

An Assessment of Short-medium Term Interventions Using CAESAR-Lisflood in a Post-earthquake Mountainous Area

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Abstract. The 2008 Wenchuan earthquake triggered rapid local geomorphic changes, shifting abundant material through exogenic processes and generating vast amounts of loose material. The substantial material movement increased the geo-hazards (flash floods, landslides, and debris flows) risks induced by extreme precipitation in the area. Intervention measures such as check dams, levees, and vegetated slopes have been constructed in specific locations to reduce sediment transport and thereby mitigate the impact of ensuing geo-hazards.

This study assessed the short-medium term effects of interventions, including multiple control measures, in a post-earthquake mountainous region. Taking the Xingping valley as an example, we used CAESAR-Lisflood, a two-dimensional landscape evolution model, to simulate three scenarios: Unprotected Landscape, Present Protected Landscape, and Enhanced Protected Landscape between 2011 and 2013. We defined two indices to assess the intervention effects of the three scenarios by comparing the geomorphic changes and sediment yields.

The results show that the mitigation measures are effective, especially the geotechnical engineering efforts in combination with ecological engineering in the upstream area. The spatial patterns of erosion and deposition change considerably due to the intervention measures. Additionally, the effectiveness of each intervention scenario shows a gradual decline over time, mainly due to the reduction in the reservoir storage capacity. The enhanced scenario performs better than the present one with a more gradual downward trend of effectiveness. The simulation results evaluated the ability and effectiveness of comprehensive control measures and will support optimal mitigation strategies.

1 Introduction

Strong earthquakes can trigger co-seismic landslides and discontinuous rock masses in mountainous areas that can increase erosion (Huang, 2009). Consequently, the movement of material through co-seismic landslides and attendant mass failures modify mountain landscapes through various surface processes for days, years, and millennia (Fan et al., 2020). The 2008 Wenchuan earthquake with a surface-wave magnitude (M_s i.e., the logarithm of the maximum amplitude of the ground motion of the surface waves with a wave period of 20 seconds) of 8.0 has influenced towns and other infrastructure in the affected area. Many studies have mapped the landslides triggered by this devastating earthquake. Gorum et al. (2011) performed an extensive landslide interpretation using a large set of high-resolution optical images and mapped nearly 60,000 individual landslides, impacting an area of 600 m² or more. Xu et al. (2014) delineated 197,481 landslides represented by polygons, centroid points, and top points compiled from visual image interpretation. To estimate the impact of loose material on subsequent sediment transport caused by landslides, some research attempted to calculate the volume of deposited material based on field surveys and assumptions. For example, Huang and Fan (2013) estimated that 400 million m³ of material was deposited in heavily affected area by assuming that the material was deposited on steep slopes with angles greater than 30° and a catchment area of more than 0.1 km². An approximate 2,793 million m³ of debris was calculated by Chen et al. (2009) using different deposition depth settings in different buffer zones of the Longmenshan central fault. In summary, a tremendous amount of

39 loose material accumulated in gullies and on hillslopes in earthquake-affected catchments, which became available for erosion
40 events for years to come.

41 To mitigate the abovementioned hazards and protect the landscape including downstream settlements, structural mitigation
42 measures have been developed in the affected area, depending on the different site-specific conditions, in addition to technical
43 and economic feasibilities. For example, slope protection with vegetation was conducted to stabilise source material on
44 hillslopes (Cui and Lin, 2013; Forbes and Broadhead, 2013; Stokes et al., 2014). Check dams were also used widely to intercept
45 upriver sediment (Yang et al., 2021; Marchi et al., 2019). Lateral walls and levees, which are longitudinal structures (Marchi
46 et al., 2019), used to protect settlements near main channels with relatively high levels of sediment discharge.

47 Although comprehensive control measures have been taken in potentially dangerous sites, improving mitigation performance
48 in the Wenchuan earthquake-stricken area is still ongoing. The seasonal and periodic occurrence of massive sediment transport
49 often particularly affect the mountainous area. This might be caused by intense precipitation and the failure of mitigation
50 measures due to rough terrain, vague information about source storage, and sometimes relatively low-cost mitigation measures
51 (Yu et al., 2010; Cui et al., 2013). Therefore, understanding and quantifying the effectiveness of intervention measures is
52 crucial for mitigation strategies. Many studies have focused on establishing post-evaluation effectiveness index systems that
53 are not supported by sufficient practices (Zhang and Liang, 2005; Wang et al., 2015). Some researchers compared the changes
54 before and after intervention measures by recording long-term on-site measurements, which require a great deal of time, energy
55 and financing (Zhou et al., 2012; Chen et al., 2013). More recently, studies have compared disaster characteristics before and
56 after mitigation actions through quick calculations using numerical simulations (Cong et al., 2019; He et al., 2022). Neverthe-
57 less, these studies ignore the lasting effects of earthquakes on geomorphic changes (longer than the duration of a single event).
58 Therefore, the short-medium term (from the duration of a single event to decades after) geomorphic changes obtained from
59 simulations provide more details to interpret engineering measures in notable locations, even in locations inaccessible to hu-
60 mans.

61 CAESAR-Lisflood (C-L), a two-dimensional hydrodynamic surface landscape evolution model based on the cellular automata
62 (CA) framework, has powerful spatial modelling and computing capabilities (Coulthard et al., 2002; Van De Wiel et al., 2007;
63 Bates et al., 2010; Coulthard et al., 2013a). C-L is used widely in rehabilitation planning and soil erosion predictions in post-
64 mining landscapes (Saynor et al., 2019; Hancock et al., 2017; J.B.C. Lowry et al., 2019; Thomson and Chandler, 2019;
65 Slingerland et al., 2019) as well as studies in channel evolution and sedimentary budget planning for dam settings (Poepll et
66 al., 2019; Gioia and Schiattarella, 2020; Ramirez et al., 2020, 2022). The applications presented demonstrate the efficiency of
67 C-L model to simulate the surface material migration and landscape evolution after anthropogenic and natural disturbances,
68 which indicate the potential to simulate the complexity of surface processes integrated with different interventions. In addition,
69 many studies applied C-L to investigate the landscape evolution after the Wenchuan earthquake (Li et al., 2020; Xie et al.,
70 2022a, b, 2018). The configuration of the model can be referenced to the study of intervention scenarios in the same post-
71 earthquake region.

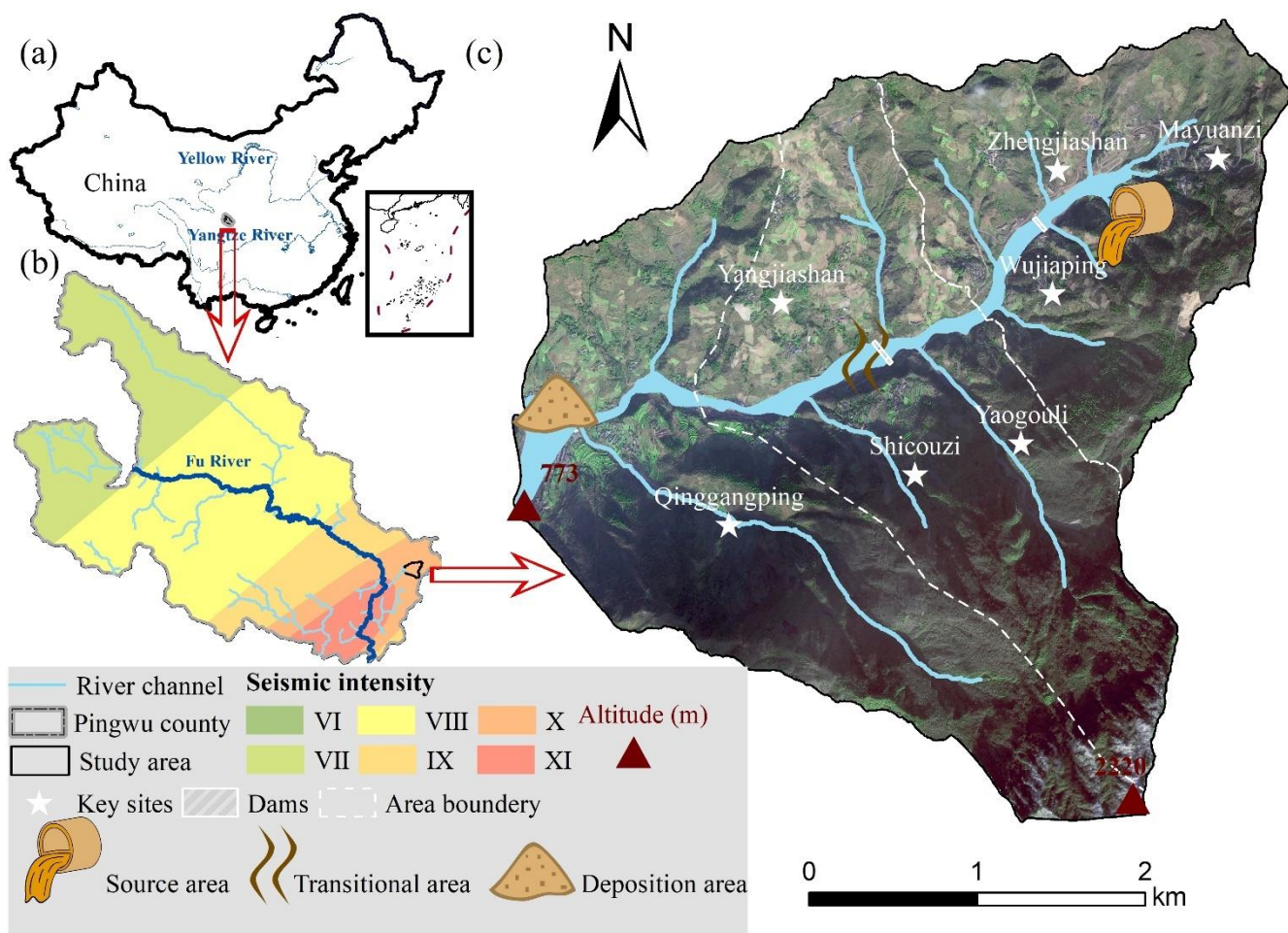
72 In this study, we investigated the impact of different interventions on sediment dynamics and geomorphic changes in an earth-
73 quake-stricken valley. Hourly rainfall data over three years were generated by daily downscaling to capture extreme events.
74 We then simulated and compared the geomorphic changes and sediment yield in three scenarios that varied in their mitigation
75 compositions and intensities in the catchment. The objectives were 1) to assess the effectiveness of a set of mitigation measures
76 to reduce sediment transport, 2) to analyse the role of each measure on geomorphic changes, and 3) to determine the influence
77 of vegetation on catchment erosion.

78 **2 Study area**

79 **2.1 Regional characteristics**

80 The study area was the Xingping valley, the left branch of the Shikan River (a tributary of the Fu River) in north-eastern
81 Sichuan Province (Fig. 1). Nearly two hundred settlements scattered in the study catchment. The catchment has a total drainage
82 area of approximately 14 km² and a rugged topography with an elevation ranging from 800 to 3036 m, which is characterised
83 by a high longitudinal gradient (~ 120‰) and distributed more than ten small V-shaped branch gullies. The region has a humid
84 temperate climate with a mean annual temperature of 14.7 °C. The mean annual precipitation is 807.6 mm, with more than 80%
85 concentrated between May and September. The steep terrain and heavy rainfall are combined to control the nature of the
86 ephemeral streams in this area.

87 The basement rocks in the study area are mainly metamorphic sandstone, sandy slate, crystalline limestone, and phyllite of the
88 Triassic Xikang Group (T_{3xk}) and Silurian Maoxian Group (S_{mx}), which are easily eroded by in situ weathering processes after
89 disturbances caused by strong earthquakes. Consequently, the Wenchuan earthquake, with a Modified Mercalli Intensity scale
90 of X, made this area one of the most severely affected regions (Wang et al., 2014) and produced 10⁶ m³ of loose material by
91 triggering landslides and subsequent erosion in Mayuanzi, Zhengjiashan, and Wujiaping (Fig. 1) (Guo et al., 2018).



92
93 **Figure 1: An overview of the study area. (a) The location of the study area; (b) A seismic intensity map of the Wenchuan earthquake**
94 **within Pingwu County; (c) A schematic image of the study area.**

95 **2.2 Historical hazards and intervention measures**

96 Six debris flow-flash flood disaster chain groups have been found in the Xingping valley over the decade after the earthquake.
97 Based on the published work of SKLGP (State Key Laboratory of Geohazard Prevention and Geoenvironment Protection), the
98 geological survey of local government and our biannual field surveys since 2012, we catalogued the time of occurrence, total
99 rainfall and corresponding disaster details of each event (Table S1). A massive amount of sediment was transported soon after

100 the devastating earthquake in 2008 and 2009. Extensive loose materials were then delivered and deposited in the channel
 101 triggered by the extreme rainfall events in 2013 and 2018. Considering the transport processes of landslide material, we divided
 102 the study area into three subregions: the source area, the transitional area, and the deposition area (Fig. 1). The white dashed
 103 lines in Fig. 1c indicate that the loose material can be easily transported from the source area to the deposition area through
 104 the transitional zone.

105 An engineering control project was constructed in the study valley to intercept the upriver material in October 2010. The
 106 project included two check dams, with one located in the upper source area and the other located in the transitional zone (Feng
 107 et al., 2017) (Fig. 1c). The upper dam has a storage capacity of $5.78 \times 10^4 \text{ m}^3$ and a height of 10.0 m. The dam at transitional
 108 area has a storage capacity of $7.2 \times 10^4 \text{ m}^3$ and a height of 9.0 m. The first dredging work was subsequently performed in 2013
 109 due to gradually filling of the reservoirs. Nearly three years later, the storage capacity behind the upper dam remained at 50%
 110 in 2016, while the transitional area dam could no longer retain sediment.

111 3 Materials and Methods

112 In this study, we examined the intervention effectiveness through the morphological response and sediment yield in the Xing-
 113 ping valley, using the C-L simulations. The research entailed four main steps: 1) setting three scenarios with different inter-
 114 vention measures, 2) pre-processing the model input data, 3) calibrating the hydrological component, and 4) simulating geo-
 115 morphic changes and analysing the intervention effectiveness during 2011-2013.

116 3.1 Scenario settings

117 The abundant material mobilised by landslides should be controlled to reduce the sediment transport. Therefore, we designed
 118 three scenarios by integrating geotechnical engineering with ecological engineering to assess the effectiveness of intervention
 119 measures. Scenario UP: unprotected landscape means the sediment is transported without anthropogenic intervention. Scenario
 120 PP: present protected landscape means that only the present two check dams trapped sediment during 2011-2013 without
 121 dredging work over this period (see Section 2.2). Scenario EP: enhanced protected landscape represents the addition of slope
 122 protection with vegetation in the source area and levees in the deposition area, in addition to the two check dams in Scenario
 123 PP.

124 Figure 1c shows the locations of the existing two check dams in both Scenario PP and Scenario EP. We determined the place-
 125 ments of additional measures in Scenario EP according to a field survey, which demonstrated that the continuous supply of
 126 sediment is mainly from the source area. Therefore, vegetated slopes were designed in the upstream area to prevent erosion,
 127 by stabilising the topsoil and enhancing the soil's infiltration capacity via roots (Lan et al., 2020).

128 Considering the damage caused by flash floods to the residential area downstream, the levees (see Fig. S1 and Section 3.2.2),
 129 i.e., artificial barriers, were placed to protect agricultural land and buildings by preventing water and sediment from overflow-
 130 ing and flooding surrounding areas. Table 1 shows the scenario descriptions, initial model conditions and input rainfall. The
 131 details about the model and input data are introduced in Section 3.2.

132 **Table 1: Scenario settings**

Scenario	Descriptions	Period	DEM (10 m)	Rainfall data
UP	no anthropogenic intervention		UP DEM UP bedDEM	downscaled hourly pre- cipitation over the period (lumped)
PP	the present two check dams upstream without dredging work	2011-2013 (3 years)	PP DEM PP bedDEM	downscaled hourly pre- cipitation over the period (spilt)
EP	additional vegetated slopes in the source area and levees in the deposition area based on Scenario PP		EP DEM EP bedDEM	

133

134 3.2 CAESAR-Lisflood

135 The C-L integrated the Lisflood-FP 2D hydrodynamic flow model (Bates et al., 2010) with the CAESAR landscape evolution
136 model (LEM) (Coulthard et al., 2002b; Van De Wiel et al., 2007), which is described in detail by Coulthard et al. (2013). The
137 catchment mode of C-L was applied in this study, in which the surface digital elevation model (DEM), the bedrock DEM
138 (bedDEM), the grain size distribution, and a rainfall time series are required to simulate the geomorphic changes and sediment
139 transport. There are four primary modules within C-L that are implemented as follows:

- 140 (1) a hydrological module generates surface runoff from rainfall input using an adaptation of TOPMODEL (topography-based
141 hydrological model) (Beven and Kirkby, 1979),
- 142 (2) a hydrodynamic flow routing module based on the Lisflood-FP method (Bates et al., 2010) calculates the flow depths and
143 velocities,
- 144 (3) an erosion and deposition module uses hydrodynamic results to drive fluvial erosion by either the Einstein (1950) or the
145 Wilcock et al. (2003) equations, which are applied to each sediment fraction over nine different grain sizes,
- 146 (4) and a slope module of material movement from the hillslope into the fluvial system, taking into account both mass move-
147 ment when a critical slope threshold is exceeded and soil creep processes, where sediment flux is linearly proportional to
148 surface slope.

149 The C-L model updates variable values stored in square grid cells at intervals, such as DEM, grain size and proportion data,
150 water depth, and velocity. For the three scenarios, the initial conditions, such as the DEM, bedDEM, rainfall data, and the m
151 values, were pre-processed as follows.

152 3.2.1 The surface and bedrock digital elevation models

153 To clearly describe the control process, especially the two dams and levees in the catchment, we unified grid cell scales to 10
154 m for all input data of the C-L. The GlobalDEM product with a 10 m × 10 m resolution and 5 m (absolute) vertical accuracy
155 was used to form three types of initial DEMs (UP DEM, PP DEM, and EP DEM). Before rebuilding the initial DEMs, we
156 filled the sinks of the original GlobalDEM based on the Environmental Systems Research Institute's (ESRI's) ArcMap (ArcGIS,
157 10.8) to eliminate the 'walls' and the 'depressions' in the cells and thus avoided intense erosion or deposition in the early run
158 time. Then, the modified DEM was used as the surface DEM in Scenario UP (UP DEM) without any mitigation measures.
159 According to the engineering control project described in Section 3.2.2, the surface DEM of Scenario PP (PP DEM) included
160 the dams by raising the grid cell elevations by 10 m for the dam in the source area and 9 m for the dam in the transitional zone.
161 Similarly, the surface DEM in Scenario EP (EP DEM) included the dams in the PP DEM. In addition, two levees were produced
162 by raising the grid cell elevation by 2 m at selected locations. For scenario EP, the placement and setting of the vegetation
163 protection are introduced in Section 3.2.2.

164 The spatial heterogeneity in the source material (Fig. 1c) results in differences in the erodible thickness, which equals the
165 difference between the surface DEM and the bedDEM. We divided the study area into five regions according to the erodible
166 thickness (Fig. S1) by checking the relative elevation of the foundations of buildings, the exposed bedrock, and the deposition
167 depth of landslides with respect to ground level. The average thicknesses in upstream low- and high-elevation areas were set
168 to 10 m and 3 m, respectively, and the thickness of the erodible layer in the downstream area was set to 3 m. For the river
169 channel and outlet, where there would be a large amount of deposition, the thickness of erodible sediment was set to 5 m and
170 4 m, respectively. As the dams in Scenario PP and the levees in Scenario EP were non-erodible concrete, we set the erodible
171 thickness of these features to 0 m. Eventually, the DEM data were formatted to ASCII raster data as required by C-L. The
172 additional levees and vegetated slopes in Scenario EP, the pre-processes of the DEMs and bedDEMs are shown in Fig. S1.

173 3.2.2 Vegetation settings

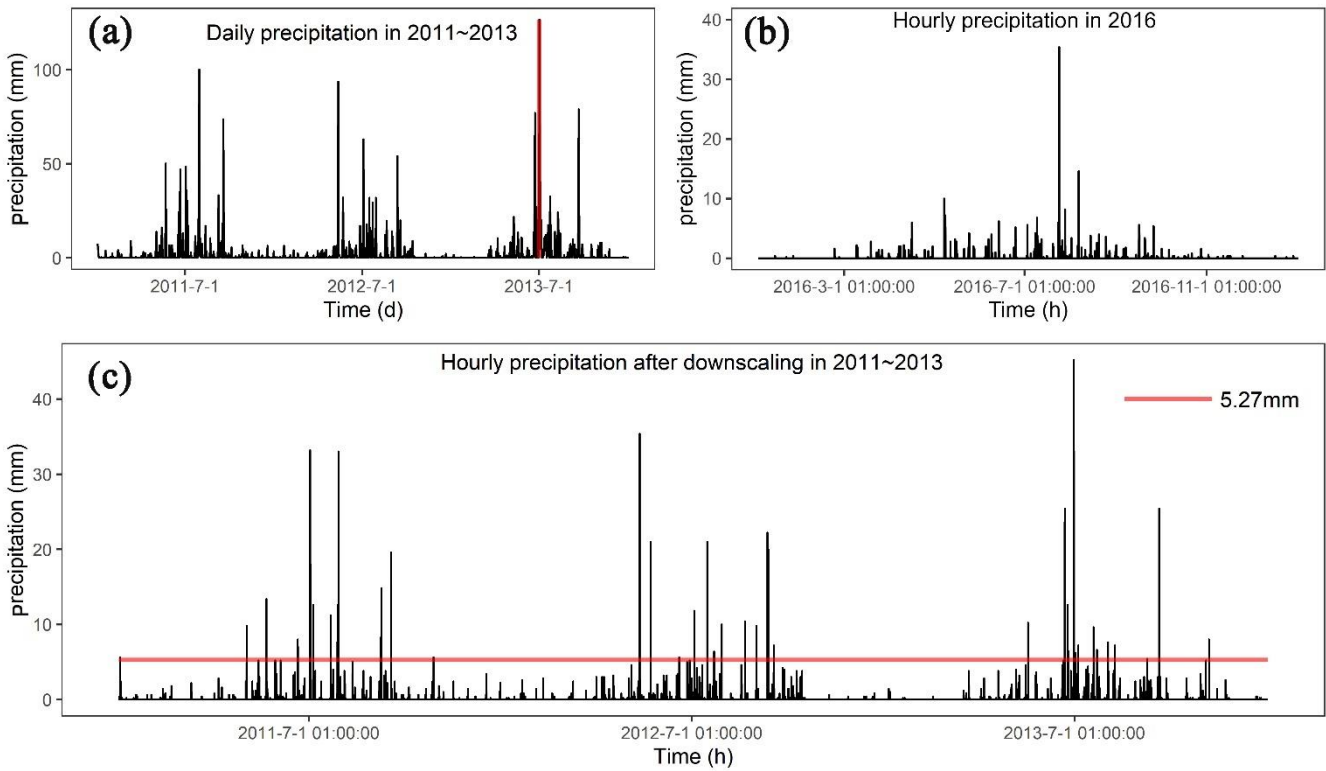
174 Another parameter required in each scenario simulation was the m value of the hydrological model (TOPMODEL) within C-
175 L, which controls an exponential decline in transmissivity with depth (Beven, 1995, 1997) and influences the peak and duration
176 of the hydrograph in response to rainfall. The m value effectively imitates the effect of vegetation, which controls the fluctua-
177 tion of the soil moisture deficit and thus influences the peak of the modelled flood hydrograph (Coulthard et al., 2002b). The
178 m value is usually determined by the land cover (e.g., 0.02 for forests and 0.005 for grasslands) (Coulthard and Wiel, Van De
179 J., 2017). In our study, we set the m value to 0.008 in the catchment (14 km²) in Scenarios UP and PP, which resembles the m
180 value of farmland with lower vegetation cover studied by Xie et al. (2018) and Li et al. (2018). As mentioned earlier, the
181 upstream low-elevation area protected by vegetation in the EP scenario was assigned a higher m value of 0.02. This m value
182 was calibrated by the more extensive catchment containing our study area in the flood event of 2013 (Xie et al., 2018).

183 3.2.3 The rainfall data

184 In this research, we compared three scenarios by matching precipitation data between 2011 and 2013, as mentioned in Section
185 3.1. The source data of precipitation in 2011-2013 (Fig. 2a) were obtained from the China Meteorological Administration
186 (<http://data.cma.cn>) with daily temporal resolution. The intensity and frequency of extreme rainfall events affect patterns of
187 erosion and deposition (Coulthard et al., 2012b; Coulthard and Skinner, 2016). Therefore, we used the stochastic downscaling
188 method to generate hourly data to better capture the hydrological events introduced by Li et al. (2020) and Lee and Jeong
189 (2014). The referenced hourly precipitation was observed from the pluviometer located 20 km from the study area in 2016
190 (Fig. 2b), with an annual total precipitation of 684 mm. The observed rainfall in 2016 was characterised by (1) hourly precip-
191 itation between 1.1 mm and 35.4 mm and (2) maximum and average durations of rainfall events of 24 h and 2.8 h, respectively.
192 The main processes of the downscaling method are as follows:

- 193 ● extracting the hourly rainfall of specific days in 2016 closest to the daily rainfall in 2011-2013 through the threshold
194 setting and producing the genetic operators using the extracted hourly rainfall dataset;
- 195 ● mixing the genetic operators by an algorithm (Goldberg, 1989) composed of reproduction, crossover and mutation and
196 repeating these processes until the distance between the sum of hourly rainfall and the actual daily rainfall was less than
197 the set threshold;
- 198 ● normalising the hourly precipitation to keep the daily rainfall value unchanged.

199 Figure 2c shows the downscaled rainfall series between 2011 and 2013. The downscaled hourly rainfall better captured the
200 hydrological events at an hourly scale compared to the hourly mean rain (5.27 mm) on the day with extreme rainfall (126.5
201 mm), which was far from the actual situation. Corresponding to the m value settings, the input of generated hourly precipitation
202 was lumped catchment-wide in Scenario UP and Scenario PP and divided into two separate but identical rainfall events in
203 Scenario EP.



204

205 **Figure 2: (a) Daily precipitation in 2011-2013 (the red vertical line indicates the maximum daily precipitation of 126.5 mm); (b)**
 206 **Hourly precipitation in 2016; (c) Downscaled hourly precipitation in 2011-2013 (the red horizontal line indicates the hourly mean**
 207 **precipitation of 5.27 mm on the day with the maximum precipitation marked in (a)).**

208 3.2.4 Other parameters

209 As introduced by Skinner et al. (2018), the C-L model is sensitive to a set of input data for a catchment with a grid cell size of
 210 10 m, such as the sediment transport formula, slope failure threshold, and grain size set. The grain size distribution of sediment
 211 was derived from sampling at 14 representative locations in the same study basin by Xie et al. (2018). Given the grain size
 212 distribution in this study, the Wilcock and Crowe formula was selected as the sediment transport rule, which was developed
 213 from flume experiments using five different sand-gravel mixtures with grain sizes ranging between 0.5 and 64 mm (Wilcock
 214 et al., 2003). Considering the steep slopes on either side of deep gullies, a higher slope failure threshold was determined to
 215 replicate the geomorphic changes between 2011 and 2013. Additionally, we found that the probability of shallow landslides
 216 increased with increasing slope gradient from 20° to 50° between 2011 and 2013 (Li et al., 2018). The slope angle was derived
 217 from the DEM with a 30 m spatial resolution, which caused a lower slope angle than that with a 10 m resolution. As such, we
 218 set the slope angle to 60°, which is lower than the 65° used in a scenario without landslides (Xie et al., 2022) and higher than
 219 50°. Some parameters were determined by repeated experiments, such as the minimum Q value, and the other input values
 220 were set to default values recommended by the developers (such as the maximum erosion limit in the erosion/deposition
 221 module and the vegetation critical shear stress) in <https://sourceforge.net/p/caesar-lisflood/wiki/Home/>. Table S2 in the sup-
 222 plemental material presents the model parameters of C-L used in this study.

223 3.2.5 Model calibration

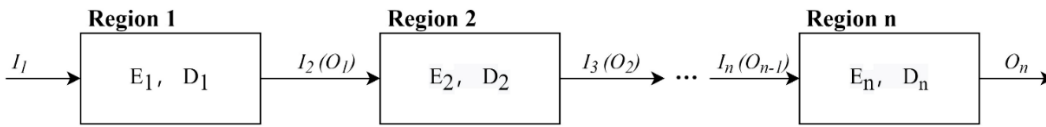
224 Because the basin was ungauged before 2015, we replicated the flash flood event in July 2018 using C-L simulations to cali-
 225 brate the hydrological components. Based on Scenario PP (with two check dams), we used the two-week hourly precipitation
 226 of July 2018 as the input (Fig. S2a), which was recorded by a rain gauge located 2.5 km from the catchment (Fig. S2b). The
 227 simulation results (Fig. S2c and Fig. S2d) yielded an erosion map and a maximum water depth map in Scenario PP on July 15,
 228 2018. We selected three locations to compare the deposition and inundation in the simulation results with satellite images and

229 photos (Fig. S3). The simulated sediment thickness and water depth were close to those measured from the images, which
 230 indicated that the flash flood event was well replicated by the C-L using the input data.

231 3.3 Output analysis

232 The C-L model outputs of each scenario include hourly water and sediment discharge at the basin outlet and EleDiffs (the
 233 difference between modelled DEM at a specified time and initial DEM). We validated the model outputs by comparing the
 234 hourly discharge and EleDiffs reflecting the depth of sediment deposition or erosion (> 0.1 m: deposition, < -0.1 m: erosion)
 235 with field survey materials. The overall temporal and spatial geomorphic changes reflected by EleDiffs under three different
 236 scenarios were used to assess the geomorphic response to interventions. To explore the geomorphic response to various control
 237 measures, we focused on the notable sites where the check dams, levees, and vegetated slopes were located and recorded the
 238 depth of accumulating sediment behind the two dams. To further explore the spatial heterogeneity, we compared the volumes
 239 of deposition and erosion among the three divided regions, including the source area, the transitional area, and the deposition
 240 area.

241 Based on the visual analysis and quantitative results, we defined two formulae to assess the effectiveness of the intervention.
 242 The conservation ability (Ca , Eq. (3)) was calculated based on variables in the sediment balance system (Fig. 3). The sediment
 243 volume of deposited sediment (D_n) and input sediment from the upper connected region (I_n) is equal to that of the eroded
 244 material (E_n) and the output sediment to the next part (O_n) over the same period (Eq. (1), Eq. (2)) in the system. A higher value
 245 of Ca in a specific region and scenario indicates a more effective control system.



246
 247 **Figure 3: The sediment balance system in the study area (region n indicates the source area, transitional area, or deposition area)**

248

$$I_n = \sum_2^n E_{n-1} - \sum_2^n D_{n-1}, \quad (1)$$

$$I_n + E_n = O_n + D_n, \quad (2)$$

$$Ca = \frac{D_n}{I_n + E_n} \quad (3)$$

249 where n is the region number of the source area (=1), transitional area (=2), or deposition area (=3).

250 Additionally, we designed the relative efficiency (Re , Eq. (4)) to depict the efficiency of intervention measures in Scenario PP
 251 and EP in sediment loss, with the comparison to Scenario UP.

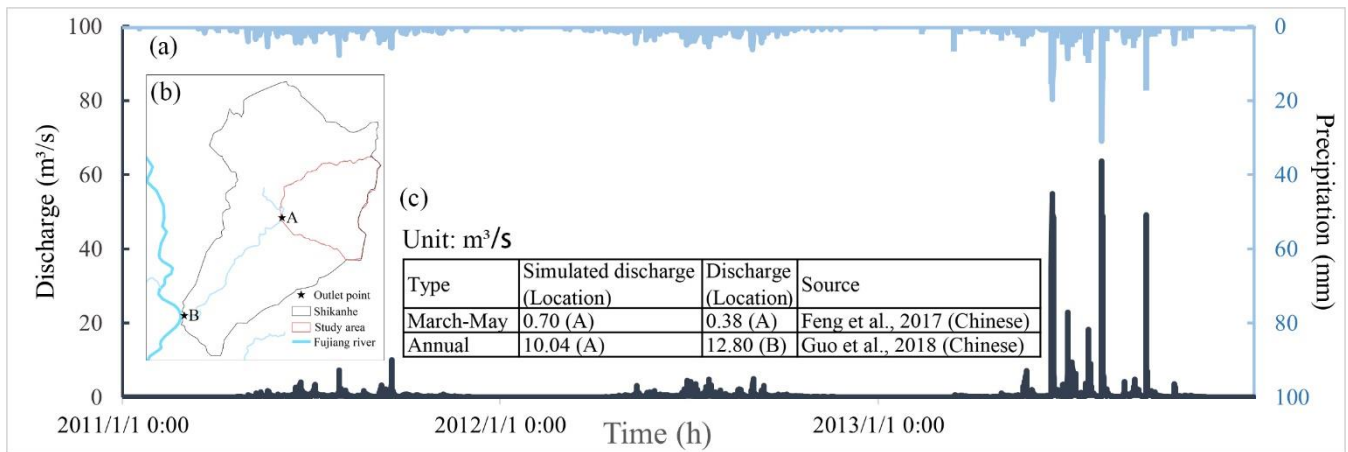
$$Re_{PP/EP,i} = \frac{Q_{UP,i} - Q_{PP/EP,i}}{Q_{UP,i}} \quad (4)$$

252 where i is the sequence of the day; Q_{UP} is the daily sediment yield measured at the catchment outlet in Scenario UP, $Q_{PP/EP}$ is
 253 the same data in Scenario PP or Scenario EP of day i ; and $Re_{PP/EP}$ is the daily relative effectiveness of control measures in
 254 Scenario PP or Scenario EP.

255 **4. Results**

256 **4.1 Model verification**

257 Figure 4 shows the input rainfall data and modelled discharge hydrograph between 2011 and 2013 (Fig. 4a). The comparison
 258 of simulated mean discharge in April through July and the whole year with field survey materials in the two locations are also
 259 presented (Fig. 4b, c). Concerning the discharge hydrograph, the peak discharges (63.7, 54.9, and 50.3 m³/s) correspond well
 260 with the peak rainfall intensities (31, 19.7 and 15 mm). The modelled water discharge from March to May in location A is
 261 slightly larger than the measured value reported by Feng et al. (2017). Additionally, an average annual discharge of 10.04 m³/s
 262 in location A is lower than that of 12.80 m³/s in the catchment outlet (location B), which has an area approximately three times
 263 the size of the study area.



264
 265 **Figure 4: The input and output of the hydrograph. (a) The input hourly precipitation and simulated discharge in 2011-2013 in**
 266 **Scenario PP; (b) The locations of the specified outlet points; (c) A comparison of the simulated average discharge to the recorded**
 267 **discharge.**

268 Typical cross-sections are generated (Fig. 5) based on the replicated landform changes in Scenario PP. The first site is located
 269 on the upriver road, which is eroded to a depth of 5.7 m according to the simulation results, while the photo shows a depth of
 270 no less than 4.0 m without an apparent eroded base. Cross-section #2 and the site photo of the gully show that the eroded depth
 271 is approximately 1.0 m. Meanwhile, a clear sediment boundary is found in the building located in the deposition area (# 3),
 272 indicating a slightly lower deposition depth than the model predicted.

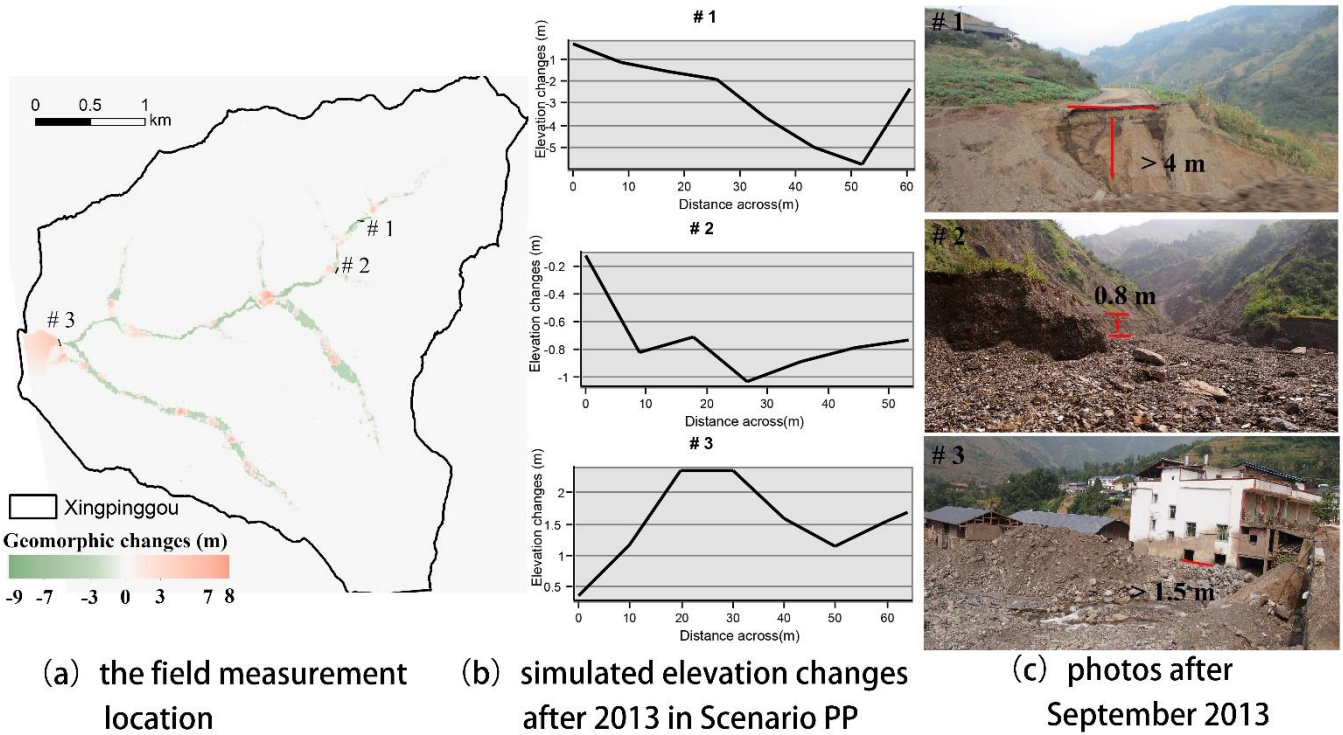


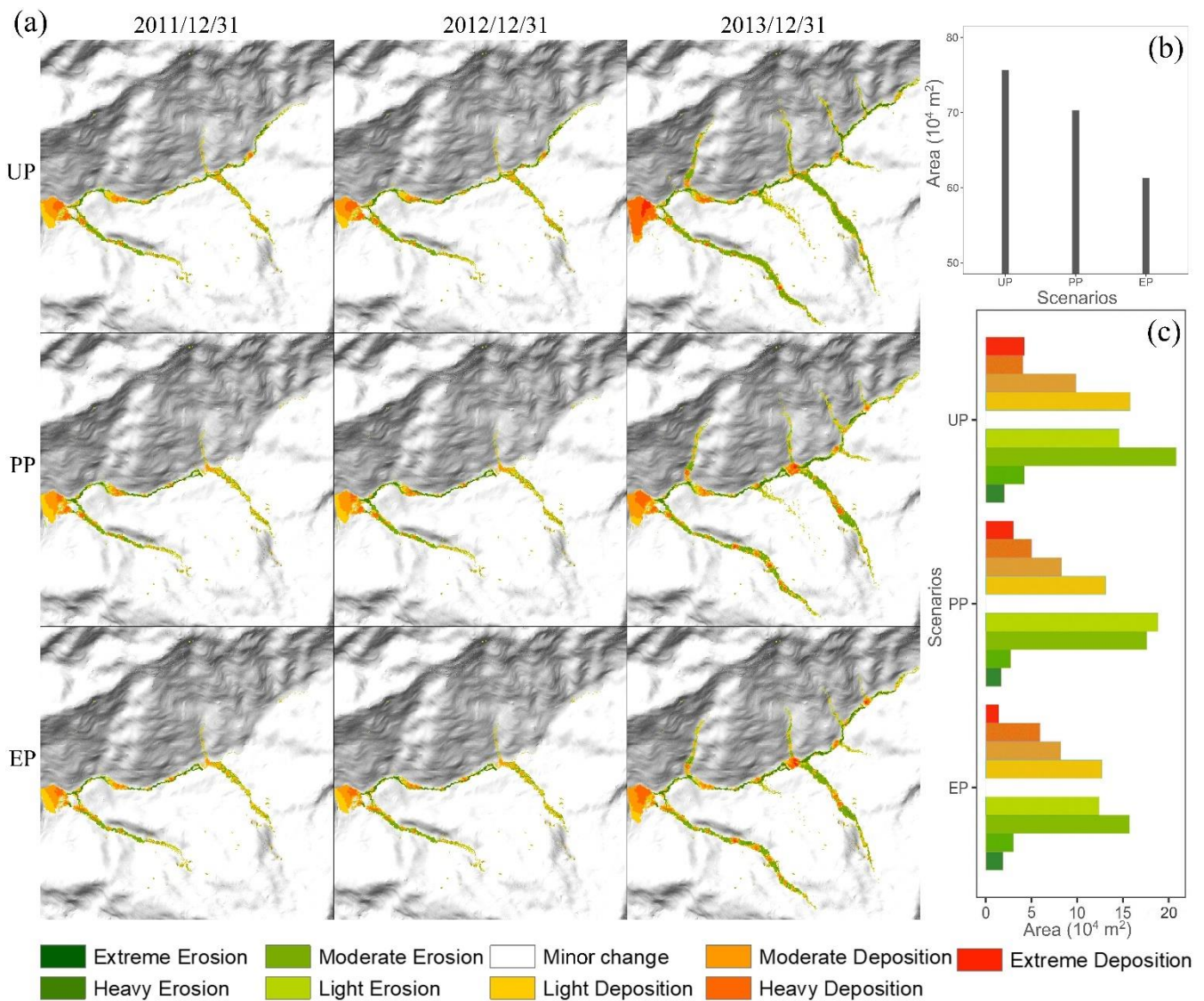
Figure 5: The comparison of cross-sections from the simulation results to the field measurements after 2013 in Scenario PP.

4.2 Overall geomorphic changes

Figure 6a compares the three annual landform changes in each scenario, which are classified into nine categories according to natural breaks for EleDiffs: extreme erosion (<-7 m), heavy erosion (-7--3 m), moderate erosion (-3--1 m), light erosion (1-0.1 m), minor change (-0.1-0.1 m), light deposition (0.1-1 m), moderate deposition (1-3 m), heavy deposition (3-7 m), and extreme deposition (>7 m). A similar spatial pattern of erosion is observed in all three scenarios. More specifically, erosion mainly emerges in the main channel and the branch valleys, among which the left branches exhibit more pronounced erosion. In contrast, the deposition zone appears to vary in the three scenarios, especially in the area behind the two dams present in Scenarios PP and EP.

The total area of erosion and deposition in the three scenarios is calculated to compare the impact of sediment transport (Fig. 6b). The affected area in Scenario UP is approximately 0.76 km² (5.4% of the total catchment), which is larger than that in Scenario PP (0.70 km², 5.0% of the whole catchment), and the affected area decreases to 0.61 km² (4.4% of the total catchment) in Scenario EP. The total area of erosion and deposition decreases gradually with more controlling measures established in this study.

Figure 6c compares the extent of geomorphic changes in three situations using the ranges that varied in depth. The areas of light and moderate erosion are greater than the areas of extreme and heavy erosion in all three scenarios. The zone of each erosion degree in UP is more extensive than that in PP, followed by that in EP. In addition, the greater the deposition depth is, the smaller the area of deposition. In particular, the extreme deposition area is greater than the area of heavy deposition in the UP scenario. Further analysis shows that the extreme, moderate, and light deposition areas decrease in the order of UP, PP, and EP. The heavy deposition area shows the opposite trend, mainly attributed to the check dams and slope protection with vegetation.



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296

297

Figure 6: (a) Simulated geomorphic changes over time for the three scenarios; (b) The affected area of deposition and erosion for the three scenarios; (c) The columnar distribution of different erosion and deposition levels.

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4.3 Details of key locations

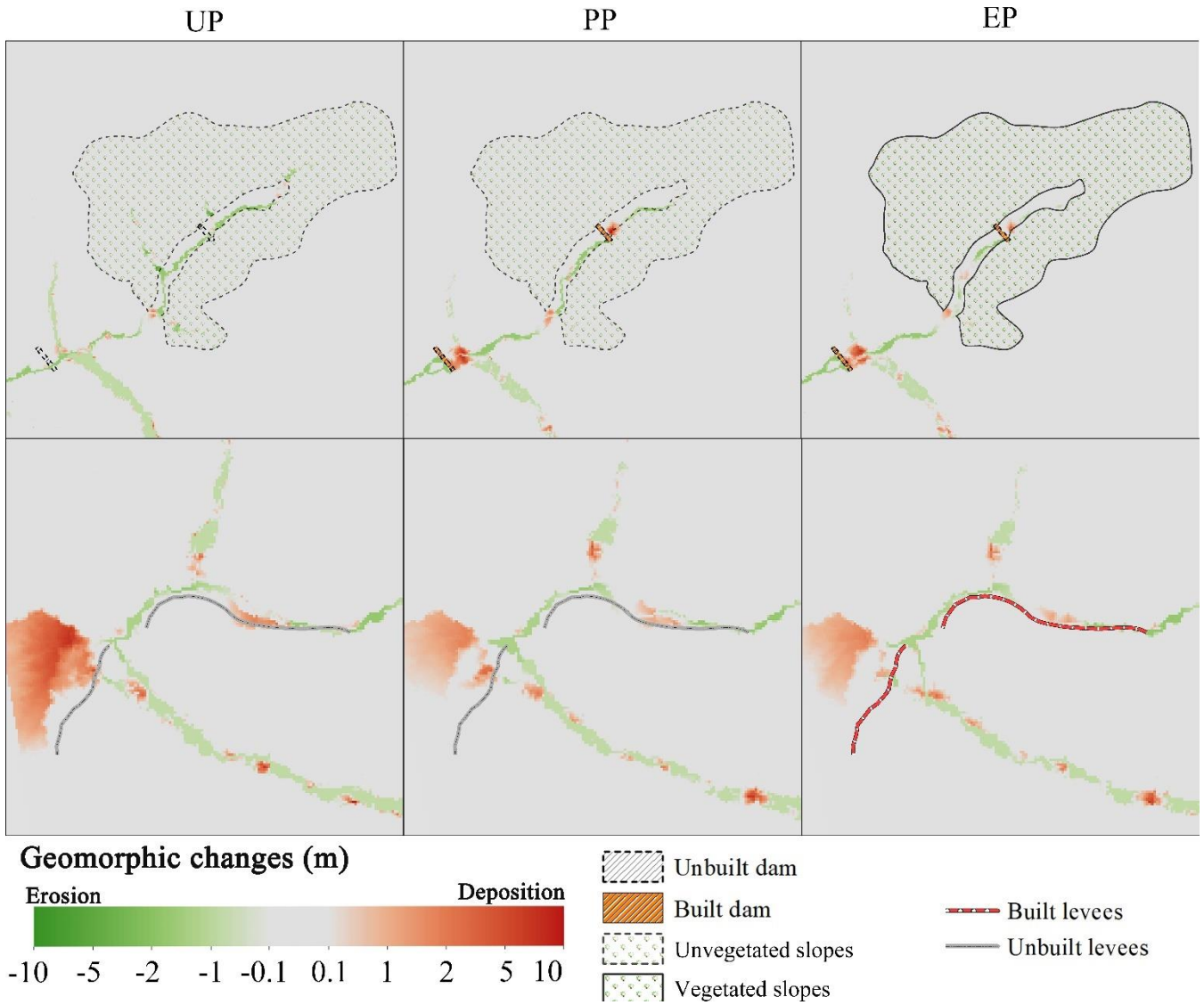
299

As shown in Fig. 7, the control measures and surroundings for the three scenarios are further investigated. Behind the two dams upriver in Scenarios PP and EP, the evident orange clusters indicate deposition. In contrast, these locations are dominated by erosion, shown in green, in scenario UP. Further analysis of the sediment depth shown in Fig. 8 shows that the deposited depth behind the dams in Scenario EP is lower than that in Scenario PP. Additionally, in Scenario PP, sediment trapped by dam 1 is less than that of dam 2, but both have deposition thicknesses of more than 10 m, which exceed the dams' heights (dam 1's height is 10 m, dam 2's height is 9 m). For the simulation results in Scenario EP, the values of deposition depth behind the two dams are nearly 8 m, which is lower than the dams' heights.

306

The additional ecological protection measure alters the material produced from the upriver tributary gullies. A sediment volume of $14.4 \times 10^4 \text{ m}^3$ is transported from the vegetated slopes in the EP scenario (solid lines in Fig. 7). A total of $27.1 \times 10^4 \text{ m}^3$ and $16.9 \times 10^4 \text{ m}^3$ of loose material are produced in the same region without ecological protection in Scenarios UP and PP, respectively. The vegetated slopes enhance sediment conservation in conjunction with dam 1. Compared with the deposition in UP and PP without levees in the downriver area (shown in the bottom row of Fig. 7), the levees in EP block debris in the bend of the channel and play an essential role in protecting the residents and cultivated land behind the levees.

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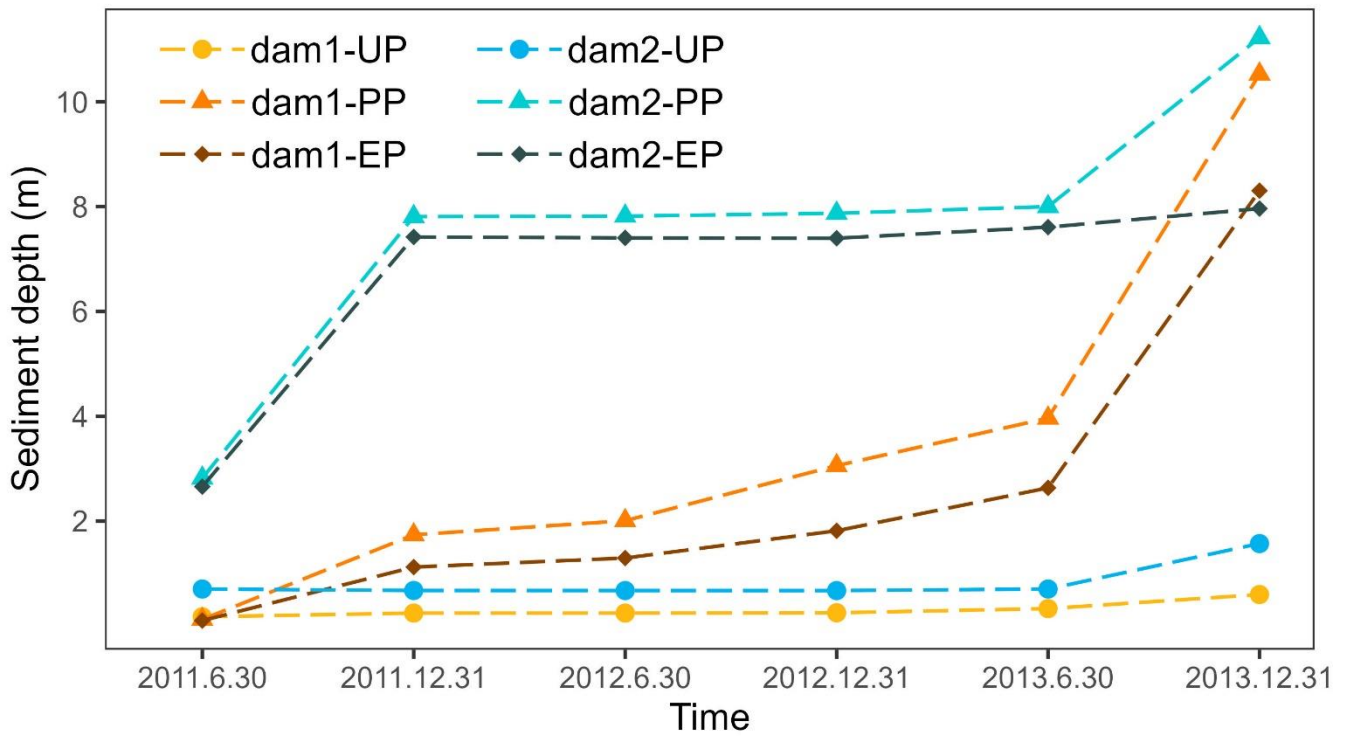


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Figure 7: Geomorphic changes at key locations of the simulation results for the UP, PP, and EP scenarios. The top row is the upriver extent containing dam 1, dam 2 and the vegetated slopes. The bottom row is the downriver extent containing levees.

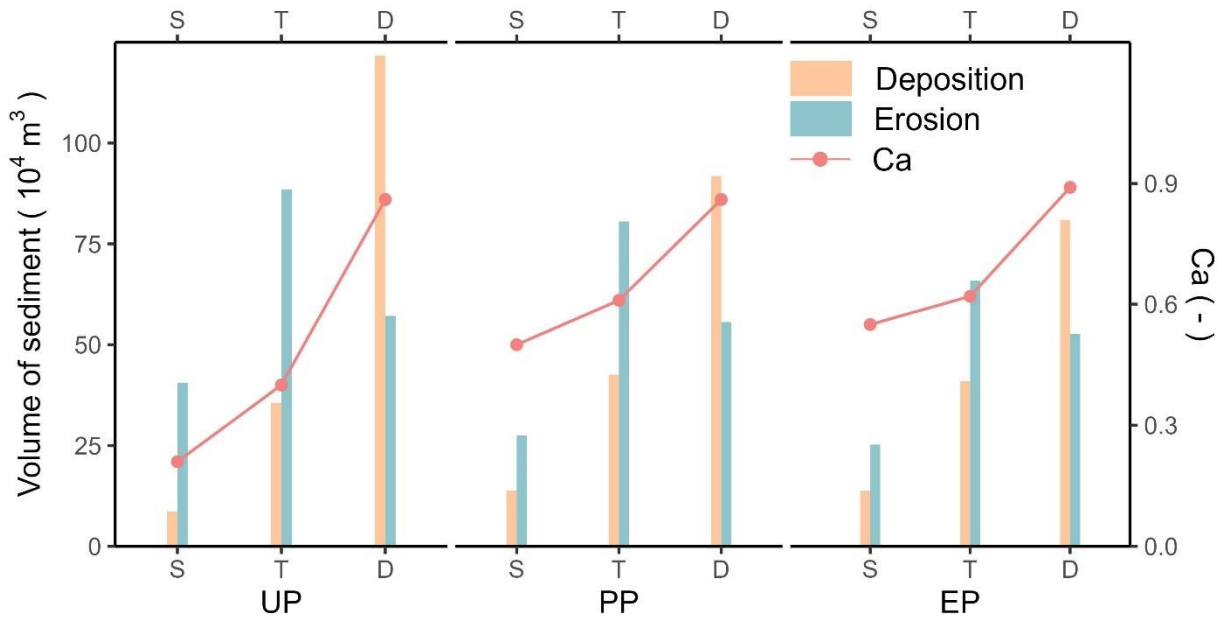


315
316 **Figure 8: The depth of deposited sediment in the dams' placements.**

317 **4.4 Effectiveness assessment of the intervention measures**

318 Figure 9 shows the erosion and deposition volumes in the source, transitional, and deposition areas and compares the conser-
319 vation ability (Ca) in each scenario. For all three scenarios, the deposition volume in the source area is less than that in the
320 transitional area, and the largest amount of sediment accumulates in the deposition area. Regarding the eroded sediment, the
321 largest volume is in the transitional area, followed by the transitional area, and the source area presents the lowest volume.
322 Moreover, sediment transport is best controlled in the deposition area and worst contained in the source area under any inter-
323 vention conditions.

324 Compared with the Ca of the source area in Scenario UP, the value increases by 138.1% in Scenario PP, which is attributed to
325 dam 1. Likewise, dam 2 in the transitional area effectively reduces sediment loss, which is reflected by a 52.5% increase in
326 Ca . Furthermore, the mitigation measures in Scenario PP with vegetated slopes and levees in Scenario EP act best. The con-
327 servation ability in the source area increased by 161.9% due to the dam retainment and slope protection with vegetation, and
328 the levees helped increase the Ca by 3.49% in the deposition area.



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Figure 9: The volumes of sediment and the conservation ability (Ca) in the three areas for each scenario (S: source area; T: transitional area; D: deposition area).

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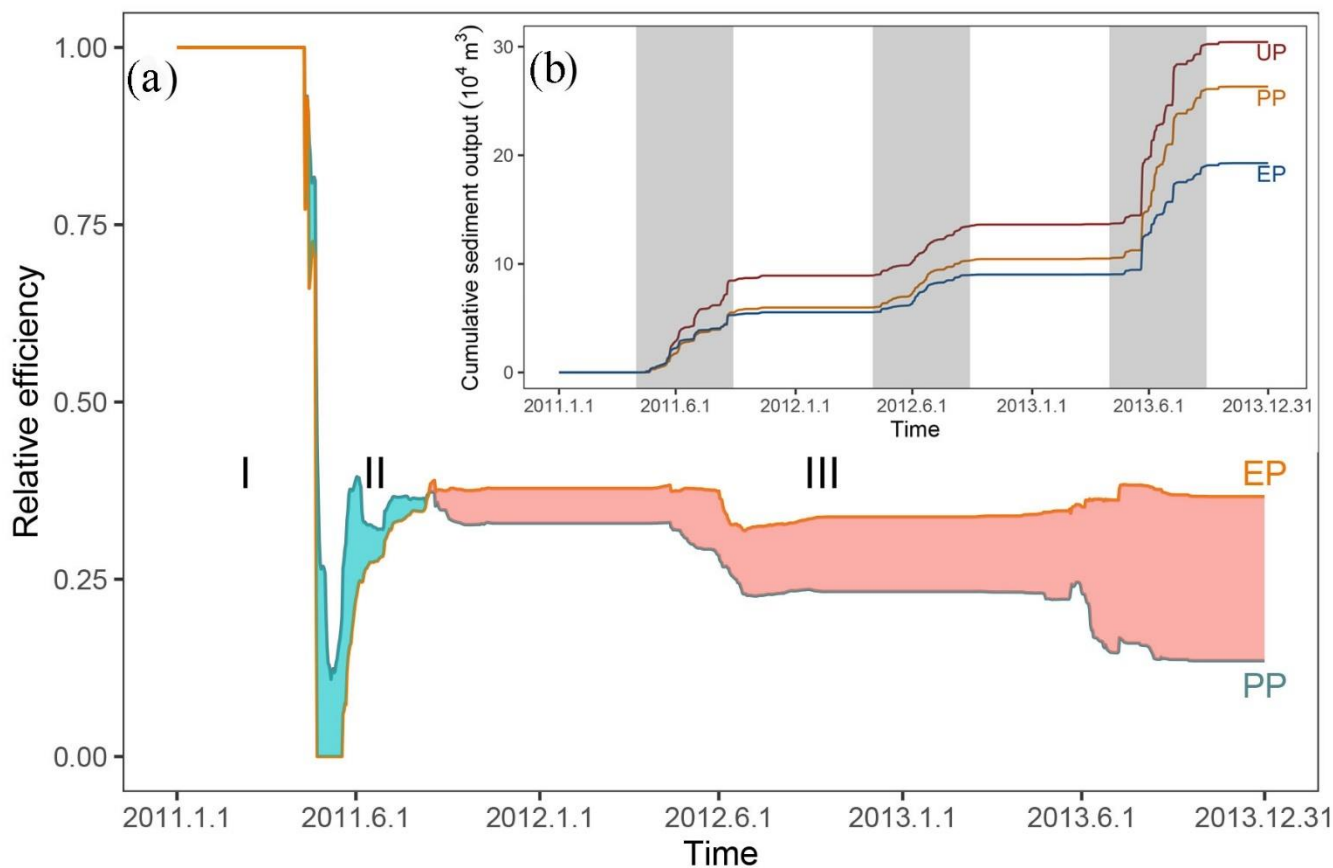
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The cumulative sediment yield time series for each scenario and the relative efficiency of scenarios UP and EP are presented in Fig. 10b and Fig. 10a, respectively. The steep curve of the output cumulative sediment indicates a significant increase in deposition. Three increasing stages are consistent with the rainfall intensity in the three monsoons (May-Sept). The total sediment output in UP is the largest at $\sim 30.4 \times 10^4 \text{ m}^3$, followed by the sediment yield of PP at $26.3 \times 10^4 \text{ m}^3$, and EP produced the least material at $19.3 \times 10^4 \text{ m}^3$.

The relative efficiency over the period of controlling measures by human intervention in PP and EP (Fig. 10a) indicates three distinct stages. Stage I shows that the intervention measures in both scenarios completely prevent sediment transport. Later, stage II shows a peculiar period when the effect of enhanced protective measures in EP is less than that in PP through repeated experiments. In stage III, the relative efficiency of the intervention measures in EP is greater than that in UP, which achieves the long-term effect and stable conservation of solid material.



342

343 **Figure 10: (a) Relative efficiencies of Scenarios UP and EP compared with that of Scenario UP (cyan shading represents when PP is**
 344 **more effective than EP and red shading represents the opposite); (b) Cumulative sediment yield over time (grey region highlighting**
 345 **three monsoons).**

346 5. Discussion

347 5.1 Model calibration and uncertainty

348 Calibration and uncertainty analysis are important issues in the CAESAR-Lisflood (C-L) simulation of the geomorphic re-
 349 sponse to intervention measures based on the CA framework (Yeh and Li, 2006). A preliminary calibration was carried out in
 350 our study by reproducing the geomorphic changes and water depth driven by an extreme rainfall event that occurred in 2018.
 351 The results (Fig. S3) demonstrated that the C-L model can well replicated the flash flood event using the initial conditions and
 352 model parameters. The calibration of the geomorphic response to the intervention measures was derived from a direct compar-
 353 ison between the model results and observed measurements (Fig. 4 and Fig. 5). As a result, the simulated water discharge
 354 was greater than the measured discharge but on the same order of magnitude. Moreover, the errors of erosion and deposition
 355 depth between the simulation in Scenario PP and photographic evidence at three locations were less than 20%. These results
 356 suggest the robustness of the model settings and parameterisation.

357 The source of uncertainty is mainly from the model parameters and driving factors. Skinner et al. (2018b) provided a detailed
 358 sensitivity analysis of C-L, indicating that the sediment transport formula significantly influences a smaller catchment mod-
 359 elled by 10 m grid cells. The sediment transport law and the Wilcock and Crowe equations (Wilcock et al., 2003) have been
 360 proved suitable in the Xingping valley (Xie et al., 2018, 2022a, b; Li et al., 2020). Nevertheless, the empirical models of
 361 sediment transport overpredict bedload transport rates in steep streams (gradients greater than 3%) (D'Agostino and Lenzi,
 362 1999; Yager et al., 2012). Additionally, the input hourly rainfall data downscaled from the daily sequence, is an unrealistic
 363 situation. Various sediment transport equations and downscaled hourly rainfall data need to be tested in the C-L model to
 364 further decrease uncertainty.

365 5.2 The intervention effects

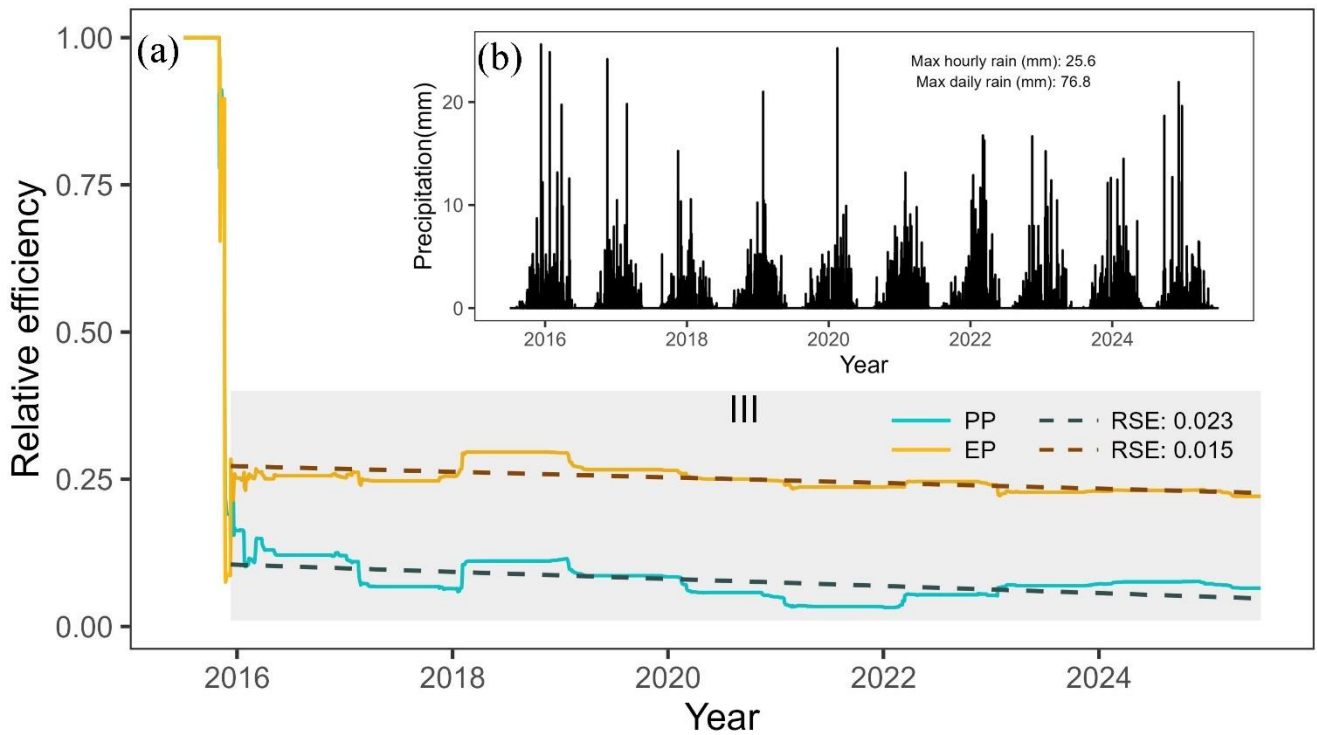
366 In this study, various measures were taken to represent three intervention scenarios with the goal of controlling sediment
367 transport. The C-L model simulated the geomorphic responses to intervention measures and suggested the considerable influ-
368 ence of intervention measures on spatial modifications and sediment yield. The intervention measures lead to reductions in the
369 total affected area (7.9%-19.7%) and lower sediment yields (16.7%-36.7%), as demonstrated by the overall evidence (see Fig.
370 6 and Fig. 10). The model's prediction of the overall catchment-scale dynamics in response to extreme events is in line with
371 the viewpoints of other authors (Chen et al., 2023; Lan et al., 2020; Chen et al., 2015).

372 The mitigation measures change the soil conservation ability considerably in the subregions including source area, transitional
373 area and deposition zone, especially in the source area. We postulated that the decreased erosion in the source area compared
374 to the other two subregions, which can be caused by the interactions of loose material and topographic constraints. First, most
375 of the loose solid material triggered by the strong earthquake has stabilised since the 2008 debris flow (details in Table S1).
376 Second, the long and deep gullies are mainly located in the transitional area (Yaogouli, Shicouzi, Yangjiashan) and deposition
377 area (Qinggangping). These gullies provide a greater sediment supply than the source area. As shown in Fig. S4, the movement
378 of the material occurs mainly in the branch valleys in the transitional and deposition zones.

379 Moreover, morphological changes and the ability of soil conservation in three scenarios show the unique role played by dif-
380 ferent intervention measures. For example, check dams are most effective in blocking sediment, vegetated slopes can further
381 strengthen the conservation ability. The synergetic effect of the combination of check dams and vegetation coverage increases
382 the soil conservation ability by more than twofold. The levees can pose a discernible impact on sediment conservation with
383 specific object-oriented protection.

384 The effectiveness of mitigation measures decreases over time. We performed an additional ten-year experiment to reveal the
385 declining trend over an extended period. We randomly selected one of the 50 repeated rainfall datasets (year 2016-year 2025)
386 downscaled by Li et al., 2020, which were generated from the NEX-GDDP product (spatial resolution: $0.25^\circ \times 0.25^\circ$, temporal
387 resolution: daily) under the RCP 4.5 emission scenario. The extracted rainfall sequence was then input into the C-L model to
388 simulate the effectiveness of the three intervention scenarios. The result (Fig. 11) illustrates that stage III (the stable stage that
389 started on the 161st day, in which Scenario EP's intervention measures were more effective) lasted longer than stages I and II.
390 The relative effectiveness in both the PP and EP scenarios decreased gradually, while the curve fell faster in the PP scenario
391 (slope: -1.65×10^{-5}) than in the EP scenario (slope: -1.31×10^{-5}).

392 The storage capacity of the check dams decreases with sediment accumulation, and this decrease necessarily leads to a gradual
393 reduction in intervention effectiveness. However, slope protection with vegetation remains operationally effective in reducing
394 sediment transport by stabilising topsoil over the period when the role of dam reservoirs gradually fails due to the lack of
395 dredging work. Therefore, the vegetation protection strategy is vital for "green development" to reduce sediment loss but
396 requires further efforts.



397

398 **Figure 11: Rainfall input over ten years and relative efficiency of sediment intervention measures. (a) Relative efficiency changes**
 399 **over ten years (the grey region highlighting stage III, and the dashed lines indicate the linear fitting curves); (b) Rainfall downscaled**
 400 **from the NEX-GDDP (NASA Earth Exchange Global Daily Downscaled Projections) product.**

401 5.3 Limitations and applications

402 We built the check dams and levees in our simulations by increasing the elevation in specific locations where they could not
 403 be eroded (see <https://sourceforge.net/projects/caesar-lisflood/>), which has been proved experimentally feasible (Poeppl et al.,
 404 2019; Gioia and Schiattarella, 2020). The check dam and levee bodies embedded in the model were not broken or weakened
 405 over time so that the simulation result could underestimate the geo-hazard risks. Considering the complexity of the geo-hazard
 406 mechanism, the abovementioned tools cannot simulate the occurrence process of geo-hazard chain links. They ignore the
 407 possible instantaneous damage to the environment and facilities downstream.

408 The methods applied in the study further demonstrate that the C-L is an effective tool for understanding short-medium term or
 409 long-term geomorphic changes (Ramirez et al., 2022; Li et al., 2020; Coulthard et al., 2012a) and testing the effectiveness of
 410 intervention measures under different scenarios. Our simulations indicate that the mitigation measures in this study are effec-
 411 tive, especially the combination of check dam and vegetated slopes in the upstream area, which could help decision-makers
 412 optimise the management strategies to control mountain disasters. Though geotechnical engineering is a mature technology
 413 that can effectively prevent geo-hazard occurrence (Cui and Lin, 2013), it has disadvantages such as extensive cost and the
 414 difficulty of maintenance. In “green development”, the planting and maintenance of vegetation cover can effectively prevent
 415 erosion by strengthening topsoil and absorbing excess rainwater via roots (Reichenbach et al., 2014; Stokes et al., 2014; Forbes
 416 and Broadhead, 2013; Mickovski et al., 2007). Alternatively, these methods can be used to study the impact of tree planting
 417 patterns on sediment dynamics.

418 6. Conclusions

419 In this study, scenarios involving check dams, vegetated slopes and artificial barriers were simulated using the C-L model to
 420 outline the erosion and deposition areas, measure the impacts of sediment blocking and retention, thus examine how vegetated
 421 slope help stabilise slopes. Four key findings were obtained. First, the geotechnical engineering used for controlling sediment

422 transport are efficient, and their performance in protecting the fragile environment can be improved by integrating with other
423 intervention measures, such as ecological engineering and artificial barriers. Second, the effectiveness of mitigation measures
424 decreases over time. Third, the characteristics of the sediment transport patterns are considerably altered due to the intervention
425 measures. The stabilising sediment ability in the source area increased by 161.9% with the additional effect of slope protection
426 with vegetation. To sum up, the present intervention measures need to be refined with regular dredging works to maintain the
427 effectiveness of reducing sediment transport.

428 **Declaration of interest statement**

429 The authors declare that they have no known competing financial interests or personal relationships that could have appeared
430 to influence the work reported in this paper.

431 **Author contribution**

432 Di Wang: Conceptualisation, Methodology, Software, Writing-original draft preparation. Ming Wang Kai Liu and Jun Xie:
433 Supervision, Methodology, Writing- Reviewing and Editing, Validation.

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437 the freely available C-L model (<https://sourceforge.net/projects/caesar-lisflood>).

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