly affected by erosion and the high concentration of
483 phosphorus in the sediments while its quality is degrading by its passage from the city. Furthermore,
484 according to Ouranos (2015), this region will be affected by climate change through having more
485 precipitation by 2050, more runoff flows, as well as earlier and less predictable floods. In summer,
486 higher temperatures, lower water levels, and sudden severe storms will be more probable in the future.
487 This makes this area an interesting case study for the primary evaluation of the proposed framework.
488 Fig.6 illustrates the optimal discharge/storage schedule of downstream storage units. Employing the
489 integrated quality and quantity control framework, the flow schedule is optimized in such a way that
490 the water is detained during the dry periods or less intense storm events and discharged during the wet
491 periods. For some hours the outlet actuator is idle ($Q = 0$ and $V = 0$). This is the time at which either
492 the settling process has been already realized or there is not any upcoming storm event predicted. This
493 enables an optimal quantity and quality control performance for the local actuators while providing
494 scheduled flow rates for the sub-catchment controllers based on the optimal management set-points.

495 Second, the performance of the RT optimization architecture is assessed in practice, by reproducing
496 the impacts of climate change on the precipitation data series of the next 30 years, based on the proposed
497 methodology demonstrated by Ouranos (2015). In this case, as the system receives high runoff inflows
498 on May 23 (Fig.7.a), the optimization architecture decides to assign a flow rate at a low percentage in
499 the wet period (May 23-26) to prevent any overflow in the storage node. While during the original rain
500 event (without CC), the water is detained for a certain amount of time to allow the settling process. It
501 means that, in critical situations, the integrated RT strategy prioritizes the quantity control measures
502 (avoiding overflow) over the quality control ones (retaining water). Looking at the water volume
503 variation (Fig.7.b), it can be seen that the storage capacity of the basin reaches its maximum. In this
504 case, although detaining water could result in improving the quality of discharged flow, it could also
505 result in system overflow and even elevated peak flows to the receiving stream. Hence, the designed
506 algorithm performs in a way that, besides providing peak flow reduction, it generates optimized
507 detention times except when there is a risk of capacity exceedance. The efficiency of the system
508 performance in mitigating the peak flows for the illustrated period in Fig.7, is calculated as 78%. This

509 preliminary result shows that the system is responding well to the climate variations while considering
 510 SWM infrastructure limitations, to satisfy all system constraints, and enhance both quality and quantity
 511 control performances. These results can be extended to the whole network of stormwater management
 512 at the watershed level to control the operations of each single storage node to achieve the global
 513 optimality.

514

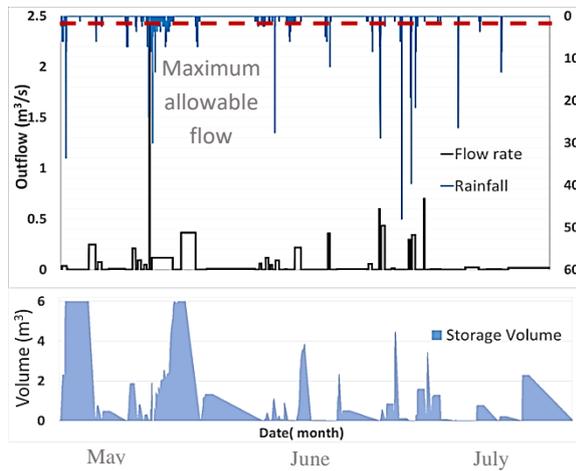


Figure 6- Discharge/storage Schedule During Three Months

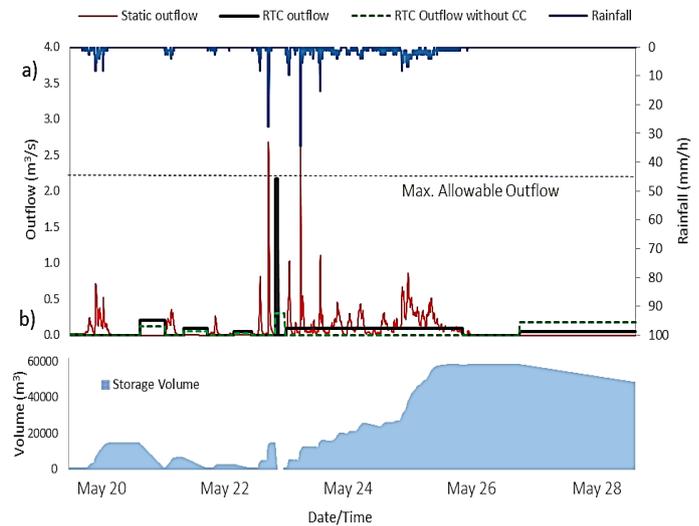
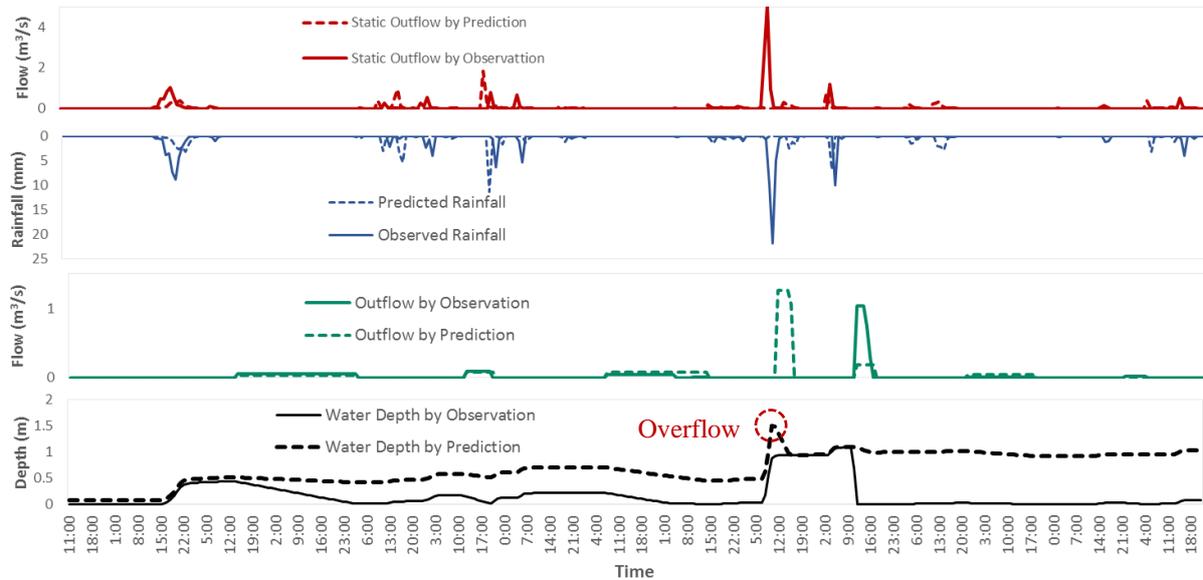


Figure 7- a) Flow Hydrographs Resulted From Static Control Approach vs. RTC Optimization, b) Detained Volume at the Storage Unit Under Presence of Climate Change

515 5. Uncertainty Analysis

516 Investigating rainfall-runoff models has always been engaged with uncertainties that originated
 517 from measurement errors in rainfall historical data. The meteorological forecasting data generated
 518 based on such historical data are also contaminated by inherent uncertainties engaged in the rainfall
 519 time series, and since rainfall is considered as the main input data in rainfall-runoff problems, several
 520 deficiencies would be imposed on the performance of the final system. In our study, storage node
 521 overflow is the most probable system failure that may occur following the lack of proper uncertainty
 522 analysis. Fig.8 shows the performance of smart dynamic control architecture on a single storage node
 523 when using rainfall prediction versus observation data. The observation data herein is employed as the
 524 perfect prediction input parameter for the model. In studies engaged with meteorological forecasting
 525 data, the observation is often used to avoid any forecasting error uncertainties, which helps to simplify
 526 the hyper-complexity of spatio-temporal variabilities of rainfall patterns. Hence, the outflow schedule
 527 shown obtained under observation data in Fig.8 could be considered as a reliable scenario. As
 528 illustrated, a significant rainfall event has not properly been predicted by the forecasting model at
 529 around 8 am. Given the variability of the weather condition especially due to climate change, there is a
 530 possibility of not providing enough volume capacity in system storage nodes for an upcoming extreme
 531 event because of not forecasting it. A failure in on-time discharge of trapped water may result in system
 532 failure and storage overflow, which causes an overflow and shallow local flooding. Therefore, before

533 the acknowledgment of the uncertainty, proper reliability analysis and procedures should be developed
 534 to further generate a realistic flow rate schedule. In such circumstances, considering stochastic
 535 optimization techniques could be beneficial to take into account different scenarios and optimize the
 536 imposed failure costs on the system. Even though these kinds of analysis hinder municipalities to
 537 economize on system expenses under normalcy, it would provide strong implications for decision-
 538 makers to prevent cost-intensive system failures over the urbanized areas.



539 Figure 8- Comparison of Smart Control Approach Performance Under Uncertain (prediction data) and Reliable (observation
 540 data) Conditions
 541

542 6. Conclusion

543 A novel adaptive and intelligent stormwater control optimization architecture is conceptualized in
 544 this paper to balance the network flow dynamics and environmental demand in real-time over multiple
 545 levels of the stormwater management (SWM) system. The proposed architecture uses an integrated
 546 model predictive control (MPC) with real-time flow control consideration. All the interconnected
 547 components act based on the introduced intelligent stormwater control at different levels which realizes
 548 adaptive and sustainable management of urban runoff based on climate and urban variability. This
 549 platform allows stochastic dynamic optimal control with optimal water flow. Although the proposed
 550 methodology is critical, it proves to be the solution for transforming the next generation of urban water
 551 networks. Further, the proposed effort will be a first-time venture to provide feasible, scalable, and
 552 implementable stormwater system control and optimization infrastructure. This concept advances the
 553 state of the art and substantially improves SWM system adaptation against environmental variabilities,
 554 strategies for system-level storage, and the infrastructure for next-generation smart stormwater network
 555 options.

556 The presented architecture is unique as it allows flow management based on runoff dynamics and
557 the optimal control of storage units over the stormwater management network. Furthermore, due to the
558 hierarchical agent interaction, this architecture will allow real-time updates of the water flows and
559 allows area controller interactions between local and area controllers.

560 The long-term research goal will be twofold. The first part will be to enhance the developed
561 algorithms to address other aspects of the stormwater network such as resilience and reliability.
562 Secondly, the benefits of a large SWM network with a diverse use of IoT devices, sensors, and control
563 valves can be investigated. It is needed to understand and quantify the overall value of the global SWM
564 network optimization. This perspective opens the opportunities for more multidisciplinary research in
565 the topic to integrate environmental, mechanical, and control disciplines.

566

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571

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