



1 **Assessment of Short-medium Term Intervention Effects Us-**
2 **ing CAESAR-Lisflood in Post-earthquake Mountainous**
3 **Area**

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11

12 **Abstract**

13 The 2008 Wenchuan earthquake triggered local geomorphic changes rapidly and
14 gradually and produced abundant materials through external processes. The abundant
15 materials increased the risks of geomorphic hazards (flash floods, landslides, and de-
16 bris flows) induced by extreme precipitation in the area. To reduce sediment transport
17 present in geomorphic hazards, intervention measures such as dams, levees, and vege-
18 tation revetments have been constructed in specified sites.

19 This study concentrated on the assessment of intervention effects incorporated
20 with various facilities on post-earthquake fragile mountains in the short-medium term.
21 Take the Xingping valley as an example, we used the CAESAR-Lisflood landscape
22 evolution model to simulate three different scenarios including unprotected land-
23 scapes, present protected landscapes, and enhanced protected landscapes in 2011-
24 2013. We compared the geomorphic changes and defined two indicators to assess the
25 intervention effects.



26 The results showed that the mitigation facilities were effective, especially engi-
27 neering measures that cooperated with vegetation revetments in the upstream area,
28 and the present mitigation measures were inadequate to stop materials loss and pre-
29 vent hazards from the upstream area. Moreover, the effectiveness reduced gradually
30 caused by the storage capacity of dams decreased. The simulation methods assessed
31 the ability and effectiveness of cooperated control measures and could support opti-
32 mum mitigation strategies.

33 1. Introduction

34 Strong earthquake shaking fractures rock mass; the resulting cracks are propa-
35 gated into a weak plane (Huang, 2009) by weathering and erosion; the resulting
36 source materials increase in mountainous regions, and modify mountain landscapes by
37 various surface processes for days, years, and millennia (Fan et al., 2019). That means
38 the quake-stricken areas will trigger landslides (a general term to describe the
39 downslope movement of soil, rock, and organic materials under the influence of grav-
40 ity and also the landform that results from such movement) by complicated processes.
41 The devastating earthquake measuring $M_s = 8.0$ (the surface-wave magnitude which is
42 the logarithm of the maximum amplitude of ground motion for surface waves with a
43 wave period of 20 seconds) that struck the Wenchuan area has produced landslides
44 that threaten highways, railways, towns, and other infrastructure. Although limited
45 comprehensive mitigation measures were constructed in potentially dangerous sites,
46 disasters still occurred because of complex processes and origins, high-frequency pre-
47 cipitation, and the low cost of treatment (Cui et al., 2013; Yu et al., 2010). Therefore,
48 understanding intervention measures is crucial for effective mitigation. More studies
49 mainly focus on the establishment of post-evaluation effectiveness index systems



50 without more practices (N. Wang et al., 2015; L. Zhang and Liang, 2005) and long-
51 term measurement of changes before and after mitigation measurement by field sur-
52 veys (Chen et al., 2013; Zhou et al., 2012). The subjective expression determines that
53 the index system establishment is still in the theoretical stage and the measurement
54 cost is high in time and money. Recent research compares the disaster characteristics
55 before and after the intervention, which are quickly obtained from disaster simulation
56 (Cong et al., 2019). While the characteristics express the process ignoring the long
57 time effects on the geomorphic changes. Thus, the short-medium term and spatial geo-
58 morphic changes quickly obtained from the simulation will provide more details to in-
59 terpret engineering measures in special sites even in those inaccessible to humans.

60 The open access 2-D landscape evolution model CAESAR-Lisflood (C-L) is
61 based on Cell Automata (CA) framework, which has powerful spatial modeling and
62 computing capabilities to simulate complex dynamic systems (Batty et al., 1997;
63 Batty and Xie, 1997; Couclelis, 1997), enables the study of many earth system inter-
64 actions with different environmental forces. Representation of deposition and erosion
65 within C-L is used widely in rehabilitation planning and soil erosion predictions from
66 a post-mining landform (Hancock et al., 2017; J.B.C.Lowry et al., 2019; Saynor et al.,
67 2019; Slingerland et al., 2019; Thomson and Chandler, 2019) and channel evolution
68 and sedimentary budget in dam settings (Gioia and Schiattarella, 2020; Poepl et al.,
69 2019). In addition, there have been a series of studies in the mountainous area involv-
70 ing secondary geo-hazard driving factors (Li et al., 2018; M. Wang, Liu, et al., 2014)
71 and vegetation recovery (X. Zhang et al., 2018). C-L was used with different scenarios
72 of rainfall or future climate change to interpret the landscape evolution after the Wen-
73 chuan earthquake (Li et al., 2020; Xie et al., 2018). The methods and parameters val-
74 ues used in the above research helped to promote the application in other study areas.



75 In this study, we compared the short-medium term scenario simulations to assess
76 the effectiveness of a set of mitigation facilities and to analyze the role of each meas-
77 ure in the specific site. The results will guide the control of secondary geological dis-
78 asters after an earthquake.

79 2. Study area

80 2.1 Regional characteristics

81 The study area was Xingping valley in the northeastern Sichuan province, a left
82 branch of the Shikan River (a tributary of the Fu River) (Fig. 1). There are nearly two
83 hundred households scattered among more than five villages in the catchment. The to-
84 pography of the catchment is rugged with an elevation between 800 and 3036 m and
85 an area of approximately 14 km². The catchment shape looks like a “leaf” with a
86 nearly U-shaped main ditch characterized by a high longitudinal gradient (~ 120‰)
87 and more than ten small V-shaped branch gullies. The length from northeast to south-
88 west is 5770 m, the other direction perpendicular to which is 4150 m. The region is
89 characterized by a humid temperate climate with a mean annual temperature of
90 14.7°C. The mean annual precipitation is up to 807.6 mm with maxima between May
91 and September. The steep terrain and short-term heavy rainfall make an ephemeral
92 stream in this area.

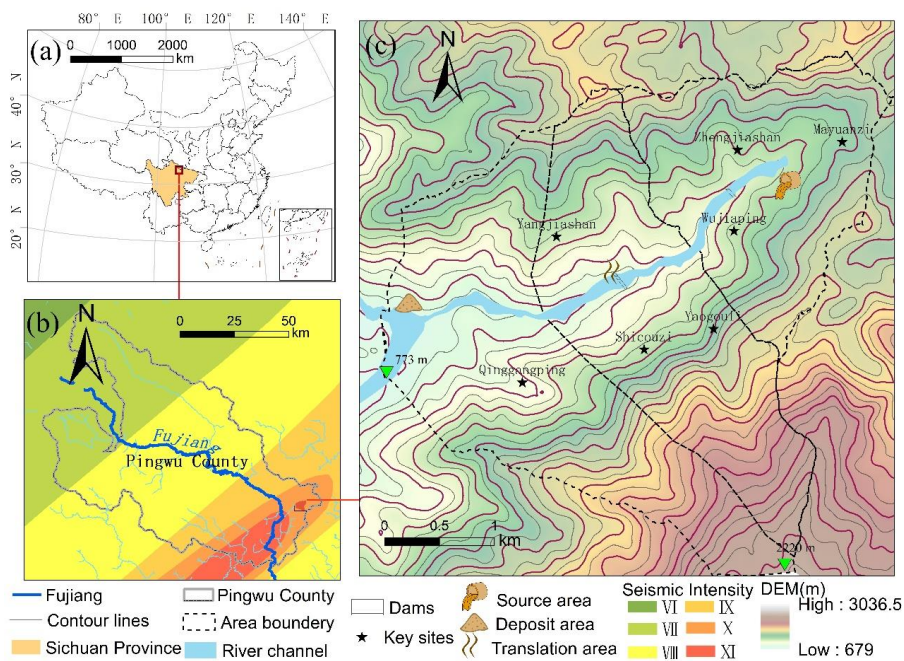
93 The geological settings are mainly distributed metamorphic sandstones, sandy
94 slate, crystalline limestone, and phyllite of Triassic Xikang Group (T_{3xk}) and Silurian
95 Maoxian Group (S_{mx}), which easily induce a large amount of loose solid material after
96 weathering of a static process. Wenchuan earthquake, a dynamic process made this
97 area one of the most severely affected locations with a Modified Mercalli Intensity
98 scale of IX and X (M. Wang, Yang, et al., 2014). The earthquake strengthened the



99 solid material produced and reached 10^6 m^3 by triggering landslides and other surfi-
100 cial movements from Mayuanzi, Zhengjiashan, and Wujiaping (Fig. 1)(Guo et al.,
101 2018).

102 *2. 2 Historical hazards and intervention measures*

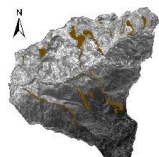
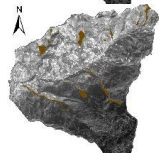
103 To reflect most of the landslides processes in spatial relationships according to
104 the site survey and literature research on the characteristics of the historical hazard,
105 we divided the study area into three regions: source area, translation area, and deposit
106 area (Feng et al., 2017; Guo et al., 2018; Zhao et al., 2019) (the dashed lines in Fig. 1.
107 (c)). The loose solid materials induced by severe rain are easily motivated from the
108 source area to the deposit area through the translation area. There burst 6 group debris
109 flow-flash flood disaster chains in rainfall season according to field surveys. Table 1
110 shows the occurred time, total rainfall of each period, corresponding disaster descrip-
111 tion, and landslides distribution delineated from remote sensing image data.



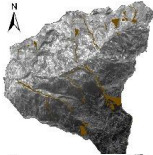
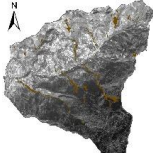
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Fig. 1 The location of the study area. (a) Location within China. (b) Location within the seismic intensity ranges of the Wenchuan earthquake. (c) The spatial relationship of the source area, translation area, deposit area, and distribution of elevation.

Table 1 History of hazards in the study area

| Time | Total rainfall (mm) | Details | Landslides distribution |
|----------------|---------------------|--|---|
| 2008.9.24 | 140.0 | The debris flows after the earthquake first broke out from Mayuanzi and the deposited sediment was up to $5.0 \times 10^4 \text{ m}^3$ at the junction with the Shikan river, which resulted in collapsed houses and a mess of farmland in the inundation. * | / |
| 2009.7.15-7.16 | 200.0 | The debris flow erupted for 20 min and carried $2.5 \times 10^4 \text{ m}^3$ solid materials into the outlet section in the catchment. * | / |
| 2010.8.13 | 223.3 | Loose materials were carried from branch outlets into the main outlet and deposited in their routes. * |  |
| 2011.8.20 | 118.0 | The scenario was like in 2010.8.13, while damaged less. * |  |



| | | | |
|---------------|-------|---|---|
| 2013.7.7-7.12 | 800.0 | The landslides occurred in the upper steep branch, turning to a rapid and large flow-like motion in the main outlet and sweeping over the houses, pigsty, and arable land near the channel. Eventually, the mixture of soil and fragmented rocks accumulated $29.5 \times 10^4 \text{ m}^3$. * |  |
| 2018.7.9-7.11 | 360.0 | Several branches burst debris flows, and the materials from Qing-gangping accumulated on the road more than 2 m. * |  |

117 *means the sources are mainly from literature research (Feng et al., 2017; Guo et al.,
118 2018; Zhao et al., 2019)

119

120 Vulnerability to landslide hazards is a function of a site's location (topography,
121 geology, drainage), type of activity, and frequency of past landslides (Highland and
122 Bobrowsky, 2008). Consequently, this landscape will not stop experiencing landslide
123 hazards in the short term. To stabilize the loose solid materials, an engineering control
124 project was completed in October 2010. The project included two blocking dams, one
125 of which was in the upper source area and the other in the translation area (Feng et al.,
126 2017)(Fig. 1(c)). The storage capacity of the two reservoirs are, respectively, 5.78×10^4
127 m^3 and $7.2 \times 10^4 \text{ m}^3$ and the upper dam (10.0 m) is higher than the other one (9.0 m).
128 With deposited in the reservoirs gradually, the first dredging work was after landslide
129 hazards in 2013 and the upper reservoir remained at half capacity in 2016, meanwhile,
130 the lower reservoir was full of loose material.

131 3. Materials and Methods

132 3.1 Scenarios settings

133 The abundant source materials of landslides are provided in the quack-stricken
134 area. Control processing should be performed to prevent the transportation of loose
135 solid materials. We simulated three scenarios incorporating engineering measures and
136 biological measures to assess the geomorphic response in 2011-2013 and then as-



137 sessed the effectiveness of intervention measures. Scenario UP: Unprotected land-
138 scapes, which means the sediment will move with no anthropogenic intervention. Sce-
139 nario PP: Present protected landscapes, the present two blocking dams stop a large
140 amount of material from moving downslope in 2011-2013 without dredging work all
141 the time (see section 2.2). Scenario EP: Enhanced protected landscapes, the two
142 blocking dams in Scenario PP plus vegetation revetments in the source area and lev-
143 ees in the deposit area. The placement of additional facilities was decided by the an-
144 nual field survey results, where there are still a large number of materials and the set-
145 tlements would be damaged every year (see Fig. 2 and Section 3.2.2). The vegetation
146 revetments reduce erosion by enhancing the infiltration capacity of soil and reducing
147 the surface flow velocity. The levees are artificial embankments to protect the plow
148 land and buildings; they are constructed to prevent flow and prevent the mix of water
149 and sediment from overflowing and flooding surrounding areas. We simulated and
150 compared the three types of situations described above.

151 *3.2 C-L model description and setting*

152 The C-L (Tom J Coulthard et al., 2013) was integrated the Lisflood-FP 2D hy-
153 drodynamic flow model (Bates et al., 2010) with the CAESAR geomorphic model (T
154 J Coulthard et al., 2002; Van De Wiel et al., 2007), which is based on CA framework
155 to suit the gridded data required in geomorphic processes simulation. Its stronger
156 physical basis in a two-dimensional hydrodynamic flow model and faster simulation
157 in a complete catchment over time scales from hours to thousands of years made it our
158 surface process simulator. The catchment mode requires the surface digital elevation
159 model (DEM), the bedrock DEM, the grain size distribution, the rainfall data and
160 other parameters (Table 2), and related output settings.



161 Besides the creative flow model, which is used to simulate the shorter term hy-
162 drodynamic effects, there are three main parts hydrological model, erosion and depo-
163 sition model, and slope progress. The hydrological model uses input rainfall data to
164 generate runoff in the catchment based on adaption of TOPMODEL (Topography
165 based hydrological model) (Beven and Kirkby, 1979), which is routed in flow model
166 including velocity and depth, which are then used to calculate shear stress that can
167 then be used to calculate fluvial erosion and deposition. The slope model enables ma-
168 terials from the slope to be fed into the fluvial system with mass movement occurring
169 when a critical slope threshold is exceeded and soil creep as a function of the slope.
170 These models update variables in square gridded cells at any time interval, such as el-
171 evation and derived topographic data, grain sizes and proportion data, hydrological
172 data (e.g., discharge, water depth, velocity), and other types of generalization data.

173 For three different scenarios, we reconstructed four parameters formatted differ-
174 ently in catchment mode such as DEM, bedrock DEM, M, and rainfall series. The ar-
175 rangements of the input parameters are described as follows.

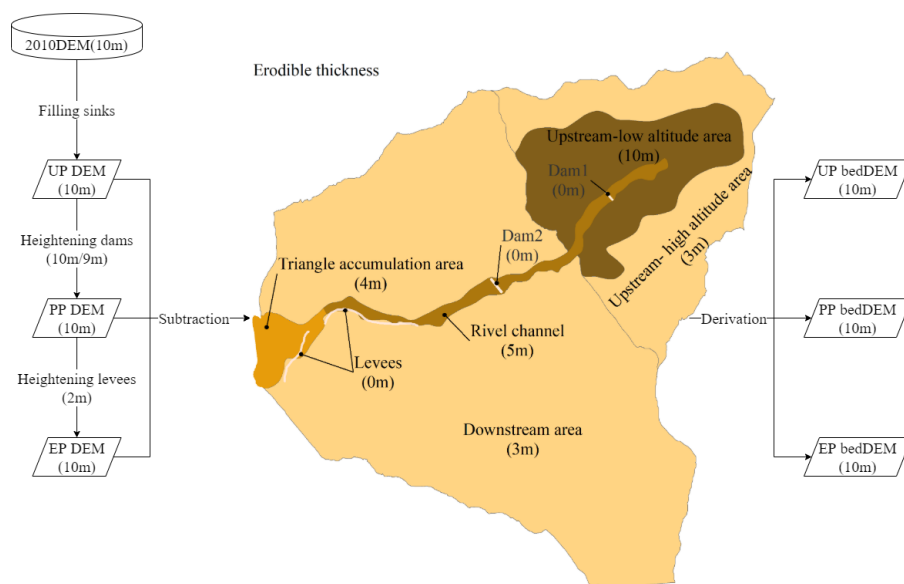
176 3.2.1 Surface and bedrock digital elevation model

177 Although the run time of the C-L simulation increases exponentially as the num-
178 ber of grid cells increases, to describe clearly the control process, especially the two
179 dams and levees in the catchment, we unified grid cell scales to 10 m for all needed
180 data. The GlobalDEM product with a 10 m × 10 m resolution and 5 m (absolute) ver-
181 tical accuracy was used as the prepared data to form three types of initial DEMs (UP
182 DEM, PP DEM, and EP DEM). Before rebuilding initial DEMs, we filled the sinks of
183 the original GlobalDEM, which were prone to form by interpolation operation, and
184 then caused the hydrological module to calculate inconsequently. The DEM could be
185 used as the surface DEM of the unprotected landscapes (UP DEM) in 2011. According



186 to the engineering control project described in Section 3.2.2, present protected land-
187 scapes' surface DEM (PP DEM) was added 10 m and 9 m in the location of dams, re-
188 spectively. Similarly, the enhanced protected landscapes' surface DEM (EP DEM) was
189 extracted by increasing the value of specified grid cells which would be expressed
190 levees building based on PP DEM. And the height of the levees was 2 m, an average
191 height used in the lower river channel of the study area to prevent high and fast flow.

192 From the field survey and the contents of section 2.2, the spatial distribution of
193 erodible thickness (the difference between surface DEM and bedrock DEM) was dif-
194 ferent. The bedrock DEM included in this model for each scenario to stop eroding was
195 derived by subtracting erodible thickness from surface DEM. The distribution of
196 erodible thickness was divided into five regions (Fig. 2) by comparing the foundation
197 of buildings, the exposed bedrock, and the residents' memory of the history of land-
198 slides deposited. The average thicknesses of upstream low and high-altitude areas
199 were set to 10 m and 3 m, respectively, and the erodible layer in the downstream area
200 was supposed to be 3 m. For the river channel and outlet, there would be a large
201 amount of deposition and there were supposed to be 5 m and 4 m approximately. The
202 engineering control processes with two dams in Scenario PP and two dams cooperated
203 with levees in Scenario EP were supposed to be non-erosive concrete. So the erodible
204 thickness of the engineering control processes area was 0 m. Fig. 2 shows the flow
205 chart of the generation of DEMs and bedDEMs. In addition, all of the DEM were for-
206 matted ASCII raster as required in C-L.



207

208 Fig. 2 Flow chart describing the generation of DEMs and bedDEMs (bedDEM: bedrock DEM). All the
209 numbers attached to DEM on both sides indicated the DEM grid's width and the numbers under facilities as
210 dams on the left one are height measured from surface DEM. The numbers in central erodible thickness are the
211 depth of the material which is capable to remove by runoff.

212 3.2.2 Vegetation settings

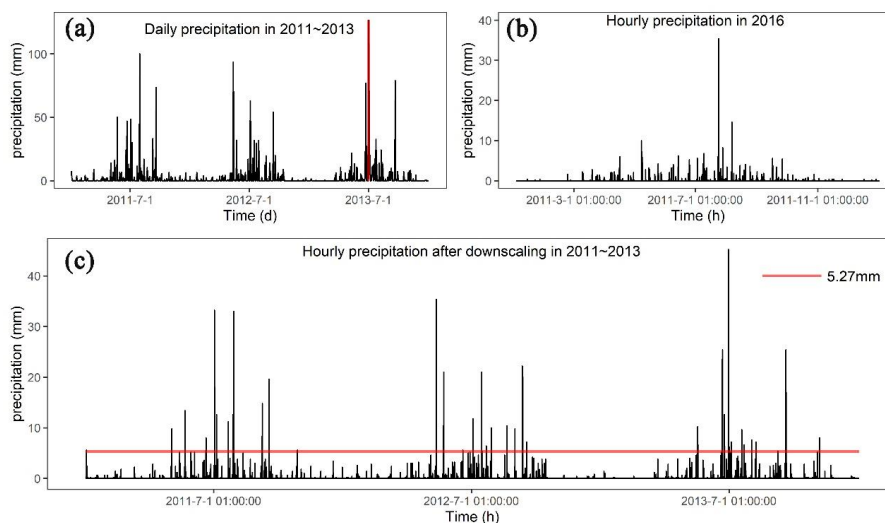
213 Another parameter in scenarios used in simulations was “m” which controlled
214 the exponential decline of transmissivity with depth (Batty et al., 1997) and influ-
215 enced the peak and duration of the hydrograph in response to rainfall. The lower the
216 value of “m”, the lower the vegetation coverage, the flashier flood peaks, and the
217 shorter duration hydrographs. In this research, the “m” in UP and PP scenarios were
218 set to 0.008 without spatial variation, which represented that the vegetation coverage
219 is similar to farmland referenced to research in the same study area by Li et al.,
220 (2020). As mentioned earlier, the upstream-low attitude area covered by the biological
221 measures designed in the EP scenario indicated a high value of “m”. To distinguish



222 the “m” in the biological protected area clearly, the “m” was set to 0.02, equal to the
223 vegetation coverage in the forest (Li et al., 2020).

224 3.2.3 Rainfall data

225 In this research, we compared three scenarios with identical precipitation data
226 during 2011 and 2013 as mentioned in section 3.1. The source data of precipitation in
227 2011-2013 (Fig. 3(a)) was from the China Meteorological Administration
228 (<http://data.cma.cn>) with daily temporal resolution. The rainfall intensity and the fre-
229 quency of extreme events affect patterns of erosion and deposition (Tom J. Coulthard
230 et al., 2012), therefore, we used the stochastic downscaling method to generate hourly
231 data to best capture the hydrological events in this study, which was introduced by Li
232 et al., (2020) and Lee and Jeong, (2014). The referenced hourly precipitation was
233 from the pluviometer located 20 km from the study area in 2016(Fig. 3(b)), with an-
234 nual total precipitation of 684 mm. The rainfall in 2016 was characterized by (1)
235 hourly precipitation from 1.1 mm to 35.4 mm and (2) the maximum and average dura-
236 tion of a rainfall event up to 24 h and 2.8 h. In the downscaling method, the daily rain-
237 fall was divided into four levels (>100 mm, 50-100 mm, 20-50 mm, and 0-20 mm)
238 and the referenced hourly rainfall series of those days whose daily rainfalls were close
239 to the value on the day at a certain level were combined by reproduced, crossed and
240 mutated included in the genetic algorithm (Goldberg, 1989). At last, the downscaled
241 rainfall series were generated by gathering the normalized hourly data based on the
242 daily rainfall. Fig. 3(c) shows the downscaled rainfall series in 2011-2013, which il-
243 lustrated that the downscaled hourly precipitation series was better than the hourly-
244 mean precipitation (5.27 mm) in the day with maximum precipitation (126.5 mm).



245
 246 Fig. 3(a) showed the required downscaling daily precipitation in 2011-2013 (the red vertical line indicates daily
 247 maximum precipitation of 126.5 mm); (b) showed the referenced hourly precipitation in 2016; (c) showed the
 248 downscaled hourly precipitation in 2011-2013 (the red horizontal line indicates the hourly-mean precipitation 5.27
 249 mm in the day with maximum precipitation showed in (a))

3.2.4 Other parameters

251 The C-L model is sensitive to a set of model physically based parameters in-
 252 cluded in Skinner et al., (2018) for an identical catchment with a grid cell size of 10 m,
 253 such as slope for edge cells, grain size set, vegetation critical shear stress, and Man-
 254 ning's n values. These parameters were determined by the application of Xie et al.,
 255 (2018) and Li et al., (2020) in the same study area. In particular, the manning n rough-
 256 ness was set according to suggested values (Arcement and Schneider, 1989) in differ-
 257 ent land-use, and other more sensitive parameters were determined by repeated experi-
 258 ments such as the minimum Q value (see Table 2).

259 Table 2 The C-L parameter values for the simulations of three different scenarios.

| Parameters | Value | Description |
|--|------------------|--|
| 9 kinds of grainsizes (m) (grainsize proportion) ★★ | 0.000074(0.098), | Used for calculating the sediment transport in each active layer |
| | 0.0005(0.138), | |
| | 0.001(0.052), | |
| | 0.002(0.162), | |
| | 0.005(0.158), | |
| | 0.01(0.169), | |



| | | |
|--|--|--|
| | 0.02(0.13), 0.04(0.06), 0.1(0.033) | |
| Suspended fall velocity(m/s) | 0.0003 | Designated as the falling velocity for the finest fraction(74µm) |
| Sediment transport formula ★★★★ | Wilcock and Crowe | A criterion calculated the fluvial erosion and deposition for all cells |
| Max erode limit (m) ★★★ | 0.002 | The maximum amount of material that can be eroded within a cell at each time step |
| In channel lateral erosion rate ★★★ | 20 | Controlling the channel narrowing |
| Active layer thickness (m) | 0.1 | The thickness of a single active layer |
| Lateral erosion rate ★ | 0.000003 | The variable controls lateral erosion |
| Lateral edge smoothing passes | 40 | The number of passes for the edge smoothing filter (distance between two meanders) |
| Vegetation critical shear stress (Pa) ★★★★ | 100 | The value above which vegetation would be removed by fluvial erosion |
| Grass maturity rate (yr) ★ | 1 | The speed at which vegetation reaches full maturity in years |
| The proportion of erosion that can occur when vegetation is fully grown | 0.1 | Determined the effects of vegetation maturity on “in channel lateral erosion rate” and the “lateral erosion rate”. |
| Soil creep rate(m/yr) ★★ | 0.0025 | The variable tends to cause erosion gradually on sharper features in the terrain |
| Slope failure threshold (°) ★★★★ | 60 | Angle threshold in degrees above which landslide occur |
| Input/output difference allowed(m ³ /s) ★★ | 0.5 | Described the flow model running in a steady state and used to speed up the model operation |
| Min Q for depth calculate(m) ★★★★ | 0.1 | The value above which the flow depth would be calculated to save running time |
| Water depth threshold above which erosion will happen(m) | 0.01 | The value above which the model starts to calculate erosion |
| The slope for edge cells ★★ | 0.005 | The exit cells' slope to control the erosion and deposition |
| Evaporation rate (m/d) ★★★★ | 0.00418 | Used to calculate the evapotranspiration |
| Courant number | 0.3 | The value controls the numerical stability and speed of operation of the flow model |
| Mannings n roughness (forest, farmland, landslide, river channels) ★★ | 0.02, 0.008, 0.003, 0.002 | The roughness coefficient used by the flow model |

260 Note: The greater the number of ★, the more sensitive to the model, and the unlabeled parameters were not

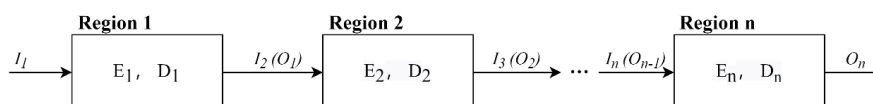
261 studied (Skinner et al., 2018).



262 3.3 Output analyses

263 The overall temporal and spatial changes in internal geomorphology under three
264 different scenarios were available to assess intervention measure effectiveness. The
265 simulated elevation changes on the last day of each year were selected to show the de-
266 tails, which were derived from the difference between output DEMs and initial DEMs
267 (EleDiffs). The EleDiffs indicated the depth of sediment deposition or erosion (>0:
268 deposition, <0: erosion). We classified the depth to show the distribution of the depo-
269 sition and erosion, defined the total damaged area in each scenario by summing all af-
270 fected cells' areas, and compared the damaged area of every classification in three
271 scenarios. In addition, we zoomed in on the key spots including blocking dams, lev-
272 ees, and vegetation revetments to explore the geomorphic response to various control
273 measures in different scenarios and record the depth of deposition in dams blocking
274 areas. To quantify the changes in the internal source area, translation area, and deposi-
275 tion area, the sediment volumes of deposition and erosion were calculated respec-
276 tively from the EleDiffs cuboid.

277 In different scenarios with different intervention measures, the divided regions
278 would behave differently in sediment conservation. To quantify the conservation abil-
279 ity conveniently, we defined some related variables based on the sediment balance
280 system (Fig. 4). In the balance system, for the region n , the deposited sediment (D_n)
281 and the input sediment from the upper connected region (I_n) are equal to the eroded
282 material volume (E_n) plus the output volume to the next region (O_n) in the same pe-
283 riod. Based on the relationship between variables shown in Eq.1 and Eq.2, we defined
284 C_a (Eq. 3) to quantify the sediment conservation ability.



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Fig. 4. The sediment balance system in the study area (the Region n indicated source area, translation area, and deposit area in this study)

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

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

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

290 Where n is the region number of source area (=1), translation area (=2), and de-
291 posit area (=3).

292 The daily sediment yield measured in the valley was the other important output
293 variable of sediment transport. We referenced a terminology from the stock market in
294 economics to assess the relative efficiency (Eq. 4, compared with Scenario UP) of en-
295 gineering protections in scenario PP and engineering cooperation with biological
296 measures in scenario EP.

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

297 Where i is the sequence of day; $Q_{UP,i}$ is daily sediment yield volume from the
298 outlet in Scenario UP of day i ; $Q_{PP/EP,i}$ is daily sediment yield volume from the outlet
299 in Scenario PP or Scenario EP of day i ; $Re_{PP/EP,i}$ is daily relative effectiveness of con-
300 trolling measures in Scenario PP or Scenario EP of day i .

301 4. Results

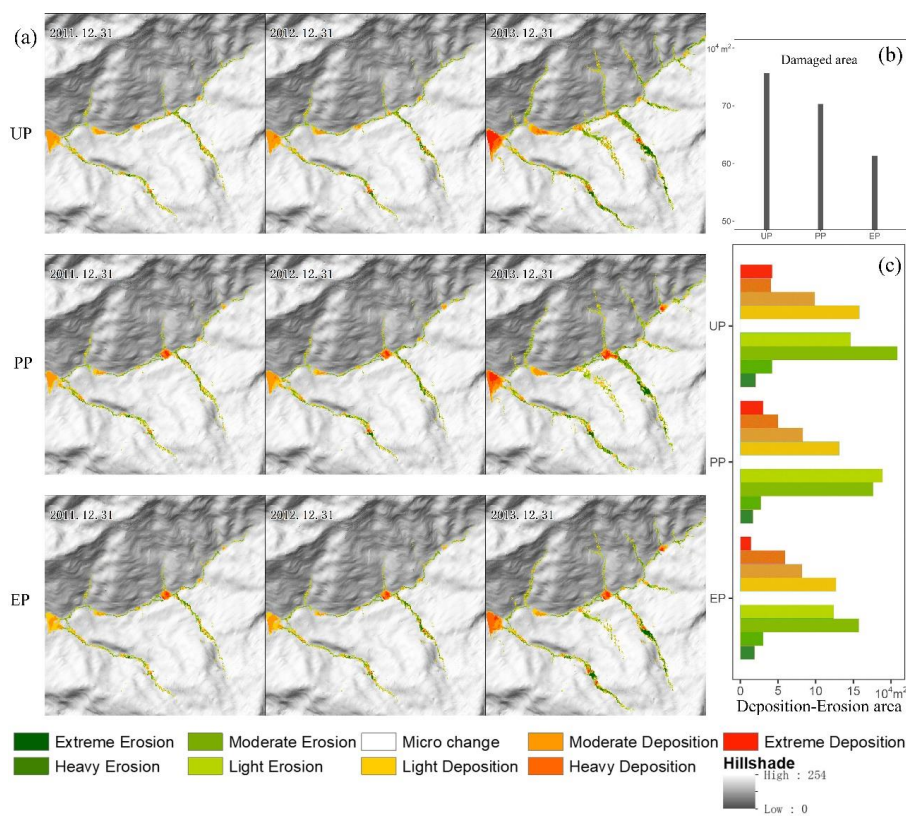
302 4.1 Overall geomorphic changes

303 There were three panoramas at the end of each year in each scenario, which were
304 classified into seven ranks by natural breaks for EleDiffs (Fig. 5): extreme erosion (-
305 15-10 m), heavy erosion (-10--7 m), moderate erosion (-7--3 m), light erosion (-3--1



306 m), micro change (-1-1 m), light deposition (1-3 m), moderate deposition (3-7 m),
307 heavy deposition (7-10 m), and extreme deposition (10-14 m). The erosion and depo-
308 sition aggravated in a similar spatial pattern in all three scenarios. Erosion occurred
309 mainly in the upper reaches of the main channel and the branches on both sides,
310 among which the left branches were extremely serious, such as Qinggangping gully
311 and Shicaozi gully. As shown in Fig. 5, the three scenarios appeared to have different
312 distribution patterns, especially around the two dams. Statistically, the Scenario UP
313 damaged 0.76 km² (5.4% of the total catchment), the PP affected 0.70 km² (5.0% of
314 the total catchment), and the EP decreased the area to 0.61 km² (4.4% of the total
315 catchment). The damaged area reduced gradually as the more controlling measures for
316 loose solid materials.

317 In addition, the affected area of seven ranks changes showed different effects in
318 the different scenarios. Erosion in the three scenarios was similar in that the light and
319 the moderate erosion areas were more than the area of extreme and heavy erosion.
320 The area of each erosion degree in UP was almost larger than that in PP and both
321 larger than that in EP, except that the light erosion area in PP was slightly larger than
322 that in the UP. For the deposition in the internal geography, the greater deposition
323 depth, the less coverage of deposition. Especially, the extreme deposition area was
324 slightly more than the area of the heavy deposition in UP. Further analysis showed
325 that the extreme, moderate, and light deposition areas decreased to varying degrees in
326 the order of UP, PP, and EP, and the heavy deposition areas showed the opposite trend,
327 which mainly contributed to the blocking of dams and vegetation revetment.



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Fig. 5. (a) Simulated internal geomorphic changes over time for three scenarios; (b) the damaged area included deposition and erosion for three scenarios; (c) the final different ranks of deposition and erosion for three scenarios.

332

4.2 Details of key spots

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An amplified investigation of the controlling measures around their position detailed the differences in the three scenarios. Therefore, the upriver land panorama, containing two dams in Scenario PP and cooperating with extra biological measures in Scenario EP, was used to outline the affected area, measure the impacts on blocking sediment, and examine how the biological area helped to stabilize the slope. Similarly, the panorama of downriver land described the two levees in scenario EP escape from the debris, protecting the plow lands and buildings.

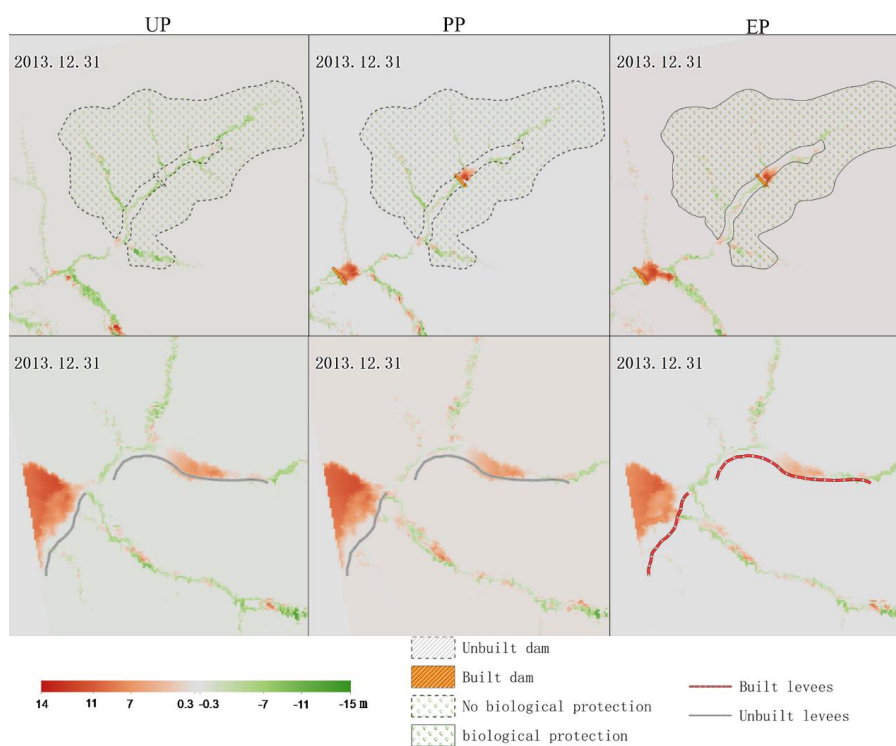


340 In the upriver reservoirs of the two dams (Fig. 6), the evident orange clusters in-
341 dicated the accumulation in Scenario PP and EP, whereas erosion showed in green in
342 the scenario UP. The area of accumulation blocked by dam 1 in EP was similar to PP's
343 area while the accumulation in EP covered a larger range than that in PP blocked by
344 dam 2. Further analysis (Fig. 7) about the depth of deposition blocked by two dams
345 showed that the depth blocked by dam 2 was larger than that blocked by dam 1 in
346 Scenario UP and PP. Whereas, the deposition depth blocked by dam 2 decreased to be
347 slightly lower than that by dam 1 in Scenario EP. In Scenario PP, the sediment depth
348 blocked by dam 1 was larger than the height of the dam body at the end of simulation
349 time. Similarly, the accumulation blocked by dam 2 exceeded the dam height at last.
350 In Scenario EP, both the reservoir areas of dam 1 and dam 2 were lower than the
351 dams' height.

352 The materials produced from upriver tributary gullies varied in three scenarios by
353 the extra biological protection measures. There yielded $14.4 \times 10^4 \text{ m}^3$ loose materials
354 in EP's biological protection area (solid lines in Fig. 6). In the same gullies, the loose
355 materials were $27.1 \times 10^4 \text{ m}^3$ and $16.9 \times 10^4 \text{ m}^3$, respectively in Scenario UP and PP
356 without biological protection. The vegetation revetment enhanced the sediment con-
357 servation based on the role of dam 1. In addition, the materials were carried mainly
358 from the two gullies in the upriver of dam 2 and the downriver of biological protec-
359 tion area, which was inferred from the larger amount of erosion volumes in two gul-
360 lies in each scenario ($48.2 \times 10^4 \text{ m}^3$, $42.5 \times 10^4 \text{ m}^3$, and $35.2 \times 10^4 \text{ m}^3$ in Scenario UP,
361 PP, and EP).

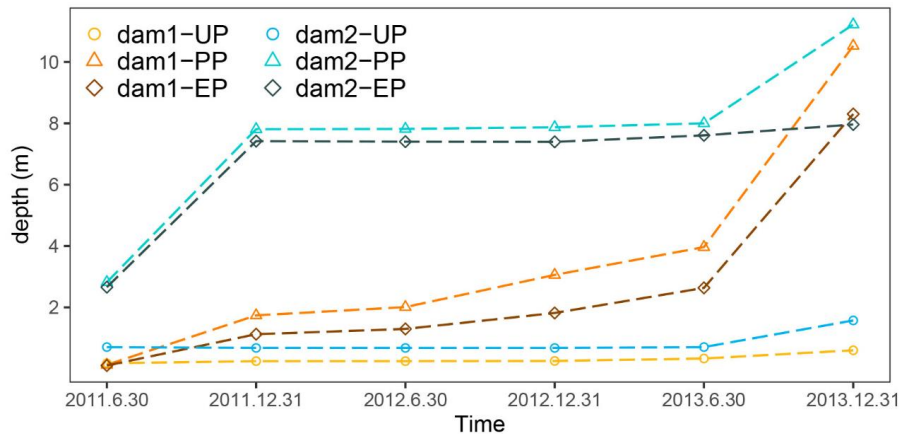


362 In the downriver area, the levees had an important role in preventing debris and
363 protecting the property. Compared with the accumulation in UP and PP without levees,
364 the levees in EP blocked debris in the bend of the channel and protected the resi-
365 dents and cultivated land along the river.



366

367 Fig. 6. The final detailed geomorphic changes in the key spots (the upriver dam 1, dam 2 in Scenario PP and
368 EP and vegetation revetment in Scenario EP showed in the first row; the downriver levees in Scenario EP represent
369 in the second row)



370

371

Fig. 7. The depth of deposited sediment blocked by dams in three scenarios

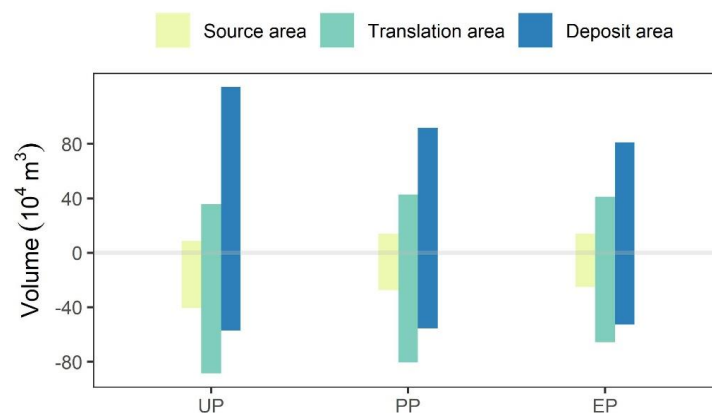
372 4.3 Divisional erosion and deposition

373 We analyzed the source area, translation area, and deposit area by calculating the
374 eroded and accumulated sediment volume. Fig. 8 shows the erosion and deposition
375 distribution induced by rain over three years. The data showed similar phenomena in
376 three scenarios, i.e., the eroded volume in the source area was less than that in the de-
377 posit area, and both were less than that in the translation area. The degree of deposi-
378 tion in the source area was less than that in the translation area, and the largest deposi-
379 tion was in the deposit area.

380 From the analysis of sediment conservation ability (see section 3.3) in each re-
381 gion controlled by different measures in three scenarios, the deposit area was the best
382 at all times, and the source area was the worst. Dam 1 in the source area and Dam 2 in
383 the translation area were so effective that the materials conservation ability increased
384 by 138.1% and 52.5% in Scenario PP compared with Scenario UP, respectively (Table
385 2). What's more, the mitigation measures with vegetation revetment and levees in
386 Scenario EP worked better. The ability in the source area increased by 161.9%, and
387 the levees helped increase by 3.49% compared with Scenario UP. Therefore, the dams



388 were most effective in blocking sediment, the vegetation revetment strengthened the
 389 conservation ability, and the levees worked mainly to prevent damage.



390

391

Fig. 8. The deposition and erosion volumes in different areas

392

Table 2 The sediment conservation ability

| Region | Scenario | UP | PP | EP |
|------------------|----------|------|------|------|
| Source area | | 0.21 | 0.50 | 0.55 |
| Translation area | | 0.40 | 0.61 | 0.62 |
| Deposit area | | 0.86 | 0.86 | 0.89 |

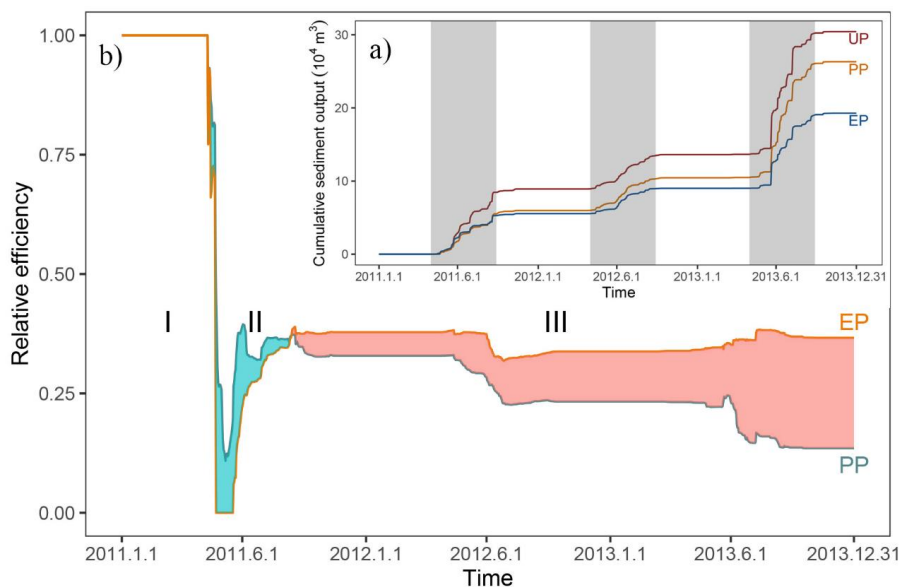
393

394 4.4 Effectiveness assessment

395 Fig. 9 presents the time series of cumulative sediment yield for each scenario ac-
 396 cording to the output file. The steep curve means the great increase of sediment and
 397 three increasing stages have high consistency with the rainfall intensity in three mon-
 398 soons (May-September). The total sediment output in UP was the largest, about
 399 $30.4 \times 10^4 \text{ m}^3$, and the total output in PP ($26.3 \times 10^4 \text{ m}^3$) was larger than that in EP
 400 ($19.3 \times 10^4 \text{ m}^3$). We used the formula mentioned in section 3.3 to calculate the relative
 401 efficiency of controlling measures by human intervention in PP and EP (Fig. 9b).
 402 Three distinct stages were clear for the effective degree between PP and EP. The stage



403 I showed that the two dams in PP or two dams with two levees and vegetation protec-
404 tion in EP both controlled the sediment loss. Later stage II was an existing and pecu-
405 liar period where the effect of enhanced protective measures in EP was not as good as
406 that in PP after many simulation trials. In stage III, the relative efficiency of the inter-
407 vention measures in EP was greater than that in UP, which could achieve long-term
408 effective and stable conservation of solid materials. What's more, the relative effi-
409 ciency values in PP's stage III showed a decreasing trend, whereas the values declined
410 indeterminately in EP's stage III because of the slight increase in values at the end of
411 the simulation. In general, the engineering works in controlling sediment transport
412 were efficient, and it would be better at protecting the fragile environment effectively
413 with other intervention measures like vegetation revetment and levees. In addition, the
414 effectiveness of conservation and mitigation would decrease with time.



415
416 Fig. 9. a) showing the output cumulative sediment over time (grey region highlighting three monsoons); b)
417 showing the relative efficiency of scenario UP and EP compared with the UP (green region representing PP more
418 effective than EP and red region standing the opposite)



419 **5. Discussion**

420 5.1 *Reliability and uncertainty*

421 Reliability and uncertainty deserve a discussion for understanding and imple-
422 menting the simulation results in most geographical analyses and modeling processes
423 (Yeh and Li, 2006). Comparative simulation tests using the C-L tool suggested a com-
424 plex spatial and temporal evolution of sediment transport. In addition, the tool demon-
425 strated that the efficiency according to space and time varied in scenarios, which dif-
426 fered in control measures conducted on the mountainous areas that are susceptible to
427 secondary geo-hazards. In this study, for the parameters involving geological condi-
428 tions, we cited local research and comprehensive parameter sensitivity papers; we
429 downscaled the daily rainfall sequence into hourly rainfall data collected in 2016 for
430 every year because the total rainfall and intensity were identified as ‘normal year’ rain-
431 fall in 2016 (Xie et al., 2018). For the generated input data, although the intensity and
432 event time would not be the same as the actual value, the realization of total rainfall in
433 three different years suggested reasonable differences.

434 In addition, the optimal simulation result was decided according to the sediment
435 depth in dam reservoirs and output between simulation and actual measurement from
436 field survey or literature research. Fig. 10a shows the sediment distribution blocked
437 by dam 1 in August 2012; the distance from the dam crest to the deposition level was
438 up to 7 m, which suggested that the buried dam depth was nearly 3 m (dam height: 10
439 m). Therefore, the 3 m-depth simulation result of PP in the same moment found in
440 Fig. 6 (see section 4.2) was consistent with the actual value. In October 2013, the
441 same location collected by photo in Fig. 10b showed that the reservoir was full of ma-



442 materials, which were equal to the simulation depth of more than 10 m in Fig. 6. Con-
443 versely, the sediment yield in 2013 was up to $29.5 \times 10^4 \text{ m}^3$ (Feng et al., 2017), which
444 was from mainly the Shicouzi gully. Coincidentally but more scientifically, the appar-
445 ent new erosion that occurred in 2013 in Shicouzi (Fig. 4) suggested the disaster his-
446 tory was rebuilt successfully by simulation, and the erosion volume in Shicouzi was
447 $20.6 \times 10^4 \text{ m}^3$. Therefore, it was reasonable that the simulation of eroded materials
448 from Shicouzi accounted for 70% of the sediment from the left branch gully.



449
450 Fig. 10. The photos of dam 1 reservoir (the red single arrows showing the azimuth angle and the double
451 arrows showing the height of the dam body)

452 5. 2 Short-medium term problem

453 We used an ingenious and simple method to build the dams and levees in the
454 simulation by increasing the elevation in the expected location and assuming that it
455 could not be eroded (see <https://sourceforge.net/projects/caesar-lisflood/>). This
456 method proved to be experimentally feasible (Gioia and Schiattarella, 2020; Poepl et
457 al., 2019). The rigid dam and levee body embedded in the model would not be broken,
458 and the effect would not be weakening, so the result of geo-hazard risk assessment
459 would be reduced to some extent. Although the fast and large amount of moving de-
460bris triggered a tremendous impact in the simulation, the tools could not simulate the



461 geo-hazard chain links and would ignore the fierce attack on the environment and fa-
462 cilities downstream. Some typical geo-hazard chains were focused on the specified
463 event in a short time and recreated the hazard lifecycle using physical and mechanical
464 models (Fan et al., 2019). We concentrated on the effectiveness of mitigation
465 measures in the short-medium term, which is different from those in space-time scales
466 and purposes. Therefore, the three-year simulation time made it underestimated risk
467 assessment, and a success to simulate the effect of mitigation measures compared with
468 the actual result in this study.

469 5. 3 *Sediment transport patterns*

470 Different from the typical debris flow research, where three divided areas get
471 their names for the materials process, the simulation result demonstrated the loose
472 solid materials from the source area sliding to the resting area were the least among
473 the three regions, even for the scenario UP (unprotected landscapes). The sediment
474 transport patterns change considerably and two reasonable descriptions are as follows.
475 First, the abundant loose solid materials formed by the strong earthquake have stabi-
476 lized generally since 2008's debris flow (details in Table 1). Second, the long, deep,
477 and steep gullies are mainly located in the translation area (Yaogouli, Shicouzi,
478 Yangjiashan) and deposit area (Qinggangping). Thus, the large erodible area and the
479 poor topographic conditions destroyed the circulation and deposit area more than the
480 source area. Just as Fig. 11 shows, the movement of the materials occurred mainly in
481 the branches in the circulation and deposit area.



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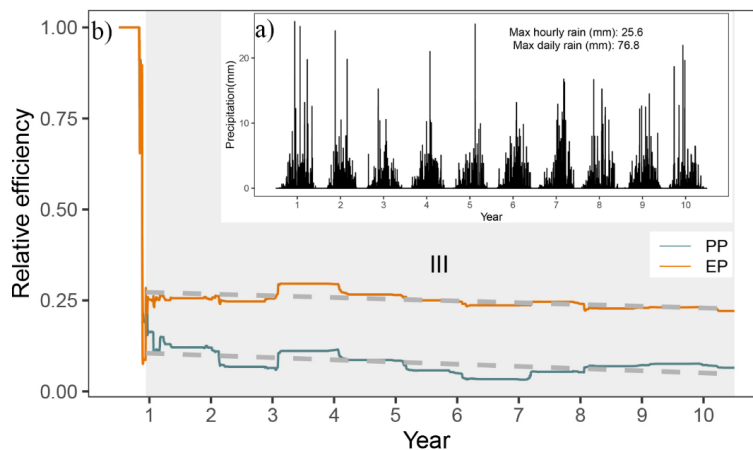
Fig. 11. Photos showing hazards sites in different areas: a) the source area, b) the deposit area, c) and d) the translation area

485 5. 4 *Long-term trials*

486 In the future warmer world with more water vapor in the atmosphere, precipita-
487 tion extremes will be intensified, increasing the likelihood of extreme and intense
488 rainfall (East and Sankey, 2020). Then sequential increased fluvial transport capacity
489 and erosion would accelerate geomorphic changes. With increased uncertainty of pre-
490 cipitation and temperature, future work about landscape evolution of three scenarios
491 will help to understand long timescale effectiveness of intervention measures. We ran-
492 domly selected one of the 50 repeat datasets downscaled by Li et al., (2020), which
493 were generated in 2013-2025 and RCP 4.5 emission scenario from NEX-GDDP (spa-
494 tial resolution: $0.25^{\circ} \times 0.25^{\circ}$, temporal resolution: daily) to simulate the effectiveness
495 in three scenarios. The result (Fig. 12) illustrated that stage III (stable stage started on
496 the 161st day, in which Scenario EP's intervention measures were more effective) was
497 more than stage I and II, which were only in the beginning. The relative effectiveness



498 in both scenarios decreased gradually and the curve went down faster in PP than that
499 in EP.



500

501 Fig. 12. a) Rainfall downscaled from stochastic future rainfall; b) the relative efficiency changes over ten
502 years (grey region highlighting stage III, and the grey dashed lines indicated the linear fitting curve)

503 6. Conclusions

504 We have four key findings. First, the comparative scenario simulations showed
505 that mitigation measures in scenario PP (containing two blocking dams) and scenario
506 EP (incorporating biological processing in the source area with two dams) were effec-
507 tive in reducing erosion, controlling sediment output, and protecting property from
508 damage in post-earthquake fragile mountains prone to secondary geo-hazards. Erosion
509 had a high consistency with the monsoons (May-September) and was mainly in the
510 upper reaches and the left branches of the main gully. The two dams have blocked the
511 upstream sediment successfully and the levees had an important role in preventing the
512 debris shocking, and burial of the residents and cultivated land along the river. In ad-
513 dition, the decrement in EP suggested the accumulated materials blocked by dams up-
514 grade a slope upstream in turn. What's more, model embedded quantification of vege-



515 tation revetment showed that the sediment yielded decreased 5 times as much as sce-
516 nario UP, which contributed to that the vegetation cover enhanced precipitation infil-
517 tration and reduced flow velocity.

518 Second, reasonable and comprehensive treatment methods for a mountainous
519 area with abundant solid materials reduced internal geomorphology changes and sedi-
520 ment output. The areas of erosion and deposition varied in degree decreased in EP
521 compared with PP, except for heavy deposition. Then both the internal damaged area
522 and the erosion volume in EP were less than in PP. In addition, the reduced volume of
523 erosion in the source area between EP and PP was larger than the deposition volume
524 suggesting the vegetation protection was effective in EP. Conversely, three years later,
525 the simulated depth of accumulation blocked by dam 1 and dam 2 was greater than the
526 height of the dams in PP, whereas only the depth deposited in the upriver of dam 2
527 was greater than the dam height. Moreover, the present intervention measures are not
528 adequate to reduce erosion and should be combined with dredging work.

529 Third, zonal statistics of the volumes of erosion and deposition in the source
530 area, translation area, and deposit area demonstrated that the characteristics of sedi-
531 ment transport patterns changed considerably. The conservation ability in the deposit
532 area was the best at all times, and the source area was the worst. Dam 1 in the source
533 area and dam 2 in the translation area worked so well that the materials conservation
534 ability increased by 138.1% and 52.5% compared with the scenario without any inter-
535 vention method. With the extra help of vegetation revetment, the ability in the source
536 area increased by 161.9%, and the levees helped the deposit area increase by 3.49%.

537 Fourth, the two types of effectiveness found in the sediment output simulated un-
538 der Scenario PP and EP compared with Scenario UP were divided into three apparent
539 stages with a general downward trend. The first stage was completely effective in both



540 PP and EP, whereas stage II was a peculiar period in which the effect in EP was not
541 as good as that in PP, which would be caused by the increasing complexity of the
542 model. Lastly, steady effectiveness would be sustainable as shown in stage III, in
543 which the effectiveness simulated in EP with vegetation revetment and levees was
544 greater than that in PP.

545 Taking long-term effectiveness and the function of vegetation into consideration
546 for mitigation measures is more helpful to understand the efficiency. More works
547 should be carried out to explore, especially with the increased likelihood of extreme
548 and intense rainfall in the future.

549 **Declaration of interest statement**

550 The authors declare that they have no known competing financial interests or per-
551 sonal relationships that could have appeared to influence the work reported in this pa-
552 per.

553 **Author contribution**

554 Di Wang: Conceptualization, Methodology, Software, Writing-original draft prep-
555 aration. Ming Wang and Kai Liu: Supervision, Methodology, Writing- Reviewing and
556 Editing, Validation.

557 **Acknowledgments**

558 This research was supported by the National Key Research and Development
559 Plan (2017YFC1502902). The financial support is highly appreciated. The authors
560 would also like to thank Professor Tom Coulthard and his team for their excellent
561 work on the freely available C-L model ([https://sourceforge.net/projects/caesar-](https://sourceforge.net/projects/caesar-lisflood)
562 [lisflood](https://sourceforge.net/projects/caesar-lisflood)).

563



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