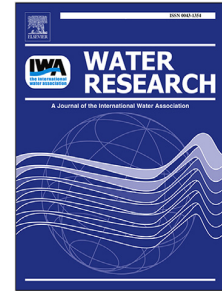


Journal Pre-proof

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Highlights

- Formulation of a two-player optimisation for RWH and flood mitigation system design.
- Utilises generalised rainfall parameters, reducing need for high resolution data.
- System design, catchment type and climate independent system design framework.
- Outperforms traditional design methods, eliminating overflow events in simulation.
- 32% improvement in harvested water yields in comparison to traditional systems.

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1 Robust optimisation of combined rainwater harvesting 2 and flood mitigation systems

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4 Abstract

Combined large-scale rainwater harvesting (RWH) and flood-mitigation systems are promising as a sustainable water management strategy in urban areas. These are multi-purpose infrastructure that not only provide a secondary, localised water resource, but can also reduce discharge and hence loads on any downstream wastewater networks if these are integrated into the wider water network. However, the performance of these systems is dependent on the specific design used for its local catchment which can vary significantly between different implementations. A multitude of design strategies exist, however, there is no universally accepted standard framework. To tackle these issues, this paper presents a two-player optimisation framework which utilises a stochastic design optimisation model and a competing, high intensity rainfall design model to optimise passively operated RWH systems. A customisable tool set is provided, under which optimisation models specific to a given catchment can be built quickly. This reduces the barriers to implementing computationally complex sizing strategies and encouraging more resource-efficient systems to be built. The framework was applied to a densely populated high-rise residential estate, eliminating overflow events from historical rainfall. The optimised configuration resulted in a 32% increase in harvested water yield, but its ability to meet irrigation demands was limited by the operational levels of the treatment pump. Hence, with the inclusion of operational levels in the optimisation model, the framework can provide an efficient large-scale RWH system that is capable of simultaneously meeting water demands and reducing stresses within and beyond its local catchment.

5 *Keywords:* Rainwater harvesting, Flood mitigation, Robust stochastic
6 optimisation, Sustainable environmental engineering, Decision tool, Urban
7 residential estates

8 1. Introduction

9 Rainwater harvesting (RWH) systems are a strong candidate for sustainable
10 urban water management infrastructure as they allow both the provision of a
11 secondary water resource to tackle issues of increasing water demands, and pro-
12 tection against localised flooding when rainfall intensities and volumes increase

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13 with climate change[1, 2]. This is increasingly important with climate change
14 heightening water stresses around the globe, with both the number and sever-
15 ity of extreme weather events rising steadily. The UN Office for Disaster Risk
16 Reduction found that, between 2011-21, 75% of people who were affected by
17 natural disasters were impacted by droughts or flooding[3]. Water conservation
18 through efficient use of existing water resources, along with effective flood man-
19 agement strategies, are key towards minimising losses that may occur following
20 these extreme weather events[4].

21 The system of interest in this study is a RWH and flood mitigation system
22 that is also connected to the wastewater treatment network, hereon referred to
23 as a large-scale RWH system. This is differentiated from smaller, harvesting-
24 focused systems which are typically implemented on the domestic household
25 scale. However, the implementation of these large-scale RWH systems, espe-
26 cially in densely populated and highly developed urban areas, has been slow for
27 its potential[5]. This can be attributed to difficulties in the standardization and
28 hence sharing of knowledge and expertise for these systems[6]. Performance
29 guarantees necessary for investments to be made can be difficult to achieve
30 without expert knowledge or detailed simulations for each RWH system imple-
31 mentation and can involve lengthy processes that only add to the barriers for
32 implementing these systems[7, 8].

33 The performance of integrated RWH-flood mitigation systems is highly sensi-
34 tive to its local environment and this is reflective in the range of possible
35 system designs seen around the world[9, 10]. This is a key contributor towards
36 the difficulties in sharing expertise for these systems[11, 12]. Hence, appropri-
37 ately sizing these systems for their catchment of service remains a significant
38 challenge for urban planners and water managers around the globe. The de-
39 sign of RWH systems are key towards their effectiveness as a sustainable urban
40 water management strategy, especially when they are expected to be operated
41 passively[13]. A one-size-fits-all solution therefore does not exist and each im-
42 plementation of a large-scale RWH system would require significant effort to
43 guarantee that the configuration of the system infrastructure would not only
44 be cost-effective, but also be able to adequately satisfy both the local water
45 reuse and flood prevention objectives. Whilst a multitude of simulation and
46 optimisation models have been developed to evaluate system performance and
47 design high-performance systems, these are not easily transferable or applicable
48 between catchments and specific RWH system implementations. Thus a gap
49 remains for a standardised strategy for designing RWH systems[14].

50 Cities, industry partners, and academics alike have sought to address the
51 challenge of adequately sizing RWH systems within the realms of their abilities
52 and available resources. As such, there exists a wide range of sizing strategies
53 which vary widely in their complexity. On one hand, design guidelines laid out
54 by cities and other urban centres typically present highly simplified methods
55 with the aim of decreasing the barriers towards implementing these systems.
56 This is seen in the system sizing guidelines used in Germany and Portugal[15]
57 where RWH systems are sized using generalised parameters such as annual non-
58 potable water demand and/or annual rainwater yield. These design strategies

59 can lead to unforeseen failures or stresses in the resulting system design since
60 rainfall seasonality and short-term tail-events are not at all considered[1].

61 Conversely, strategies developed by industry partners and academic stud-
62 ies would commonly look to develop more complex algorithms and models
63 since these institutions are normally better equipped, with greater access to
64 computational resources and expertise. These methods can be divided gener-
65 ally into simulation-model-focused approaches, and optimisation-model-focused
66 approaches. Simulation-based approaches[16, 17] use models to derive values
67 for specific desired key-performance indicators for an indicative rainfall profile,
68 recording the changes over a range of possible tank sizes and graphically iden-
69 tifying an optimal selection[18]. Common indicators used include measures of
70 reliability[19], supply efficiency[1], and water savings[20, 21]. More sophisticated
71 models that use probabilistic and/or optimisation methods have since also been
72 shown to be capable of determining an optimal RWH tank system, with the
73 objectives typically minimising total costs [22, 23], or in deriving an estimated
74 probability of satisfying local water demands [24] or overflow volumes[25, 26].

75 However, existing models tend to have low time resolution, which could be
76 sufficient if the objective was solely to optimise for a system size suitable for
77 satisfying local water demands. Within that scope, the simulation time step was
78 found to be insignificant [27] and a coarsely discretized mass balance such as the
79 Yield-After-Spill or Yield-Before-Spill algorithms using daily or monthly rain-
80 fall would be adequate for estimating an optimal system size[28]. Under these
81 models, the possibility of using RWH systems as a flood mitigation strategy
82 through the use of coarse time resolution models is hence at best a secondary
83 objective, rather than an objective of equivalent priority. In order to capture the
84 occurrence of flash floods, which occur within the time frame of hours instead
85 of days[29], models that have higher temporal resolution are needed.

86 More recently, there has been increased interest in game-theoretic methods
87 in optimisation, especially for problems with multiple stakeholders with indi-
88 vidual objectives [30]. Game theory is commonly understood as the mathemat-
89 ical modelling of interactions and strategies amongst rational agents, allowing
90 the characterisation of how choices of one agent can impact that of another.
91 This is an attractive feature as most global optimisation strategies have the
92 implicit assumption that there is complete information, with clear strategies
93 and mechanisms for finding a consensus between the multiple objectives [31].
94 More specifically to water management systems, game theoretic optimisation
95 approaches have been studied as a water resource allocation strategy and have
96 been applied to the control and operation of a reservoir[32], a river basin[33],
97 and drinking water transport networks[34]. Results from these studies have
98 consistently shown that game theoretic optimisation can improve the both the
99 individual and overall benefits received by their stakeholders and reduce the
100 overall computational time to solution.

101 This paper presents a two-player game-theoretic optimisation framework
102 for sizing passively-operated RWH systems, which implements two compet-
103 ing optimisation models to ensure that a robust system configuration is de-
104 rived. Alternative strategies towards generating synthetic rainfall data would

105 require detailed, statistical simulations of the rainfall process which can be time-
106 consuming, with the quality dependent on the available rainfall data[35]. The
107 competitive game allows an efficient derivation of rainfall patterns which re-
108 moves the need for high resolution historical rainfall data for the optimisation-
109 based sizing strategy to work effectively. This is aimed at improving the RWH
110 system design process, allowing system designers to quickly derive an optimal
111 design configuration using only a set of generalised rainfall parameters from the
112 local catchment and a range of candidate system parameters. This work builds
113 on the literature by providing novel presentations of:

- 114 • An intuitive tool which allows optimisation models to be built and cus-
115 tomised for individual large-scale RWH systems.
- 116 • An optimisation-based system design and sizing strategy that minimises
117 the prerequisites of familiarity and expertise in optimisation and compu-
118 tational methods.
- 119 • Reducing reliance of optimal system sizing on the accessibility and avail-
120 ability of high-resolution rainfall data.

121 These highlighted areas would contribute towards reducing the barriers to im-
122 plementation and encourage improved designs of sustainable and efficient large-
123 scale RWH systems in urban settings.

124 The rest of the paper is organised as follows. Section 2 describes the method-
125 ology and components of the two-player optimisation framework and outlines a
126 case study to which the framework has been applied. Section 3 demonstrates
127 the key results in characterising the behaviours of the framework and the perfor-
128 mance of the derived systems in comparison to alternative system sizing method-
129 ologies. Finally, Section 4 summarises the main conclusions, areas for improve-
130 ments to the proposed framework, and its associated future developments.

131 2. Methods

132 A two-player approach is presented in this paper for optimally sizing and de-
133 signing a multi-tank rainwater harvesting system, following a competitive game
134 framework with two opposing players. The framework is implemented in Python
135 using the Pyomo library[36] and the code is available upon request. Player One
136 is a stochastic design optimisation model where its output strategy set is in
137 the form of optimal system configurations, seeking an optimal tank design for
138 a given set of rainfall patterns. Player Two is a deterministic optimisation model
139 that derives a high intensity, high volume rainfall signal that can overwhelm a
140 given tank design. Therefore, Player One's objectives are to minimise overflow
141 volumes and maximise rainwater yield over all rainfall input scenarios designed
142 by Player Two, whilst Player Two aims to design a rainfall signal that would
143 result in the maximum volume of overflow in the system configuration played
144 by Player One.

145 The overall workflow of the two-player framework is shown in Figure 1. The
146 algorithm begins with Player Two designing a rainfall signal which results in
147 the highest overflow volumes for the smallest system capacity from Player One's

148 set of possible strategies. Player One then uses that rainfall signal to design a
 149 system configuration which minimises overflow volumes. With each rainfall
 150 profile designed in each iteration by Player Two, it is added to the set Player
 151 One considers in its optimisation process. This continues until one of the two
 152 possible convergence criteria is reached:

- 153 (a) When Player Two is unable to find a rainfall pattern within the stipulated
 154 bounds that can generate overflow above a given acceptable threshold in
 155 the system configuration derived by Player One.
 156 (b) When Player One produces the same tank configuration as in the pre-
 157 vious iteration, signifying that it is not possible to achieve any further
 158 improvements to the overflow reduction performance through the system
 159 design.

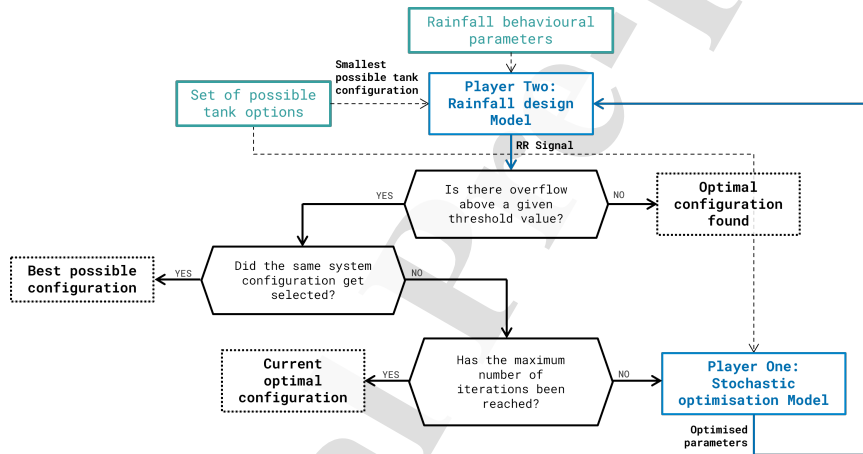


Figure 1: Flowchart summarising the proposed Two-player workflow.

160 A case study system based on an existing large-scale RWH system is used
 161 to demonstrate the behaviours and performance of the proposed two-player de-
 162 sign framework. The behaviours of the algorithm under various possible sets
 163 of user inputs are then characterised to ensure the framework behaves as in-
 164 tended. A selection of output system configurations are then evaluated using a
 165 simulation model to determine the effectiveness of the algorithm in producing
 166 well-performing RWH system configurations.

167 The following subsections present the components of the two-player frame-
 168 work in further detail. Section 2.1 demonstrates the system configuration used
 169 to illustrate the working principles of the proposed two-player framework. De-
 170 tailed formulations of the constraints used in describing the system dynamics
 171 implemented in the optimisation models of both Player One and Two are then
 172 presented in Section 2.2 and further behavioural constraints for each player are
 173 described in Section 2.3 and Section 2.4. Finally, optimisation failure prevention
 174 and defaulting behaviours are outlined in Section 2.5 which helps to ensure the

175 framework is not inhibited by a lack of output solutions from the optimisation
 176 models, for example as a result of a lack of solution time.

177 2.1. Case study configuration

178 The system configuration used in this study is a passively operated, under-
 179 ground large-scale RWH system which comprises a total of four distinct storage
 180 tanks, each dedicated to a specific performance goal as illustrated in Figure 2.
 181 The system serves a densely populated, high-rise residential estate in a tropical
 182 climate and is connected to the wastewater network to prevent long-term water
 183 retention to minimise pest growth. The ‘Separation’ tank serves as the initial
 184 receiver and filters the water into the ‘Harvesting’ and ‘Detention’ tanks based
 185 on the size and height of the openings between these tanks. The ‘Detention’
 186 tank is the main container used to temporarily hold excess water to be discarded
 187 from the catchment before it is released into the downstream public wastewater
 188 network. The ‘Harvesting’ tank stores captured water for local reuse, whilst the
 189 ‘Treatment’ tank stores water that has been processed and is directly ready for
 190 use. The orifice which allows flows into the ‘Harvesting’ tank in this set up is
 191 designed to be above the bottom of the tank, such that any initial surface runoff
 192 containing sediments and dirt can be discarded, improving the cleanliness and
 quality of the water being harvested.

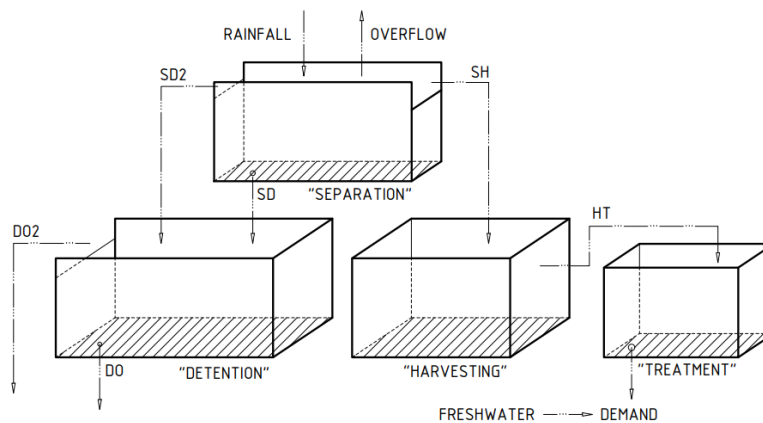


Figure 2: Multi-tank RWH system configuration.

193 Under this configuration, freshwater is used to supplement when there is
 194 insufficient volumes of water captured in the system to meet local non-potable
 195 water demand. In this study, the daily irrigation of green spaces within the
 196 residential estate is used as the only source of demand. This is assumed to
 197 be achieved through a drip irrigation system activated in the evenings when
 198 insolation levels are low. There are three main objectives for this system, which
 199 are:
 200

- 201 1. Minimise risk of surface overflows;

- 202 2. Minimise tank capacity required;
 203 3. Maximise water availability for local reuse.

204 The design variables for the optimisation models in Player One are therefore
 205 the tank areas and tank heights of all four tanks in the system, and the heights
 206 of the orifices that have an associated height parameter. More specifically, these
 207 are the flows that are labelled ‘SD2’, ‘SH’ and ‘DO2’ in Figure 2. Orifice areas
 208 are not implemented as a decision variable as these come in standard sizes and
 209 provide a smaller degree of freedom than the orifice heights. The inclusion of
 210 both the orifice heights and areas as decision variables would increase the size
 211 of the optimisation problem by introducing additional variables and a large set
 212 of constraints in accompaniment as more linearisations will be required. In this
 213 current implementation, the operational levels of the pump located at ‘HT’ are
 214 also not implemented as a decision variable, since this is viewed as an operational
 215 variable rather than a system design variable.

216 *2.2. Formulating optimisation model constraints for tank dynamics*

217 Both players in the algorithm abide by the same constraints surrounding the
 218 system dynamics. These include a mass balance for the tank, linear approxi-
 219 mations of orifice flow equations for each opening in the tank, the definition
 220 of when overflows occur in the tank, as well as a total discharge variable that
 221 adjusts the final outflow volumes to be consistent based on the available vol-
 222 ume of water available within the tank when there are multiple flow openings
 223 from the tank. The model is formulated as a Mixed Integer Linear Programme
 224 (MILP) to reduce the required computational time and increase the feasibility
 225 of the derived models. As the model is also stochastic, the problem size would
 226 increase exponentially as the number of scenarios increase, thus establishing
 227 that the derived model is linear is the most effective in ensuring that it remains
 228 tractable, especially in comparison to other optimisation model types such as
 229 the Mixed Integer Non-Linear Programme (MINLP), even if these may provide
 230 a more accurate representation of the system.

231 The code structure for the two-player algorithm is built around a core file de-
 232 scribing the system dynamics, which is used to build a few generic tank system
 233 blocks. These blocks allow for optimisation models for different tank config-
 234 urations to be built quickly and can be quickly populated with data specific
 235 to the configuration to form a viable optimisation model. These basic blocks
 236 are implemented by the model files for both optimisation models used in this
 237 two-player algorithm, which ensures both players are constrained by the same
 238 system dynamics.

239 The models are implemented in discrete time steps since rainfall data is
 240 typically collected using a relatively coarse temporal resolution. This however
 241 produces an inventory modelling problem where flows from the openings, which
 242 are dependent on the volume of water within the tank, V^t , can change within the
 243 large time delta between time steps, resulting in an inaccurate representation of
 244 the mass flow dynamics. Therefore, an optimistic-pessimistic index α and β for
 245 the inflows I^t and outflows O^t from the tank respectively is introduced in the

246 mass balance in Equation (1) as an offset of the inflows and outflows to better
 247 represent this phenomenon. The values of α and β are derived empirically to
 248 improve the model performance. Whilst the overflow volumes W^t are defined
 249 in this equation, this is insufficient to ensure that the model remains consistent,
 250 especially with the objective of maximising overflow volumes in the rainfall
 251 design model. Hence, a further definition of this behaviour is required and
 252 shown in Table 1.

$$V^{t+1} + W^{t+1} = \alpha(V^t + I^t + W^t) + (1 - \alpha)(V^{t+1} + I^{t+1} + W^{t+1}) - \beta O^t - (1 - \beta)O^{t+1} \quad (1)$$

253 The discharge volumes from each orifice are characterised through non-linear
 254 orifice flow equations, which are functions of the coefficient of discharge C_d ,
 255 orifice area θ_o , the gravitational constant g and the water level above the opening
 256 L^t in the form represented in Equation (2). However, the implementation of
 257 these equations would require the use of a Mixed Integer Non-Linear Programme
 258 (MINLP), which can be intractable and take a much longer solution time. To
 259 reduce the computational time and requirements of the derived optimisation
 260 models, a linear approximation is used in the form of Equation (3) such that a
 261 MILP can be implemented. The error resulting from such an approximation is
 262 low as the range of values used within these systems are typically limited by the
 263 depth in which these underground systems are allowed to reach. Since this is
 264 an approximation, the actual discharge from the tank is calculated later using a
 265 total discharge variable δ which ensures that the sum of all discharges calculated
 266 individually using Equation (3) is below the available volume of water in the
 267 tank at each time step.

$$D_o = C_d \theta_o \Delta T \sqrt{2g L^t} \quad (2)$$

$$D_o^t = C_d \theta_o L^t \Delta T \sqrt{2g} \quad (3)$$

269 These individual orifice discharge rates also need to be bound by the maxi-
 270 mum possible discharge rate of the orifice. This is dependent on the tank height,
 271 a decision variable, therefore these discharge bounds need to be implemented as
 272 constraints for the values to be calculated within the model.

273 The remaining tank dynamics, such as the flow through orifices that sit above
 274 the bottom of the tank, pump operations, and overflow volume definitions are
 275 conditional events and are described by discontinuous dynamic equations. A
 276 summary of the discontinuous dynamics that can occur in a RWH system is
 277 described in Table 1, which follows either the $f = \max(x, y)$ selection logic, or
 278 a cases formulation type. For example, overflow events are discontinuous since
 279 these can only occur when the sum of the net inflow and existing volumes of
 280 water exceeds the capacity of the tank and should have a value of zero otherwise.
 281 The discontinuous expressions need to be formulated into algebraic expressions
 282 since conditional expressions are not valid as optimisation constraints, which
 283 are discussed further below.

284 Equation (4) shows the formulation used to represent a max-value selection
 285 behaviour in the optimisation models, with minimisation behaviour following

Table 1: Dynamics and formulation types of discontinuous dynamics in RWH system.

Dynamics	Mathematical Representation	Formulation type
Conditional flows	$D_o^t = \begin{cases} C_d \theta_o \sqrt{2g} (L^t - \eta_o) \Delta T & L^t > \eta_o \\ 0 & L^t < \eta_o \end{cases}$	$\max(D_o^t, 0)$
Overflow	$W^t = \begin{cases} I^t - C & I^t - V > C \\ 0 & \text{otherwise} \end{cases}$	$\max(W^t, 0)$
Total Discharge	$\delta^t = \begin{cases} \delta_1 = V^t + I^t & \sum_o D_o^t > V^t + I^t \\ \delta_2 = \sum_o D_o^t & \text{otherwise} \end{cases}$	$\min(\delta_1, \delta_2)$
Pump (On/Off)	$D^t = \begin{cases} 0 & 0 \leq L^t \leq r_{off} \\ D^{t-1} & r_{off} \leq L^t \leq r_{on} \\ R & r_{on} \leq L^t \leq \bar{L}^t \end{cases}$	Cases

286 the opposite logic set. In this case, the selection logic assigns the variable f the
 287 value of x_1 or x_2 depending on which is larger, using the Big-M method where
 288 M is a large scalar value used to define a boundary that contains the feasible
 289 region of f , and ϕ is a binary variable that serves as the switch between the two
 290 possible values.

$$f = \max(x_1, x_2) \quad \text{generalised max equation} \quad (4)$$

$$f \geq x_1 \quad (4a)$$

$$f \geq x_2 \quad (4b)$$

$$f \leq x_1 + (1 - \phi)M \quad (4c)$$

$$f \leq x_2 + M\phi \quad (4d)$$

291 The second discontinuous event type of operational cases can be described
 292 through the behaviours of the pump, which moves water through the treatment
 293 system, operated using an on-off controller. The pump activates when the water
 294 level in the tank exceeds a high ‘on-point’ level and turns off when it falls
 295 below the ‘off-point’ threshold. If the water level lies between these two points,
 296 it maintains its previous state. This can be represented mathematically by
 297 Equation (5), which demonstrates three possible dynamic equations $f_i(x)$ for

298 each operational region in $i = \{1, 2, 3\}$.

$$D^t = \begin{cases} f_1(x^t) & a \leq x^t \leq b \\ f_2(x^t) & b \leq x^t \leq c \\ f_3(x^t) & c \leq x^t \leq d \end{cases} \quad \text{generalised case equation} \quad (5)$$

$$\rho_1^t + \rho_2^t + \rho_3^t = 1 \quad (5a)$$

$$f = f_1(x_1^t)\rho_1^t + f_2(x_2^t)\rho_2^t + f_3(x_3^t)\rho_3^t \quad (5b)$$

$$x^t = x_1^t + x_2^t + x_3^t \quad (5c)$$

$$a\rho_1^t < x^t < b\rho_1^t \quad (5d)$$

$$b\rho_2^t < x^t < c\rho_2^t \quad (5e)$$

$$c\rho_3^t < x^t < d\rho_3^t \quad (5f)$$

299 The operational region that the monitored value x^t lies in at time t is given
 300 by a binary variable ρ_i^t , which is determined through the set of Equations (5d)
 301 to (5f) which establishes the bounds that define each region. Equation (5a)
 302 stipulates that only one region can be selected at any one time, and the discharge
 303 function is finally calculated as a linear combination of the three case functions
 304 as in Equation (5b), where only one function should be activated at any one
 305 time, corresponding to the values of their binary variables.

306 Finally, to ensure that the model is physical, a volume conservation con-
 307 straint is implemented for each tank model. This follows the logic presented in
 308 Equation (6) and prevents the system from generating nonphysical sources of
 309 water within the model.

$$\begin{aligned} \alpha I_s^0 + (1 - \alpha)I_s^\tau - \beta\delta_s^0 - (1 - \beta)\delta_s^\tau + \sum_1^{\tau-1} I_s^t \\ = V_s^\tau - V_s^0 + (1 - \alpha)W_s^0 + \alpha W_s^\tau \end{aligned} \quad (6)$$

310 For both the stochastic design optimisation and the rainfall design models,
 311 additional model constraints are implemented to define their individual design
 312 spaces. The stochastic design model requires additional constraint definitions
 313 to aid the system parameter selection, whilst the rainfall design model requires
 314 generalised rainfall parameters that define the feasible space for generating rea-
 315 sonable rainfall patterns.

316 2.3. Player One: Stochastic design optimisation model

317 The stochastic optimisation model is given a set of possible values for each
 318 of the system design parameters, which are the tank areas, tank heights, and
 319 orifice heights. The model then selects an optimal system parameter set from
 320 this collection that would be best to handle the set of rainfall profiles considered
 321 in each iteration, further constrained through a given upper bound on the total
 322 system capacity.

323 The design optimisation model in Player One has been decomposed into in-
 324 dividual tank blocks, each corresponding to a single water tank in the multi-tank

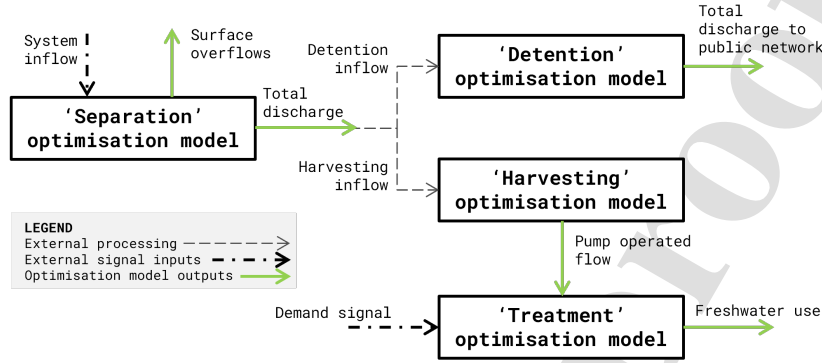


Figure 3: Flow of information between modularised optimisation models.

325 system presented in Section 2.1. This allows non-linear flows between tanks to be
 326 excluded from the optimisation models and processed using a Python function
 327 outside of the optimisation models, such that each individual tank optimisation
 328 model is implementable as a mixed integer linear programme (MILP)[37]. The
 329 interactions and flow of information between each individual optimisation model
 330 are demonstrated in Figure 3.

331 The modularised optimisation framework further allows the dedicated tanks
 332 to be designed accordingly with each of their corresponding individual purposes,
 333 on top of the overall system objectives outlined in Section 2.1. The specific tank
 334 purposes and their corresponding implemented model objectives of each of the
 335 component tanks for the multi-tank RWH system are shown in Table 2.

336 However, in the practical implementation of the schematic shown in Figure 3,
 337 the optimisation models solved first would see a larger allowable capacity, and
 338 hence be given a larger possible design space. Meanwhile, downstream tanks
 339 can only use any remaining allowable capacities to determine an optimal config-
 340 uration for their respective objectives. Hence, there is inherently a prioritisation
 341 and bias towards designing the tanks which are optimised first. This means that
 342 the ‘Separation’ tank, and its objective would inevitably be given the highest
 343 priority. As such, the model was designed to minimise surface overflows as this
 344 is a critical system objective. In the implemented case study, the next priority
 345 was to provide higher harvested water yields and satisfy demands. Therefore,
 346 the Harvesting and Treatment tank branches have been set to be solved next,
 347 with the Detention tank being implemented as the last step in the optimisation
 348 chain.

349 Each tank model is given a set of tank parameter options that it is allowed
 350 to select from to form an optimal tank configuration. This is implemented
 351 using a binary selection logic shown in Equation (7) for each system design
 352 parameter P^k , each with a possible set of n values $p_i^k = \{p_1^k, p_2^k, \dots, p_n^k\}$, and
 353 a corresponding set of binary variables $\psi_i^k = \{\psi_1^k, \psi_2^k, \dots, \psi_n^k\}$ to select one

Table 2: Summary of design objectives for individual tank components in the multi-tank RWH system.

Tank	Design Specifications	Model Objectives
Separation	<ul style="list-style-type: none"> • Prevent flooding on catchment surface. • Reduce required tank sizes. 	Minimise total overflow over all input scenarios, with a wasted capacity penalty. $\min \left(\sum_{t,S} W_S^t + P_C \right)$
Detention	<ul style="list-style-type: none"> • Ensure discharge from system is below allowable rates. 	Minimise tank capacity $\min (C + P_W)$
Harvesting	<ul style="list-style-type: none"> • Increase water availability • Increase volume of usable water 	Maximise pump output over all scenarios $\max \left(\sum_{t,S} D_s^t \right)$
Treatment	<ul style="list-style-type: none"> • Increase water availability • Satisfy local water demands 	Minimise freshwater use over all scenarios $\min \left(\sum_{t,S} F_S^t \right)$

354 optimal parameter value, as defined in Equation (8).

$$P^k = \sum_i P_i^k \psi_i^k \quad (7)$$

$$\sum_i \psi_i^k = 1 \quad (8)$$

355 The capacity C and volume V^t variables need to be defined such that the
 356 mass balance equations in Equation (1) and overflow equations in Table 1 can
 357 be represented linearly. As the tank area and tank heights of the system are
 358 decision variables and are defined through a binary selection of an optimal value
 359 from a given parameter set, the multiplication of these design variables needs
 360 to be defined through the following sets of constraints.

361 The relationship between the volume V^t and water levels L^t in the tank is

362 a function of the decision variable set $A = \sum a_i \lambda_i^a$, the tank area. Whilst this
 363 multiplication of variables results in a non-linear constraint, it can be linearised
 364 with the introduction of a dummy variable z_i^t and a large upper bound value M .
 365 The value of the upper bound value M needs to be sufficiently large to contain
 366 all possible values of L^t . The relationship is defined in Equation (9) and follows
 367 the logic set in Equations (10a) to (10d).

$$\text{function definition} \quad V^t = L^t A = L^t \sum_m a_m \lambda_m \quad (9)$$

368

$$\text{function implementation} \quad V^t = \sum_i a_m z_m^t \quad (10a)$$

$$z_m^t \leq \lambda_m M \quad (10b)$$

$$\text{dummy variable definitions} \quad z_m^t \leq L^t \quad (10c)$$

$$z_m^t \geq L^t - (1 - \lambda_m) M \quad (10d)$$

369 The volume variable is bound by the tank capacity and is a function of the
 370 discretised tank height $H = \sum h_i \phi_i^h$ and tank area A , as demonstrated in Equation
 371 (11). With the binary selection formulation of both decision variables, this
 372 can be similarly linearised into the form shown in Equation (12a) with the aid
 373 of a dummy variable $y_{m,j} = \lambda_m \phi_j$ that behaves according to the logic of multi-
 374 plying two binary variables, achieved through the set shown in Equations (12b)
 375 to (12d).

$$\text{function definition} \quad C = HA = \sum_i h_i \phi_i \sum_m a_m \lambda_m \quad (11)$$

376

$$\text{linear formulation} \quad C = \sum_{i,j} h_i a_j y_{im} \quad (12a)$$

$$y_{mj} \leq \lambda_m \quad (12b)$$

$$\text{dummy variable definitions} \quad y_{mj} \leq \psi_j \quad (12c)$$

$$y_{mj} \geq \lambda_m + \psi_j - 1 \quad (12d)$$

377 The height of the orifices η_o must be within the height of the tank. Since
 378 this is a design variable, the optimal orifice height needs to be determined by
 379 multiplying a scalar value ω in the range of $[0, 1]$ with the final selected orifice
 380 height, as defined in Equation (13). The algebraic formulation of this equation
 381 would follow the same logic as in the calculation of the capacity variable.

$$\eta_o = \sum_i \omega_i \psi_i H = \sum_i \omega_i \psi_i \sum_j h_j \phi_j \quad (13)$$

382 With the competing objectives of minimising surface overflows and min-
 383 imising tank capacities, penalties are designed for each of the individual tank

384 systems as a mechanism to adjust the prioritisation of the objectives within the
 385 models. For the ‘Separation’ tank, the objective is to minimise the total over-
 386 flows with the lowest possible tank capacity and a function was implemented
 387 to penalize any completely unused, and hence wasted tank capacities. This is
 388 realised by defining the maximum wasted tank capacity Ω_S as the difference
 389 between the tank capacity and the maximum volume of water held in the tank
 390 for each provided scenario, as in Equation (14) and assigning a penalty cost
 391 based on a tiered cost function, following Equation (15).

$$\Omega_S = C - \max V_S^t \quad (14)$$

$$P_C = \begin{cases} \rho_1 & 0 \leq \Omega_S \leq 0.1C \\ \rho_2 & 0.1C \leq \Omega_S \leq 0.5C \\ \rho_3 & 0.5C \leq \Omega_S \leq C \end{cases} \quad (15)$$

392 Finally, whilst the main objectives of the remaining tanks are not related
 393 to the surface overflows, overflows from these tanks would back-flow into their
 394 source tanks and can result in surface overflow. A threshold-based overflow
 395 penalty function is therefore implemented following Equation (17) which pe-
 396 nalises excess overflow volumes χ^t , defined as overflow volumes above a given
 397 threshold value ζ with a scalar cost C_W as shown in Equation (16).

$$\chi^t = \max(W^t - \zeta, 0) \quad (16)$$

$$P_W = \sum_t \chi^t C_W \quad (17)$$

398 These penalty functions are implemented to achieve a balance between the
 399 competing overall system objectives and individual component objectives and
 400 can be adjusted on an individual implementation basis to reflect the desired
 401 prioritisation and biases required in a given tank system design.

402 2.4. Player Two: Rainfall design model

403 Acting as Player Two in the framework, the rainfall design model is a second
 404 optimisation model which looks to maximise an overflow response for a given
 405 input system configuration. With the system presented in Section 2.1, the
 406 tank component responsible for directly demonstrating surface overflows is the
 407 ‘Separation’ tank. Hence, only this tank is implemented in the rainfall design
 408 optimisation model to reduce the complexity of the optimisation problem and
 409 in turn to reduce solution times.

410 By only implementing the ‘Separation’ tank in the rainfall design model in
 411 Player Two, the possibility of water not being able to flow into the downstream
 412 tanks when these are full is ignored. As such, the partial system model would
 413 provide a conservative calculation of overflow in comparison to a full system im-
 414 plementation. This means that all overflow calculated from this partial system
 415 model will result in overflows from a full model, but overflows could still occur
 416 for profiles which this model calculates no overflows for.

417 In ensuring the rainfall designed by the model are feasible, a set of gener-
 418 alised rainfall description parameters need to be implemented on top of the tank
 419 dynamics described in Section 2.2. Values of these parameters in this study are
 420 derived using historical data collected for the given service catchment area, and
 421 are:

- 422 • maximum simulation horizon volume;
- 423 • maximum 2-hour window volume;
- 424 • maximum increment and decrement rates between time steps;
- 425 • maximum volume in a single time step.

426 Other generalised parameters can also be utilised in the rainfall design model,
 427 such as the average rainfall volumes, or time-based constraints to dictate the
 428 shape of the derived rainfall, for example when rainfall would only occur during
 429 certain periods in the day, such as to represent different storm types. The rainfall
 430 design parameters used can be altered based on what data and information are
 431 available for the region, as long as the set is sufficient in characterising realistic
 432 rainfall patterns.

433 2.5. Failure prevention and substitution function

434 With the modularised design optimisation model, failures in the optimisation
 435 of downstream tanks can occur if there is no feasible combination of parameters
 436 from the parameter options after solutions have been found for the upstream
 437 tanks. The risk of such occurrences is reduced by reserving sufficient capacity
 438 for at least the smallest total capacity for all downstream tanks.

439 In the event of a failure, however, a set of parameters would still be required
 440 to allow the two-player algorithm to continue. As such, an output substitution
 441 function was implemented to return a set of tank parameters whenever an opti-
 442 misation model fails to output a feasible solution. After every tank optimisation
 443 attempt, the algorithm determines if a valid output has been produced. If the
 444 tank has downstream tanks, the optimisation model for these is skipped, and
 445 the source of the failure is recorded. This allows optimisation models for parallel
 446 flow streams to continue running.

447 The defaulting algorithm is called after all optimisation models have been
 448 attempted. This is implemented such that the derived substitute configuration
 449 would maximise the total allowable capacity of the system and distributes this
 450 capacity between the tanks within the set that needs substitute parameters.
 451 This procedure is outlined below.

- 452 1. Calculate the remaining capacity that the algorithm is allowed to assign,
 453 T_A , to the defaulting set S .
- 454 2. Determine a matrix C_j of possible capacities for each tank j in the set
 455 using their input parameters, and all possible total capacities T .

$$T_S = \sum_j C_j = \sum_j A_j H_j \quad (18)$$

- 456 3. Identify the selected capacity C_S , defined as the maximum possible ca-
 457 pacity from the parameter combinations, that is under the total capacity

458 threshold. This is achieved by finding the maximum element value in \mathbf{T}_s
 459 after setting all ineligible options to zero.

$$C_s = \max(\mathbf{T}_s > T_A) \quad (19)$$

- 460 4. If the size of set $S \geq 1$, find the set of individual tank capacities that
 461 has the lowest set variance to distribute the total capacity between all the
 462 tanks that are in the defaulting set S . This minimises presumptions made
 463 about the system behaviour and dynamics, providing a default configura-
 464 tion unbiased to any of its objectives.
- 465 5. For each tank, identify the row and column indices for elements in the
 466 matrix that corresponds to the capacity selected based on Equation (19).
 467 If there are multiple possible combinations of tank and area parameters
 468 which correspond to the same tank capacity, select the combination with
 469 the largest area parameter which should provide a lower outflow rate from
 470 the tank. This reduces the risk of overflows and stresses to any downstream
 471 tanks and systems.

472 In summary, the behaviour of the substitution function implements an in-
 473 tuitive design principle for the RWH systems. This sought to maximise the
 474 allowable capacity to reduce overflow risks, but also opting for a tank system
 475 which maximises the area parameter over the height parameter, which serves to
 476 reduce discharge rates that can result in downstream stresses.

477 3. Results and Discussion

478 In order to determine the performance and behaviours of the proposed algo-
 479 rithm under different possible input sets that a user might provide, the impact
 480 of two framework parameters were characterised using the case study described
 481 in Section 2.1. These framework parameters are:

- 482 • **Solution times:** The time limit provided for both optimisation models
 483 to find an optimal solution. Sufficient time should be given to ensure that
 484 the optimisation algorithm can search the given design spaces thoroughly,
 485 whereas a longer search time can help with identifying a higher-quality
 486 solution.
- 487 • **Convergence threshold:** The overflow volume at which the system is
 488 defined to have converged. For a system to be robust under the time
 489 step sizes of both the optimisation model and a high-resolution simulation
 490 model, this value would be zero.

491 The behaviour of each optimisation model parameter is characterised indi-
 492 vidually. An initial input set of parameters, denominated here as a ‘Control’
 493 experiment, is used as the basis from which parameter values are adjusted for
 494 each of the parameters characterised. This is shown in Table 4 and provides a
 495 platform for comparing behaviours between all characterisation experiments.

496 Each of the optimisation framework parameters is evaluated and discussed
 497 in the following subsections to characterise the behaviour of the two-player al-
 498 gorithm. This is measured using the following model behavioural indicators:

- 499 • **Time taken:** The total time required for the algorithm to complete,
500 whether this is through achieving convergence or in reaching the maxi-
501 mum possible number of iterations. This is ideally minimised to reduce
502 computational requirements.
- 503 • **Number of iterations:** The number of global iterations required to find
504 convergence. A smaller number of iterations would lead to faster solution
505 times. However, a larger iteration number does imply multiple rainfall
506 profiles have been used to determine the optimal system configuration,
507 and hence could be preferable as a measure of the reliability of the system
508 output.
- 509 • **Convergence and type:** Indicates whether convergence has been found
510 through the system design or rainfall overflow maximisation models. Con-
511 vergences from the rainfall design phase would be preferable for a robust
512 solution, whilst convergences in the design would provide the best possible
513 overflow reduction performance under the given design constraints.
- 514 • **Failures in stochastic design phase:** A list of tank nodes where no
515 solutions were found within the given time limits. Ideally, there would be
516 no failures in the optimisation models as that would allow the algorithm
517 to best be able to calculate an optimal balance for all the tank modules.

518 Finally, a selection of the derived system capacities from the characterisa-
519 tion experiments is evaluated for their performance under 700 different historical
520 rainfall profiles, which represents the upper-ranges of rainfall volumes that the
521 system can expect to service. This was executed using a high time-resolution
522 simulation model which represents the detailed system dynamics through im-
523 plementing mass balance and orifice flow equations. The rainfall profiles were
524 extracted, based on their date-stamp, from a historical time series to generate
525 24-hour long rainfall profile segments with timestep sizes of 5 minutes. Each
526 of these segments is utilised as a possible rainfall profile and simulated to de-
527 termine the performance of the system under a wide range of rainfall types it
528 can expect to manage. The performance metrics of interest for the case study
529 system, as outlined in Section 2.1 pertains to the system's ability to reduce
530 overflow risks, provide water availability, and satisfy a given irrigation demand.
531 These metrics and the system performances are discussed further in Section 3.4.

532 3.1. Impact of time limits

533 Both optimisation models will require sufficient time to find a solution, and
534 a lower time limit can reduce the solution quality as the optimiser may be
535 unable to search the design space thoroughly. To characterise the impact and
536 determine the minimum solution time, experiments running both higher and
537 lower solution time limits to the values used in the 'Control' experiment are
538 discussed in this section. The time limit shown for the stochastic design models
539 is for each individual tank optimisation module.

540 The results are summarised in Table 3, which demonstrates that the stochas-
541 tic optimisation model generally requires more than 600s for each tank opti-
542 misation, to ensure that there is sufficient time for a solution to be found. This

543 is especially important in reducing the reliance on the defaulting algorithm, for
 544 when the number of iterations increase and the problem grows exponentially.
 545 Solutions containing a defaulted parameter would not be a guaranteed optimal
 solution and hence should be avoided as much as possible.

Table 3: Summary of behaviours for optimisation model time limits. Altered parameter values highlighted in bold.

	Experiment				
	RR1	RR2	C	SO1	SO2
Parameters					
RR Time limit (s)	30	180	60	60	60
SO Time limit (s)	600	600	600	300	900
Indicators					
Time taken	2:43:01	1:56:23	2:47:41	1:40:34	2:07:12
Number of iterations	8	6	8	9	6
Convergence type	RR	SO	RR	SO	SO
Failures	Det	Det	Det	All	-
Total capacity (m ³)	900	890	900	900	840

546
 547 When examining the total algorithm run time and number of iterations used
 548 to determine a solution in these experiments, it can be observed that an increase
 549 in model allowable time limits can help to improve the derived solution quality,
 550 and in turn, reduce the number of iterations required to find an optimal solution.
 551 This reduction in the number of required iterations can help to reduce the total
 552 algorithm run time, as observed by comparing these behaviours from the RR1
 553 experiment with that of RR2, and separately when comparing the Control and
 554 SO2 experiments. Lastly, the total capacities found by each of the experiments
 555 have shown that it is highly impacted by the defaulting algorithm, with all ex-
 556 periment runs that showed failure demonstrating capacities much either exactly
 557 or very close to the total allowable capacity given for the system, whilst the
 558 only experiment with no failures from the stochastic design optimisation model
 559 providing a smaller tank option. This shows that in preventing failures from
 560 the optimisation models, a better balance between the multi-objectives of the
 561 system will be derived, as expected from the design of the defaulting algorithm
 562 behaviours.

563 On the other hand, changes to the time limits allowed for the rainfall design
 564 model have shown that it has minimal impact on the output rainfall patterns.
 565 An inspection of these outputs demonstrated that the rainfall patterns generated
 566 during the RR time limit experiments are identical to those found in the control
 567 experiment, with the only difference with the design model producing more
 568 iterations when the algorithm has deemed it necessary. This shows that under
 569 the given set of rainfall parameters, there is a set of rainfall patterns that is
 570 globally optimal in generating overflow events.

571 *3.2. Impact of overflow convergence threshold*

572 The algorithm stops when the rainfall design model is unable to find a rain-
 573 fall pattern that can create overflows above a given convergence threshold value.
 574 This parameter is key towards how quickly the algorithm can converge and pro-
 575 duce a solution and is significant in ensuring that the output system configura-
 576 tion adequately satisfies the overflow prevention objectives.

577 Figure 4 demonstrates the maximum overflow volumes calculated in each
 578 iteration of the rainfall design model in the ‘Control’ experiment and shows
 579 that there is a rapid decay in the overflow generated within the first optimisation
 580 iteration. Increasing the threshold levels at which convergence is defined was
 581 demonstrated to reduce the number of iterations required and hence the time
 582 and computational resources required to produce a solution. For the same
 583 set of input parameters, the convergence behaviour follows the overflow graph
 584 exactly, where termination was called after iterations 1, 4, and 5 for threshold
 definitions of 100 m^3 , 50 m^3 and 10 m^3 respectively. The outputs from each

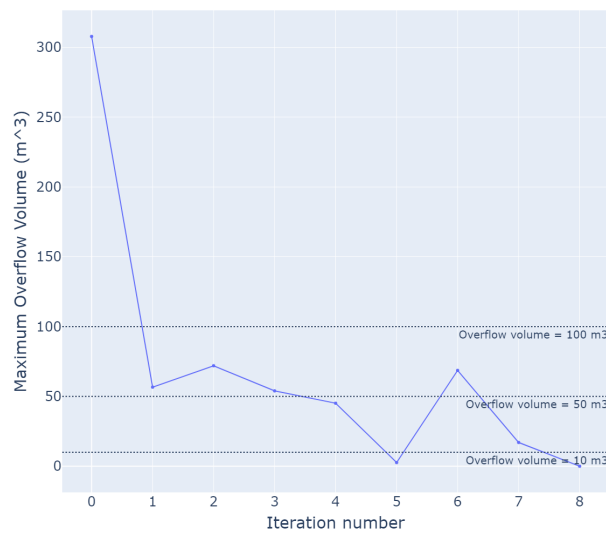


Figure 4: Calculated overflow levels from RR model.

585 of the threshold definitions also provided an insight into the behaviours of the
 586 algorithm when there is a softer threshold on the overflow constraint. As the
 587 threshold is increased and more overflow is allowed in the optimisation model,
 588 the ‘Separation’ tank size is reduced from 450 m^3 to 360 m^3 , freeing up allowable
 589 capacities to be used in the other tanks in the system. In addition, with lower
 590 threshold overflow volumes, both the height of the secondary outlets of the
 591 ‘Separation’ and ‘Detention’ tanks, ‘SD2’ and ‘DO2’ are reduced significantly
 592 from 1.2 m and 0.6 m , to 0.9 m and 0.1 m respectively to reduce the risk of
 593 overflow events in both tanks.
 594

595 It is also demonstrable that overflows in the optimisation model do not
 596 necessarily correspond to any overflow event in the simulation model. Whilst
 597 the same system dynamics are implemented in both models, the optimisation
 598 model utilises a much coarser 5-minute step size in comparison to the one-second
 599 step size used in the simulation model. This results in a disparity of overflow
 600 behaviours, where a higher rainfall inflow volume is required to generate an
 601 overflow event in the simulation model than in the optimisation model. Since
 602 the simulation model is of much higher time resolution and hence accuracy,
 603 this means that the convergence threshold used in the two-player algorithm can
 604 be much higher than the actual desired threshold volume. Through adjusting
 605 this optimisation model parameter, the algorithm run time can be improved and
 606 computational requirements reduced by requiring a smaller number of iterations
 607 without significantly impacting the overflow risk reduction performance of the
 608 derived optimal configuration.

609 3.3. Algorithm behavioural dependencies and tuned input parameter set

610 With each set of characterisation experiments, the main dependencies for
 611 each behaviour can be summarised through the following:

- 612 • The number of iterations required to find convergence is a major factor in
 613 determining the probability of receiving an optimisation error and the time
 614 taken to derive a solution, but this is also dependent on the convergence
 615 threshold of the two-player optimisation framework.
- 616 • The number of failures encountered in the stochastic optimisation models
 617 increases with the number of iterations required as the time required to
 618 derive a solution increases exponentially between each iteration. Thus,
 619 there is a need to ensure there is sufficient time for the stochastic opti-
 620 misation model to find a solution and maximise the capabilities of the
 621 stochastic optimisation model since the defaulting algorithm would always
 622 aim to maximise the allowed system capacities. This suggests that there
 623 should be an implemented lower bound for the time limit allowable for
 624 this parameter.
- 625 • The maximum number of iterations allowed for the algorithm is a key
 626 factor in ensuring that the algorithm is not allowed to run forever and
 627 should be a sufficiently large number to best allow the algorithm to con-
 628 verge. Through the characterisation experiments, it was found that 6-8
 629 iterations were sufficient in providing convergence in most cases.

630 With the behaviours of the algorithm characterised, a ‘tuned’ input set as
 631 shown in Table 4 was used to derive an optimal system design for the case
 632 study to demonstrate the potential of utilising the two-player algorithm, in
 633 comparison to an alternative system design strategy. The objectives were to
 634 minimise the total system capacity as much as possible on top of the overflow
 635 and harvesting objectives. A non-zero overflow threshold value was implemented
 636 to reduce the computational requirements, and a value lower than the time step
 637 size difference was selected to decrease the likelihood of observing overflows in
 638 the more accurate simulation model. As the characterisation experiments also

639 showed that the stochastic design model has lower rates of failure when given
 640 more time, this was increased to 900 s for each tank optimisation. As the
 641 rainfall design model was minimally impacted by the solution time, hence this
 642 was maintained at 30 s. Under this set of ‘tuned’ parameters, the stochastic
 643 optimisation model had succeeded in all iterations and converged following the
 non-zero threshold level. This gave a total system capacity of 590 m³.

Table 4: Input parameter values and sets used in the ‘Control’ and ‘Tuned’ experiments.

Input Parameters	‘Control’	‘Tuned’
Total Allowable Capacity	900 m ³	600 m ³
SO Time Limit	600 s	900 s
RR Time Limit	60 s	60 s
Parameter Set Space	‘Large’	‘Small’
Penalty Weights	Unscaled	High
Convergence Threshold	0 m ³	180 m ³

644

645 3.4. Performance of output configurations

646 A selected set of output configurations, generated using a range of different
 647 input parameters, was evaluated using the simulation model for their perfor-
 648 mance in meeting the objectives of overflow reduction and demand satisfaction.
 649 These are derived from the behavioural characterisation experiments, where ex-
 650 periments 1 and 2 tested the size of the set of input design space, experiments
 651 3 to 5 adjusted the weight given to the penalty function of the ‘Separation’
 652 tank, while experiments 6 to 8 were derived under increased overflow conver-
 653 gence threshold levels. The configurations were selected to determine (a) the
 654 overflow mismatch levels between the optimisation and simulation models, and
 655 (b) the performance of a wide range of possible system configurations that is
 656 found through the two-player algorithm. Four statistical indices were collected,
 657 each defined as:

- 658 • **Overflow risk:** The percentage of simulated scenarios that demonstrated
 659 any occurrences of overflow.
- 660 • **Harvesting potential:** The percentage of simulated scenarios that har-
 661 vested any amount of rainwater.
- 662 • **Demand satisfaction:** The percentage of simulated scenarios where the
 663 irrigation demand is fully met.
- 664 • **Demand non-fulfilment:** The percentage of simulated scenarios where
 665 all 47 m³ of the irrigation demand is met completely using the freshwater
 666 supply.

667 Figure 5 plots the four statistical indices found for each of the simulated
 668 configurations derived from the selected experiments. It demonstrates that the
 669 configuration 2, derived under the ‘Small Parameter Set’ inputs has the best

670 performance for meeting demands and ensuring water availability, but demon-
 671 strates overflow, albeit only in 1% of the simulated cases and with a maximum
 volume of 49.4 m³.

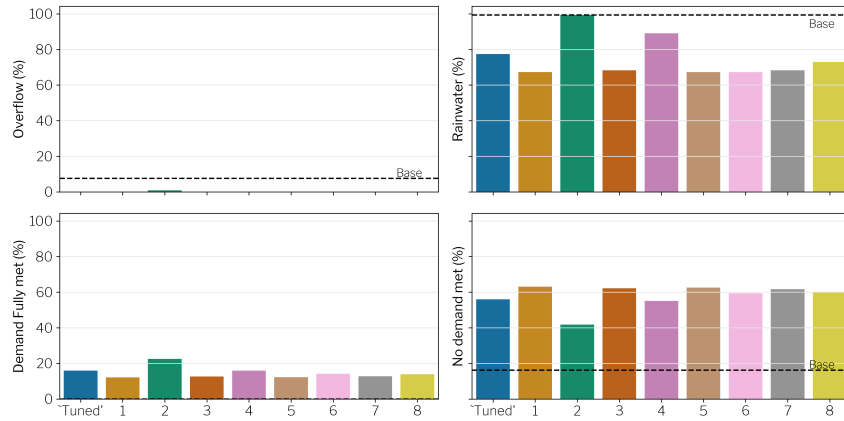


Figure 5: Statistical indicator values for each experiment.

672

673 All other experiments eliminated overflow completely from the simulated
 674 historical rainfall days. This includes configurations 6 to 8 which are derived
 675 under non-zero overflow thresholds, each corresponding to an optimisation in-
 676 stance that demonstrated overflow. This confirms that a higher overflow thresh-
 677 old value can be used with the optimisation models without impacting the ro-
 678 bustness of the system whilst improving the harvesting potential of the output
 679 system configuration. The threshold overflow level at which this is true is a
 680 function of the time step size difference between the simulation model and the
 681 optimisation models.

682 Finally, the performance of the system derived using the 'tuned' input pa-
 683 rameter set was compared to that of an existing system. The exact method for
 684 deriving the existing system is not known and is assumed to be a more tradi-
 685 tional sizing strategy, without the use of optimisation-based methods. The sta-
 686 tistical indicator values are shown in Figure 6, demonstrating that the 'tuned'
 687 system configuration can completely eliminate overflow for historical rainfall days,
 688 with more days in which it is capable of completely meeting irrigation demands
 689 with the harvested rainwater.

690 However, the existing configuration can harvest water from a wider range of
 691 rainfall types, having collected any amount of water from 99.3% of the simulated
 692 scenarios in comparison to the 77.4% under the 'tuned' input configuration. Ad-
 693 ditionally, the 'tuned' input configuration had demonstrated significantly more
 694 days in which it required freshwater from the mains supply to completely sat-
 695 isfy the daily irrigation demand, with 56% of the simulated scenarios showing
 696 no demand being met by harvested rainwater in comparison to 16% from the
 697 existing configuration. The poorer performance in satisfying demand in more

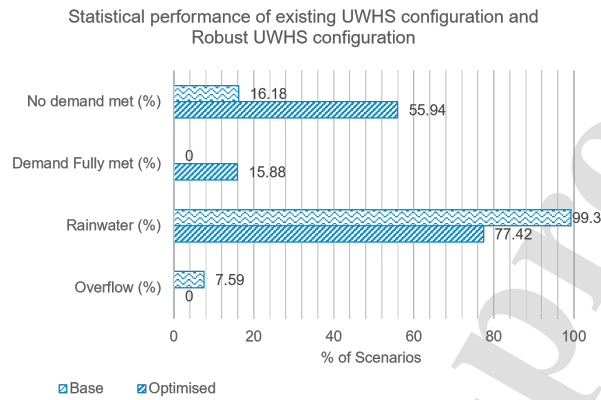


Figure 6: Statistical performance indicator values for two-player optimised system configuration and an existing configuration.

698 scenario types for the ‘tuned’ input parameter set was found to be a result of the
 699 on/off operating levels of the pump that connects the ‘Harvesting’ and ‘Treat-
 700 ment’ tanks. These levels were not included in the optimisation models as these
 701 were viewed as part of the operational policy of the system, rather than the
 702 design of the system configuration. With the operational levels calibrated for a
 703 smaller ‘Harvesting’ tank with a smaller tank area, the implementation of these
 704 levels in a tank with a larger area implies that a much higher rainfall volume,
 705 which is not attainable beyond a given total rainfall volume, would be required
 706 to activate the pumps.

707 4. Conclusions

708 This paper presented a two-player algorithm for the robust sizing and design
 709 of a multi-tank RWH and flood-mitigation system, incorporating a stochastic
 710 design optimisation model and a high intensity rainfall design model. This was
 711 developed to reduce reliance on the availability of high-resolution rainfall data in
 712 computationally-intensive optimisation-based system design and sizing strate-
 713 gies and allows efficient systems to be designed even for catchments with minimal
 714 rainfall data. The optimisation tools presented in this study were structured
 715 to improve the system design process, in turn reducing the barriers to imple-
 716 mentation of more efficient and sustainable large-scale RWH systems. This
 717 sought to build on existing literature and work by improving the accessibility
 718 and availability of more advanced computational methods to system designers
 719 and experts that may not be familiar with such strategies, allowing the bene-
 720 fits of implementing these methods to be reaped without a significant learning
 721 curve. This is crucial towards building a more sustainable and resilient urban

722 living environment that is efficient at both utilising existing water resources and
723 minimising possible flood risks.

724 The framework was applied to a large-scale RWH system that would service
725 a densely populated high-rise residential estate which uses the harvested water
726 yields for irrigating its green spaces. Using this case study, the behaviours
727 and interactions of the algorithm were characterised for a range of possible
728 model inputs which limits search times and convergence thresholds. From the
729 characterisation experiments, it was found that:

- 730 • If failures are encountered in the stochastic optimisation model, the de-
731 faulting algorithm will always seek to maximise the allowable design space.
- 732 • Failures were found to be mostly a function of the time limit provided
733 to the stochastic optimisation models, hence the stochastic optimisation
734 model needs to be given sufficient time to search for a solution. This was
735 found to be approximately 900 s for each individual tank optimisation
736 module and would help in producing higher quality solutions, which in
737 turn can reduce the number of iterations required for finding a converged
738 optimal solution.
- 739 • The overflow convergence threshold can be larger than zero and still pro-
740 vide a robust performance under the simulation model due to the large
741 time-step size used in the optimisation models. This is a function of the
742 time step size difference between the simulation and optimisation models.

743 The performance of the output configurations were evaluated, which showed
744 that a stochastically optimal configuration can significantly reduce overflow
745 risks, with no overflow events in the simulated historical rainfall scenarios. In
746 comparison, the existing system configuration, derived using more traditional
747 sizing strategies demonstrated overflow events in 7.6% of the simulated scenar-
748 ios. Whilst the rainwater harvesting potential of the configuration derived under
749 the proposed can be improved to provide water over a wider range of possible
750 rainfall types, it was found that this had been limited by the operational levels
751 of the pump that serves between the ‘Harvesting’ and ‘Treatment’ tanks and
752 is a parameter that can be easily transformed into a decision variable in the
753 optimisation modules.

754 Therefore, further improvements to the algorithm in achieving the technical
755 objectives of controlling water volumes could be implemented and are sum-
756 marised through the following:

- 757 • The inclusion of more system parameters and hence the degrees of free-
758 dom, such as the operational levels of pumps so that the solutions are not
759 constrained by assumptions and designs made with previous systems.
- 760 • A reward function can be implemented to provide more information to
761 the optimisation model about the multi-objectives.

762 Further work looks at integrating the algorithm and models demonstrated
763 in this paper with the derivation of optimal control policies, such that a holistic
764 tool can be developed for the simultaneous optimisation of the design and control
765 of RWH systems. The implementation of optimal control policies would require
766 active operation and can be realised for example with the use of sensors and

767 actuators. With the integrated design and control optimisation providing a
 768 high degree of freedom, improvements to RWH system performances can be
 769 maximised by providing the system with efficient infrastructure design with
 770 added flexibility to contain and provide water availability over a large range of
 771 possible rainfalls.

772 List of Symbols

773

774 Sets

775 j Tank index
 776 o Orifice index
 777 S Scenario index
 778 t Time step index
 779 τ Time set index subset without initial timestep

780 Parameters

781 a_m Tank area option m (m^2)
 782 C_d Coefficient of discharge
 783 C_W Cost of excess overflow (\$)
 784 g Gravitational constant
 785 h_i Tank height option i (m)
 786 M Scalar value of big-M method
 787 R Pump Rate (m^3/s)
 788 r_{on} Pump operation on-level (m)
 789 r_{off} Pump operation off-level (m)
 790 ω_k Orifice height option k (m)
 791 α Inflow weighting factor
 792 β Outflow weighting factor
 793 ΔT Time step size (s)
 794 ζ Threshold overflow volume (m^3)

795 Continuous Variables

796 θ_o Area of orifice o (m^2)
 797 A Tank Area (m^2)
 798 C Tank Capacity (m^3)
 799 D_o^t Discharge from orifice o during time step t (m^3)
 800 F^t Freshwater used in time step t (m^3)
 801 H Tank height (m)
 802 I^t Inflow to tank during time step t (m^3)
 803 L^t Level of water in tank during time step t (m)
 804 O^t Outflow to tank during time step t (m^3)
 805 P_C Penalty cost for wasted capacities
 806 P_W Penalty cost for excess overflow volumes
 807 V^t Volume of water in tank during time step t (m^3)
 808 W^t Overflow volume from tank during time step t (m^3)
 809 δ^t Total discharge from tank in time step t (m^3)

810	η_o	Height of orifice o (m)
811	χ^t	Excess overflow in time step t (m^3)
812	Binary Variables	
813	ϕ	Binary variable for tank height selection
814	ψ	Binary variable for orifice height selection
815	λ	Binary variable for tank area selection

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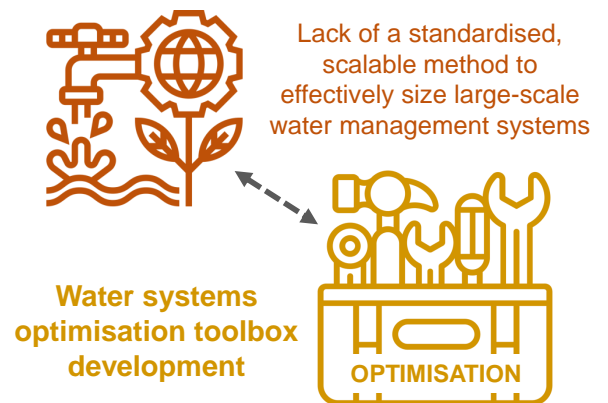
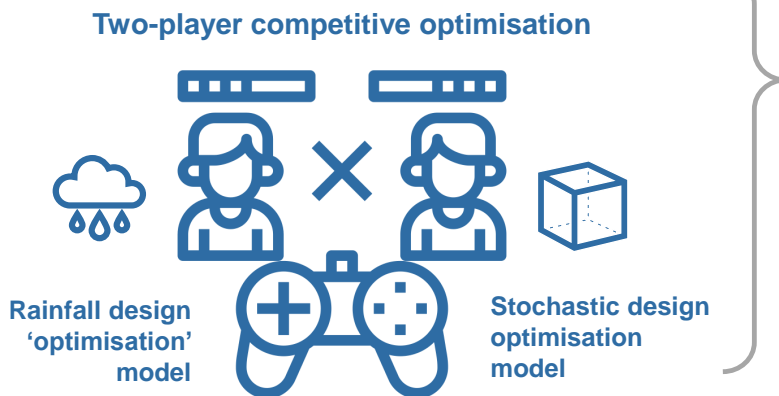
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Graphical Abstract

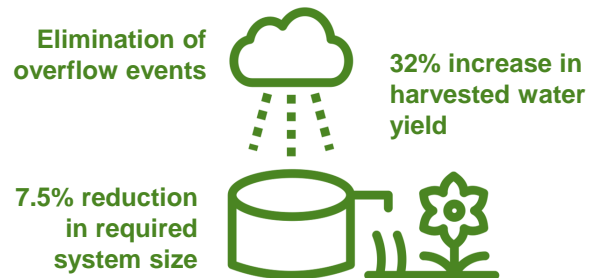
Robust optimisation of combined rainwater harvesting and flood mitigation systems

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Q. Soh et al. (2023), *Water Research*



Derived optimal configuration performances



Images taken from Noun Project: Toolbox by HNTRY; PVP by Template; Rainwater harvesting by SBTS; Water Management by EUCALYP;

Declaration of interests

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