

We thank the 3 anonymous referees for their constructive comments on our manuscript and for their specific suggestions that helped us to improve the article.

A point-by-point reply to the comments of the 3 referees including a list of all changes made in the manuscript is already available in the interactive discussion (cf. author comments C6949 and C7005).

In response to further suggestions made by the editor, we have modified the title of the article as follows: “Contradictory hydrological impacts of afforestation in the humid tropics evidenced by long-term field monitoring and simulation modelling”.

A marked-up manuscript version is available in the following pages.

All figures are provided in the pdf file of the revised manuscript which does not include marked-up changes.

Guillaume Lacombe

1 **Afforestation by natural regeneration or by tree planting:**  
2 **examples of opposite Contradictory hydrological impacts**  
3 **of afforestation in the humid tropics evidenced by long-  
4 **term field monitoring in the humid tropics and simulation**  
5 **modelling**  
6**

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## 5 **Abstract**

6 The humid tropics are exposed to an unprecedented modernization of agriculture involving  
7 rapid and ~~highly~~-mixed land-use changes with contrasted environmental impacts.  
8 Afforestation is often mentioned as an unambiguous solution for restoring ecosystem services  
9 and enhancing biodiversity. One consequence of afforestation is the alteration of streamflow  
10 variability ~~which~~ ~~control~~~~sing~~ habitats, water resources and flood risks. We demonstrate that  
11 afforestation by tree planting or by natural forest regeneration can induce opposite  
12 hydrological changes. An observatory including long-term field measurements of fine-scale  
13 land-use mosaics and of hydro-meteorological variables has been operating in several  
14 headwater catchments in tropical Southeast Asia since 2000~~4~~. The GR2M water balance  
15 model repeatedly calibrated over successive 1-year periods, and used in simulation mode with  
16 ~~the same year of~~~~specific~~ rainfall input, allowed the hydrological effect of land-use change to  
17 be isolated from that of rainfall variability in two of these catchments in Laos and Vietnam.  
18 Visual inspection of hydrographs, correlation analyses and trend detection tests allowed  
19 causality between land-use changes and changes in seasonal ~~stream~~~~flows~~ to be ascertained. In  
20 Laos, the combination of shifting cultivation system (alternation of rice and fallow) and the  
21 gradual increase of teak tree plantations replacing fallow~~r~~ led to intricate ~~stream~~~~flow~~ patterns:  
22 pluri-annual ~~stream~~~~flow~~ cycles induced by the shifting system, on top of a gradual ~~stream~~~~flow~~  
23 increase over years caused by the spread of the plantation~~s~~. In Vietnam, the abandonment of  
24 continuously cropped areas ~~mixed-combined~~ with patches of ~~mix~~-trees plantations led to the  
25 natural re-growth of forest communities followed by a gradual drop in streamflow. Soil  
26 infiltrability controlled by surface crusting is the predominant process explaining why two  
27 modes of afforestation (natural regeneration ~~versus~~~~r~~ planting) led to opposite changes in  
28 ~~stream~~~~flow~~ regime. Given that commercial tree plantations will continue to expand in the  
29 humid tropics, careful consideration is needed before attributing to them positive effects on  
30 water and soil conservation.

31

## 1 1 Introduction

2 Although the humid tropics exhibits the highest rate of deforestation and biodiversity losses  
3 globally (Keenan et al., 2015; Hansen et al., 2013; Bradshaw et al., 2009), new forests are  
4 regenerating on former agricultural and degraded lands, and [tree](#) plantations are being  
5 established for commercial and restoration purposes (Miura et al., 2015). Forest regrowth is  
6 either ~~a~~-cyclic ~~phenomenon~~-like in shifting cultivation systems (Ziegler et al., 2011; [Hurni et](#)  
7 [al., 2013](#)) or more permanent. The latter, afforestation, is the production of forest over an area  
8 of open land either by planting or by allowing natural regeneration. If appropriately managed,  
9 forest restoration, or afforestation, can lead to biodiversity enhancement (Chazdon, 2008), not  
10 only in the forested area but also farther downstream, in response to modified hydrological  
11 processes at the hillslope and catchment levels (Konar et al., 2013). Although important for a  
12 sustainable management of headwater catchments, the current understanding of hydrological  
13 processes altered by land-use changes remains limited in the tropics (Sidle et al., 2006).  
14 Reasons include the scarcity of long-term field monitoring (Douglas, 1999; Wohl et al., 2012)  
15 and several factors confounding causalities between [land](#)-use and hydrological changes:  
16 mixed land-use patterns, climate variability and catchment size (Beck et al., 2013; van Dijk et  
17 al., 2012). While it is widely and independently recognized that evapotranspiration is a central  
18 driver of basin annual water yield (Brown et al., 2005), changes in soil infiltrability also  
19 control groundwater recharge and water uptake by roots (Beck et al., 2013; Bruijnzeel, 2004).  
20 While in most cases, afforestation will reduce [stream](#)flows (Brown et al., 2005; Calder, 2007),  
21 the opposite or ~~the absence of~~ significant hydrologic changes are observed in some  
22 instances (Wilcox and Huang, 2010; Hawtree et al., 2015). The lack of an unequivocal  
23 hydrological response to afforestation feeds controversies around the role of forests in  
24 controlling river flows (Andreassian, 2004) and highlights the need for further research  
25 (Calder, 2007). A few studies have attempted to predict the catchment-scale hydrological  
26 effects of land-cover changes on ~~stream~~-flow in the humid tropics, mainly from model-based  
27 simulations of land-use change scenarios (Thanapakpawin et al., 2006; Guardiola-Claramonte  
28 et al., 2010; Homdee et al., 2011). Hydrological assessments based on actual data are rare in  
29 the humid tropics (Wohl et al., 2012) and often confined to the plot level (Ziegler et al., 2004;  
30 Podwojewski et al., 2008; Valentin et al., 2008a; Patin et al., 2012).

31 Two main approaches are usually deployed to assess how land-use changes alter hydrology.  
32 Paired catchment studies establish statistical relationships for outflow variables, [during a](#)

1 [calibration period](#), between two neighbouring catchments ideally similar in geomorphology,  
2 area, land-use and climate. Following [this](#) calibration, land-use treatments are applied to one  
3 catchment and changes in the statistical relationships are indicative of the land treatment  
4 effect on hydrology. Important limitations of this approach are the relatively few samples  
5 used for model development, and the spatial variability of rainfall events between the two  
6 catchments (Zégre et al., 2010). A second approach involves the calibration of a rainfall-  
7 runoff model in one single catchment. The model is first calibrated before a land-cover  
8 treatment occurred. The model is then used as a virtual control catchment along with rainfall  
9 observed after the land-cover treatment, in order to reconstitute runoff as if no change in the  
10 catchment had occurred. An underlying assumption for this approach is that the catchment  
11 behaviour is stationary in both the pre-treatment and post-treatment periods. This assumption  
12 is seldom tested. In addition, very few studies have tested the statistical significance of  
13 ~~observed hydrological changes~~ [in the relationship between rainfall and runoff](#) (Zégre et al.,  
14 2010).

15 The objectives of our research were to:

16 1. Monitor inter-annual and long-term changes in land-use and hydrology in two  
17 headwater catchments in tropical Southeast Asia, one exposed to a gradual conversion of  
18 rainfed rice-based shifting cultivation to teak plantations in Laos, and one subject to natural  
19 forest regrowth following the abandonment of intensively cultivated hillslopes with cash  
20 crops and patches of [mixed-trees](#) plantations in Vietnam;

21 2. Use a conceptual [monthly lumped](#) rainfall-runoff model, [repeatedly calibrated over](#)  
22 [successive 1-year periods and used in simulation mode with specific rainfall input to generate](#)  
23 [cross simulation matrices \(Andréassian et al., 2003\). These matrices are used to isolate the](#)  
24 [hydrological effect of rainfall variability from that of other environmental changes \(e.g. land-](#)  
25 [use change, in this article\) in each study catchment.](#)

26 ~~3. and a~~ Apply correlation analyses and a non-parametric trend detection test [to](#)  
27 [streamflow reported in the,](#) ~~based on~~ cross simulation matrices, to [investigate and quantify](#)  
28 [causal relationships between](#) ~~assess how these~~ land-use changes [and changes in](#) ~~have modified~~  
29 the hydrological behaviour of the [study](#) catchments, [and assess whether the hydrological](#)  
30 [changes are statistically significant over the whole study period.](#)

31 ~~34.~~ Compare the effects of forest plantations and natural forest regrowth on streamflow~~s~~ in  
32 the two ~~studied~~ catchments.

## 1 2 Materials and methods

### 2 2.1 Study sites

3 The two studied catchments (Fig. 1) are part of a regional monitoring network named  
4 “Multi-scale Environmental Change” (MSEC), <http://msec.obs-mip.fr/>, located in  
5 Southeast Asia (Valentin et al., 2008b). They are exposed to a tropical climate influenced by  
6 the southwest monsoon bringing warm and humid air masses during the wet season (April-  
7 September), and by the northeast monsoon bringing colder dry air during the dry season  
8 (October-March). Rainfall is highly seasonal with more than 80% of annual rainfall occurring  
9 during the wet season (Fig. 2). [Averaged throughout the period \(April 2001 – March 2014\)](#).  
10 Annual runoff amounts to about 26-27% of annual rainfall in both catchments. The two  
11 catchments, located in upland rural areas, have similar size, elevations ranges, mean slopes,  
12 mean annual rainfall and mean annual streamflow (Table 1). Both were cultivated by  
13 smallholder farmers when the monitoring network started operating in the early 2000s.

14 The Houay Pano catchment in Laos is located about 10km south of Luang Prabang city. It is  
15 representative of a landscape dominated by shifting cultivation, the principal activity in the  
16 uplands of northern Laos. The catchment was first cleared of semi-deciduous forest in the late  
17 1960s (Huon et al., 2013) and used for shifting cultivation (crop-fallow rotation). In this  
18 system, one annual crop comprising mainly rainfed rice (*Oryza sativa*) with Job’s tears (*Coix*  
19 *lacryma-Jobi*) and maize (*Zea mays*) as secondary crops, is followed by several years of  
20 natural vegetation regrowth (woody fallow). On average, about 30% of the land is cropped in  
21 a given year in this shifting system. The duration of the fallow period has declined from an  
22 average of 8.6 years in 1970 to 3.2 years in 2003 (de Rouw et al., 2015). At the onset of the  
23 land-use monitoring, the shifting cultivation system expanded over about 80% of the  
24 catchment area. Non-farmed areas, about 15% of the catchment surface area, were split  
25 between patches of mixed deciduous and dry Dipterocarp forest, paths and the village. About  
26 5% were occupied by banana trees (*Musa spp*) and teak tree plantations (*Tectona grandis L.*).  
27 *Tectona grandis L.* is an endemic species planted with an average density of 1500 trees/ha and  
28 a typical rotation length of ~~10-25-15-30~~ years. It is fully deciduous with total defoliation  
29 lasting 2-3 months during the dry season. Canopy typically closes after 3-5 years depending  
30 on the plantation density. In Northern Laos, teak plantations have expanded quickly over the  
31 last decade (Newby et al., 2014), and specifically from 3 to 35% of the catchment area in  
32 Houay Pano between 2006 and 2013, encroaching into the area used for shifting cultivation.

1 In this catchment, agriculture has remained ~~low input and~~ largely no-till with very limited  
2 external inputs such as fertilizers and pesticides.

3 The Dong Cao catchment is located in Northern Vietnam, about 50km southwest of Hanoi,  
4 along the eastern side of the Annamite Mountain Range. The catchment was covered by  
5 lowland primary forest prior to 1970. Paddy rice and arrowroot (*Colocasia esculenta*) were  
6 cultivated only on the foothills and along the main stream. After 1970, because of population  
7 growth, greater food demand and market demand, the forest was cut on the slopes and  
8 replaced by continuous cropping of annual crops without external inputs; ~~initially this was~~  
9 upland rice, ~~but~~ and more recently ~~the hardier crops~~ maize and cassava (*Manihot esculenta*).  
10 By 1980, all remaining forest had been cut. After 2000, due to soil exhaustion and erosion,  
11 declining yields, and governmental incentives, cassava on the steep slopes was rapidly  
12 replaced by evergreen tree plantations (with an average density of about 1600 trees/ha),  
13 including acacia (*Acacia mangium*) (Clément et al., 2007, 2009), eucalyptus (several species),  
14 cinnamomum (several species) and fruit trees (Podwojewski et al., 2008). On less steep  
15 slopes, ~~the opportunity arose to introduce~~ livestock was introduced, replacing cassava.  
16 Available land was used either for pasture and partly planted with grass fodder (*Bracharia*  
17 *ruziziensis*) (Podwojewski et al., 2008), or for expanding existing tree plantations in low  
18 densities. ~~Most of the Dong Cao catchment now consists of natural forest regenerating from~~  
19 ~~abandoned farm land and neglected tree plantations,~~ following the recent conversion of the  
20 main land owner to off-farm activities, most of the tree plantations and annual crops were  
21 finally abandoned, leading to the natural re-growth of forest communities whose percentage  
22 surface area over the Dong Cao Catchment nearly doubled between 2001 (45%) and 2013  
23 (84%). Grazing and other activities linked to husbandry continue on a small area in the  
24 catchment. Water discharged from the main stream irrigates about 10 ha of paddy rice located  
25 downstream of the catchment.

## 26 2.2 Data collection

27 Data were collected by IRD (Institut de Recherche pour le Développement) and the ~~N~~ational  
28 agricultural research institutions ~~involved in Laos and Vietnam~~ from April 2001 to March  
29 2014 in Laos and from April 2000 to March 2014 in Vietnam. They include records of daily  
30 rainfall, reference evapotranspiration, streamflow and annual land-use maps. Stream water  
31 level was measured at the outlet of each catchment within a V-notch weir, by a water level  
32 recorder (OTT, Thalimedes) equipped with a data logger, with 1-mm vertical precision at 3-

1 minute time interval ~~by a water level recorder (OTT, Thalimedes) equipped with a data logger~~  
2 ~~within a V-notch weir~~. A control rating curve (the relationship between water level and  
3 discharge) was determined using the velocity area method at each station. In general,  
4 ~~streamflow~~ data quality is very good with rare interruptions in the measurements (August-  
5 November 2001 in Vietnam) caused by flood destruction of the measurement devices. ~~This~~  
6 ~~interruption explains why flow simulations were performed starting from 2002 in this country~~  
7 ~~(cf. Sect. 2.3, 3.3 and Fig. 7)~~. Daily areal rainfall was computed using data collected by  
8 manual rain gauges (one in Vietnam, seven in Laos). Catchment-scale daily areal rainfall was  
9 derived from the point measurements using the Thiessen polygons method. Daily reference  
10 evapotranspiration ( $E_{T0}$ ) was estimated following the Penman-Monteith FAO method applied  
11 to meteorological variables (air temperature, 2m-high wind speed, relative air humidity, and  
12 global solar radiation) collected by a weather station (CIMEL, ENERCO 404) installed at  
13 mid-hillslope in each catchment. Mean monthly ~~variations of~~ rainfall, runoff and  $E_{T0}$ ,  
14 ~~averaged over the study period~~, are displayed in Fig. 2.

15 ~~Annual~~ land use ~~maps were~~ ~~mapped~~ ~~prepared~~ ~~annually~~ for 13 years (April 2001- March  
16 2014) from detailed field surveys undertaken each year in October-November, after the  
17 harvests of annual crops, when fields are clearly marked and easily accessible without  
18 damaging crops. A combination of GPS and theodolite survey points were used in the field to  
19 map boundaries between land-use units. ArcMap 10.0 was used to estimate the proportion of  
20 each land-use unit in each catchment. The mapping accuracy of land-use boundaries is  
21 estimated to be within  $\pm 2.5$ m (Chaplot et al., 2005). Land-use units covering less than 1% of  
22 the catchment areas are not reported here. In the Houay Pano catchment in Laos, distinction  
23 was made between fallow of different ages varying between 1 and 12 years. Some of the land-  
24 use units correspond to the aggregation of several land-uses observed in the field, ~~as detailed~~  
25 ~~thereafter~~.

26 -In Laos, the unit ~~'Annual crops'~~ includes rainfed upland rice, Job's tears and maize;  
27 ~~'Forest'~~ includes patches of remaining forest, either mixed deciduous or dry Dipterocarp; ~~'1-~~  
28 ~~year fallow'~~ and ~~'2- to 12-year fallow'~~ form two distinct land-use units due to differences in  
29 soil surface crusting rates and associated hydrodynamic conductivity (Ziegler et al., 2004);  
30 Teak plantations are often associated with annual crops during the first two years after  
31 planting (~~'Teak + annual crops'~~) and become a monoculture after canopy closure (~~'Teak'~~).  
32 ~~'Banana'~~ corresponds to small banana plantations.



1 In Vietnam, [the unit 'Forest communities'](#) combines abandoned farmland that has developed  
2 into an open forest, usually after 5 years of undisturbed growth, and patches of more  
3 developed secondary forest; ['Mixed-trees plantations'](#) includes acacia, eucalyptus, cinnamon  
4 and fruit trees, both young and mature. These plantations have developed an understory of  
5 natural vegetation; ['Forbs'](#) are abandoned farm lands covered by a dense herbaceous cover of  
6 perennial dicots and grasses, usually developed within 5 years since the last cropping;  
7 ['Annual crops'](#) includes cassava and maize; ['Fodder'](#) corresponds to the planted exotic grass  
8 *Bracharia ruziziensis* mixed with local grasses. ~~Temporal variations in the percentage area of~~  
9 ~~each land use unit are illustrated in Fig. 5c and 7c.~~

### 10 2.3 Assessment of hydrological changes

11 The two-parameter monthly lumped water balance model GR2M was used to investigate  
12 changes in the hydrological behaviour of the two study catchments. This model was  
13 empirically developed by Mouelhi et al. (2006) using a sample of 410 basins under a wide  
14 range of climate conditions. [GR2M includes a production store and a routing store.](#) The model  
15 estimates monthly stream-flow from monthly areal rainfall and monthly  $E_{T0}$ . The two  
16 parameters of the model determine the capacity of the production store and the flow of  
17 underground water exchange. Compared with several widely used models, GR2M ranks  
18 amongst the most reliable and robust monthly lumped water balance models (Mouelhi et al.,  
19 2006). For this analysis, like in most hydrological analyses performed in the Mekong Basin,  
20 each hydrological year  $n$  starts in April of year  $n$  and ends in March of year  $n+1$  (Lacombe et  
21 al., 2010). ~~The water levels in the model reservoirs at the beginning of each hydrological year~~  
22 ~~were found to vary within a range of values with no influence on simulated wet and dry~~  
23 ~~season flows, hence the absence of specific initial period to initialize the reservoir water levels~~  
24 ~~prior the model calibration. These initial water levels were set to the inter-annual averages of~~  
25 ~~values observed at the beginning of each hydrological year.~~ The model was repeatedly  
26 calibrated over ~~12~~ successive 1-year periods ~~(13 years in Laos from April 2001 to March~~  
27 ~~2014 and 12 years in Vietnam from April 2002 to March 2014,~~ [thus allowing an initial warm-](#)  
28 [up period for the initiation of the water level in the two model reservoirs of at least 1 year\)](#) ~~by~~  
29 ~~maximizing two efficiency criteria.~~ The Nash-Sutcliffe efficiency criteria calculated on flow  
30 ( $N_{SEQ}$ ) and calculated on the logarithm of flow ( $N_{SElnQ}$ ) were used for the evaluation of wet  
31 and dry season [streamflow](#) simulations, respectively. [While each of these two efficiency](#)  
32 [criteria are calculated with the 12 monthly flow values of each 1-year calibration period](#)

1 (including wet and dry season streamflow),  $N_{SEO}$  and  $N_{SELO}$  give more weight to high and low  
2 flow values, respectively. Therefore, the former and the later are suitable for evaluating high  
3 and low flows simulations, respectively (Pushpalatha et al., 2012). The nonlinear generalized  
4 reduced gradient (GRG) method (Lasdon and Warren, 1979) was used to determine the values  
5 of the two model parameters that maximize the efficiency criteria. The constraint of a less  
6 than 10% bias on annual streamflow over each year was applied to all calibrations using a  
7 Branch and Bound method that runs the GRG method on a series of subproblems. This  
8 constraint was achieved for all calibrations. For each of the two calibration method objective  
9 functions, each of the 13 (12) sets of model parameters were used to perform simulations over  
10 the other 12 (11) 1-year periods in Laos (Vietnam) (cf. generalized split-sample test from  
11 Coron et al., 2012). The annual variables “wet season streamflow” and “dry season  
12 streamflow” were defined as the sum of monthly simulated streamflows over the wet and the  
13 dry season, respectively. This procedure resulted in two  $n$ -by- $n-1$  cross-simulation  
14 matrices of hydrological variables  $q_{ij}$  for each study catchment where  $n=13$  for Laos and  $n=12$   
15 for Vietnam (Fig. 3).

16 In a given matrix, each column  $j$  ( $j \in N \mid 1 \leq j \leq n$ ) corresponds to a set of model  
17 parameters  $M_j$  capturing the hydrological conditions of the catchment that prevailed during  
18 year  $j$ . In each row  $i$  ( $i \in N \mid 1 \leq i \leq n$ ), streamflow was simulated with rainfall from year  $i$ .  
19 Flow variations between columns for a given row are not rainfall-related and reflect other  
20 environmental changes (e.g. land-use change). Flow variations between rows for a given  
21 column result from inter-annual rainfall variability. The possible underestimation  
22 (overestimation) of flow simulated with rainfall lower (higher) than that used for model  
23 calibration (Coron et al., 2012) was accounted by multiplying simulated flows values by the  
24 coefficient  $\alpha = (R_c + \alpha(R_s - R_c)) / R_s$ , where  $R_c$  and  $R_s$  are annual rainfall depths during calibration  
25 and simulation years, respectively, and  $\alpha$  is a coefficient varying between 0 (high influence of  
26 rainfall on simulation accuracy) and 1 (no influence of rainfall on simulation accuracy) to  
27 generate an error interval around simulated flows. Variations in simulated streamflow  
28 between the columns of the matrices were plotted against time to illustrate temporal changes  
29 in hydrological behaviour in Laos (Fig. 5 a, b) and Vietnam (Fig. 7 a, b). In these simulations,  
30 rainfall input to the model is similar each year and corresponds to the year with actual rainfall  
31 exhibiting median annual depth over the studied period (years 2004 in Laos and year 2012 in  
32 Vietnam, cf. Fig. 4). The inter-annual variations in simulated streamflow illustrate changes in

1 the hydrological behaviour of the study catchments under stable rainfall conditions (Houay  
2 Pano catchment in Fig. 5 a, b and Dong Cao catchment in Fig. 6 a, b). The objective of this  
3 simulation protocol is to isolate the hydrological effect of rainfall variability from that of  
4 other environmental disturbances and verify the hydrological influence of actual land-use  
5 changes by comparing Fig. 5a, b and Fig. 6a, b with Fig. 5c and Fig. 6c, respectively, showing  
6 temporal variations in land-use patterns.

7 Following the approach proposed by Andreassian et al. (2003), the calculation of the  
8 statistical significance of gradual changes in catchment behaviour was based on cross-  
9 simulation matrices similar to the one illustrated in Fig. 3. Each of the two original ~~n-by-n~~  
10 matrices was resampled 10,000 times by permuting columns. For each original and permuted  
11 matrix, the statistic S was calculated using Eq. (1).

$$12 \quad S = \sum_{i=1}^n \left[ \sum_{j=1}^{i-1} (q_{ii} - q_{ij}) + \sum_{j=i+1}^n (q_{ij} - q_{ii}) \right] \quad \text{Equation 1}$$

13 where  $q_{ij}$  is the streamflow value found in the  $i^{\text{th}}$  row and the  $j^{\text{th}}$  column of the matrix. Under  
14 the null hypothesis  $H_0$  of absence of unidirectional trend in the hydrological behaviour of the  
15 catchment, the value of S associated to the original matrix should be close to zero. A negative  
16 (respectively-, positive) S values correspond to a decrease (respectively-, increase) trend in  
17 basin water yield. The p-value of a negative (respectively-, positive) trend is equivalent to the  
18 non-exceedence (respectively-, exceedence) frequency of the original S values compared to  
19 the range of S values derived from the permuted matrices.

## 20 **3 Results**

### 21 **3.1 Hydrological changes according to measured variables and cross 22 simulation test**

23 Annual rainfall and runoff variations are consistently correlated in Laos ( $r=0.71$ , F-test p-  
24 value=0.001) and Vietnam ( $r=0.59$ , F-test p-value=0.04). Rainfall and runoff tend to decrease  
25 from 2001 to 2009 and to increase from 2009 to 2013 in the two catchments, with a few  
26 singular years (e.g. lower rainfall and runoff in Vietnam in 2002; higher runoff in Laos in  
27 2011) (Fig. 4). In Laos, the annual runoff coefficient  $C$  ( $C=\text{annual runoff/annual rainfall}$ )  
28 gradually declines from 2001 (34.5%) to 2009 (13.5%) and then increases until 2013 (31.1%),  
29 with local peaks in 2003 (34.5%), 2008 (28.8%) and 2011 (58.9%). In Vietnam,  $C$  exhibits  
30 greater inter-annual variability than in Laos with an overall declining trend, from about

1 46.8.5% over the years 2002 and 2003 to 19.28.4% over the years 2012 and 2013 (Fig. 4).  
2 Consistently, the non-parametric cross-simulation test applied to wet and dry season  
3 streamflows did not reveal any significant trend in catchment behaviour in Laos over the  
4 simulation period 2002-2013: p-values=0.4850 and 0.3349 for the wet and dry season  
5 streamflows, respectively. In contrast, a highly significant reduction of the basin water yield  
6 was observed in Vietnam over the same period ~~2002-2013~~: p-values=-0.03 and 0.01 for the  
7 wet and dry season streamflows, respectively.

### 8 **3.2 Simulated streamflows and land-use changes in the Houay Pano** 9 **catchment, Laos**

10 Annual values of  $N_{SEQ}$  and  $N_{SEIQ}$  averaged over the whole studied periods are high:  
11 90.089.9% and 86.67.2%, respectively. The lowest annual values were obtained in 2008  
12 ( $N_{SEIQ}=74.0$ ) and 2009 ( $N_{SEQ}=69.1$ ). Fig. 5 ~~a, b~~ shows that ~~inter-annual variations in~~  
13 ~~simulated wet and dry season flows. Figure 5c depicts temporal variations in the percentages~~  
14 ~~of surface area of each land-use unit in the catchment. The black bold solid curve indicates the~~  
15 ~~cumulated percentage of surface area under annual crops, 1-year fallow and teak plantations~~  
16 ~~(materialized by the black bold solid curve) is positively .The inter-annual variations of this~~  
17 ~~curve are~~ correlated to the variations in simulated wet and dry season streamflows ( $r=0.495$ ,  
18 F-test p-value = 0.0942 and  $r=0.7763$ , F-test p-value = 0.002, respectively). Any other  
19 combinations of land-use units led to lower correlation between cumulated percentages of  
20 surface area and seasonal simulated streamflows. Quantitatively, between 2002 and 2003,  
21 simulated wet and dry season streamflows increased by 2174mm and 2937mm, respectively.  
22 Over the same period, the cumulated surface area of annual crops, 1-year fallow and teak  
23 plantations increased from 45.226.5% to 61.7% of the catchment area. From 2003 to 2006,  
24 the cumulated percentage area of annual crops, 1-year fallow and teak plantations decreased  
25 to 18.3% while simulated wet and dry season streamflows decreased by 12935mm and  
26 7164mm, respectively. The main land-use changes that occurred during ~~the~~ first sub-period  
27 (2002-2006) involve cyclic alternations between rainfed rice that is cropped one year, and  
28 fallow (up to 6 consecutive years), which are typical land uses of the shifting cultivation  
29 system that prevails in the uplands of Laos. The second sub-period (2006-2013) is  
30 characterized by a continuation of the same shifting cultivation dynamic, yet with cycles of  
31 slightly lower magnitude. The main change observed over this second sub-period is a gradual  
32 spread of teak plantations, with ~~the~~ total surface area increasing from 3.3% to 35.1% of the

1 catchment, with a corresponding decline in the area of shifting cultivation. From 2006 to  
2 2008, the cumulated percentage area of annual crops, 1-year fallow and teak plantations  
3 increased from 18.3% to 54.0% while simulated wet and dry season streamflows increased by  
4 11522mm and 4036mm, respectively. Hydrological changes observed between 2008 and  
5 2009, the cumulated percentage area of annual crops, 1-year fallow and teak plantations  
6 decreased from 54.0% to 44.2% while simulated wet and dry season streamflow decreased by  
7 113mm and 28mm, respectively are difficult to quantify because of the relatively high  
8 uncertainty in simulated flow in 2009. But consistently, from 2010 to 2011, the cumulated  
9 percentage of the same land-use units of areas under annual crops, 1 year fallow and teak  
10 plantations increased from 51.0% to 67.6% while simulated wet and dry season streamflows  
11 increased by 44204mm and 6672mm, respectively. Conversely, from 2011 to 2013, the same  
12 cumulated percentage decreased to 54.5% while wet and dry season streamflows decreased by  
13 3562mm and 50mm, respectively (Fig. 5).

14 Over the first sub-period (2002-2006), on average, an increase (decrease) of  $x$  in the  
15 cumulated percentage of area under annual crops and 1-year fallow induces an increase  
16 (decrease) of  $2.590x$  mm and  $1.4849x$  mm in wet and dry season streamflows, respectively.

17 Over the second sub-period (2007-2013), on average, the magnitude of the flow response to  
18 an increase (decrease) of  $x$  in the cumulate percentage of area under annual crops, 1-year  
19 fallow and teak plantations is greater:  $11.72x$  mm and  $3.31289x$  mm in wet and dry season  
20 streamflows, respectively (Fig. 7 a,b).

### 21 **3.3 Simulated streamflows and land-use changes in the Dong Cao catchment,** 22 **Vietnam**

23 Annual values of  $N_{SEQ}$  and  $N_{SEInQ}$  averaged over the whole studied periods are high: 89.0%  
24 and 88.0%, respectively. The lowest annual values were obtained in 2008 ( $N_{SEQ}=57.2$ ) and  
25 2010 ( $N_{SEInQ}=69.3$ ). Fig. 7-6 shows that a, b displays inter-annual variations in simulated wet  
26 and dry season flows. Figure 7-c depicts temporal variations in the percentages of surface area  
27 of each land-use unit in the catchment. The black bold solid curve indicates the cumulated  
28 percentage of surface area under annual crops, forbs and fodder (materialized by the black  
29 bold solid curve) is positively, which are all herbaceous covers, in contrast with the woody  
30 land-use units mixed trees plantation and forest communities. The inter-annual variations of  
31 this curve are correlated to the variations in simulated wet and dry season streamflows time-  
32 lagged by one year ( $r=0.5664$ , F-test p-value = 0.0634 and  $r=0.82$ , F-test p-value = 0.004,

1 respectively) (Fig. 6-7 c, d). Like in Laos, any other combinations of land-use units led to  
2 lower correlation between cumulated percentages of surface area and seasonal simulated  
3 streamflow. It is interesting to note that these land-use units are all herbaceous covers, in  
4 contrast with the woody land-use units 'mixed-trees plantations' and 'forest communities'  
5 appearing above the black bold solive curve in Fig. 6c. Quantitatively, Fig. 7-6 a, b shows an  
6 overall reduction of simulated wet and dry season streamflow from 2002-2003 to 2012-2013  
7 (-332435mm and -6153mm, respectively). From 2002 to 2004, simulated wet and dry season  
8 streamflows reduced by 27299mm and 447mm, respectively, following the reduction of non-  
9 woody vegetation cover from 40% to 29% between 2001 and 2003. From 2004 to 2006,  
10 simulated streamflows isare relatively stable, in accordance with the relative stability in the  
11 percentage of areas under non-woody cover over the period (2003-2005). The drop in  
12 simulated wet and dry streamflows in 2007 (down to 2756mm and 15mm, respectively)  
13 follows a drop in the percentage of areas under non-woody cover to 11% in 2006. The period  
14 (2008-2010), exhibiting slightly greater simulated wet and dry season streamflows, up to  
15 5045mm and 2832mm, respectively, follows a period (2007-2009) with a greater percentage  
16 of areas under non-woody cover (up to 24%). Afterwards, the percentage of area under non-  
17 woody cover and simulated wet and dry season streamflows decline again, to 11%, and  
18 161mm and 108mm, respectively. Over the studied period, the year 2009 exhibits the lowest  
19 annual rainfall depths in the two catchments (Fig. 4), with high levels of uncertainties in  
20 simulated flows (Fig 7a,b), possibly explaining the discordance between land-uses changes  
21 and simulated wet season streamflow in this particular year (cf. Fig. 6 and Sect. 4.4).

## 22 4 Discussion

### 23 4.1 Land-use changes and hydrological processes in the Houay Pano 24 catchment, Laos

25 Fig. 5 and 6a7a, b indicate that catchment streamflows areis predominantly produced by the  
26 following land-use units: annual crops, 1-year fallow and teak plantations while 2- to 12-year  
27 fallow, forest and banana plantations make a comparatively lower contribution to annual  
28 streamflow production. In agreement with these observations, Ribolzi et al. (2008) determined  
29 a negative correlation between the percentage of area under total fallow and annual runoff  
30 coefficients in the same catchment over the period 2002-2006. However, the authors could  
31 not ascertain the causality between these two variables because the possible effect of rainfall  
32 variability (gradual decline of annual rainfall from 2002 to 2006, cf. Fig. 4a) on streamflows

1 was not isolated from that of land-use change (gradual decline of total fallow areas from 2002  
2 to 2006, cf. Fig. 5c).

3 The contrasting hydrological behavior ~~between~~of areas under annual crops and 1-year fallow,  
4 on the one hand, and areas under 2- to 12--year fallow, on the other hand, observed at the  
5 catchment level, are consistent with local observations. Using several 1-m<sup>2</sup> microplot  
6 experiments in the Houay Pano catchment, Patin et al. (2012) showed that soil under annual  
7 crops (rice) exhibit rates of soil surface crusting that are much higher (about 50% of the  
8 microplot surface area) than those observed under old fallow (about 10% of the microplot  
9 surface area). The authors showed that soil infiltrability decreases as the soil surface crusting  
10 rate increases, thus explaining the lower ~~overland~~flow productivity of 2- ~~to~~ 12--year fallow,  
11 compared to that of annual crops. Due to the low faunal activity and the absence of tillage in  
12 the upland rice-based cultivation systems, the high rates of crusting rate persist during the first  
13 year of fallow (Ziegler et al., 2004), thus explaining similar hydrological behaviours of annual  
14 crops and 1-year fallow. While infiltrability increased as fallow aged, its developing leaf area  
15 and root system also contributed to lower ~~streamflows~~ at the catchment outlet (cf. period  
16 2003-2006 in Fig. 5). The fraction of incident rainfall intercepted by the canopy and  
17 subsequently evaporated increased while larger volumes of infiltrated water were redirected  
18 by transpiration. The increased root water uptake reduced groundwater recharge and  
19 subsurface water reserves; it also lowered the water table, hence limiting stream feeding by  
20 shallow groundwater. This groundwater depletion led to a drop in the annual stream water  
21 yield due to a decrease in wet season inter-storm flow and dry season base flow (Ribolzi et  
22 al., 2008).

23 The hydrological processes involved in the conversion of the rice-based shifting cultivation  
24 system to teak plantations are less intuitive. Teak trees can develop relatively high leaf area  
25 index (Vyas et al., 2010), deep and dense root systems (Calder et al., 1997; Maeght, 2014),  
26 i.e. traits consistent with a high water uptake by evapotranspiration. To that extent, their  
27 hydrological impact should be similar to that of fallow during the wet season. However, the  
28 facts that 1) under young teak trees, the ~~inter-row area~~~~understorey~~ is ~~cultivated with~~~~ropped~~  
29 ~~annually~~ ~~crops~~ with high rate of soil surface crusting 2) the large leaves of mature teak trees  
30 concentrate rainfall into big drops that hit the soil with increased kinetic energy hence  
31 forming surface crusts and 3) most farmers intentionally keep the soil bare under mature teak  
32 trees by recurrent burning of the understorey, create the conditions for intense erosion that

1 induces features such as gullies, raised pedestals and root exposure. Suppression of the  
2 understorey led to the formation of impervious crusts that limited infiltration and in turn  
3 increased Hortonian overland flow and erosion, as typically observed in teak plantations  
4 where fires are a common phenomenon (Fernández-Moya et al., 2014). These processes were  
5 quantified at the 1-m<sup>2</sup> microplot level by Patin et al. (2012) in the Houay Pano catchment.  
6 Median infiltrability measured in teak plantations (18mm.hour<sup>-1</sup>) was nearly four times lower  
7 than that measured in fallow (74mm.hour<sup>-1</sup>), and equivalent to that measured in rice fields  
8 (19mm.hour<sup>-1</sup>). Compared to the dense fallow vegetation that remains green during the dry  
9 season, teak trees shed their leaves during the dry season, primarily in response to the gradual  
10 drop in precipitations and temperature (Abramoff and Finzi, 2015), thus reducing  
11 transpiration and increasing dry season [streamflows](#). The low infiltrability and limited root  
12 water uptake during the dry season explains the increasing wet and dry season [streamflows](#) as  
13 teak plantations expanded over the catchment between 2006 and 2013 (Fig. 5 and [67a,b](#)).

14 No local measurement of infiltrability and soil surface crust was performed under the natural  
15 forest areas in the Houay Pano catchment. Therefore, it is not possible to conclusively prove  
16 their contribution to the catchment outflows. However, correlation analyses showed that this  
17 land-use unit behaves hydrologically like 2- to 12-year fallow (cf. the position of this land-  
18 use unit above the black bold solid curve in Fig. 5c). This is in accordance with Brown et al.  
19 (2005) and with our findings in Vietnam (cf. Sect. 4.2, Fig. [6e,d](#) and Fig. [7c,d](#)), showing that  
20 sparser (denser) natural vegetation cover increases (reduces) [streamflows](#). Finally, it should  
21 be noted that the area covered with banana trees remained stable over the [studied](#) period and  
22 had no discernable effect on [streamflow](#) variations.

#### 23 **4.2 Land-use changes and hydrological processes in the Dong Cao** 24 **catchment, Vietnam**

25 Fig. [6e,d](#) and Fig. [7c,d](#) indicate that catchment [streamflow is-are](#) predominantly produced  
26 over herbaceous land-use units (Annual crops, Forbs and Fodder), while tree-based land-use  
27 units (Mixed-trees plantations and Forest communities) make a comparatively lower  
28 contribution to [streamflow](#) (cf. the location of these land-use units above or below the black  
29 bold solid curve in Fig. [67c](#)). These differences are consistent with local observations.  
30 Deploying several 1-m<sup>2</sup> microplots experiments in the Dong Cao catchment in 2004 and  
31 2005, Podwojewski et al. (2008) showed that mean annual surface runoff coefficients under  
32 Annual crops (10.8%), Fodder (5.9%) and Forbs (referred to as “fallow” in Podwojewski et



1 al. 2008) (5.1%), were higher than those of eucalyptus (2.0%) and other tree-based covers  
2 (1.4%) including mixed-trees plantations and forest communities. Applying controlled  
3 artificial rainfall (two events of 90mm.hour<sup>-1</sup> over 40 minutes each) on several 1-m<sup>2</sup>  
4 microplots in the Dong Cao catchment, Janeau et al. (2014) showed that the accumulation of  
5 litter under an *Acacia mangium* planted forest cover decreased the runoff coefficient by 50%.

6 Two types of land-use successions occurred in the Dong Cao catchment: i/ from annual crops  
7 and fodder to forbs and finally to forest communities; ii/ from mixed-trees plantations to  
8 forest communities (Fig. 67c). These land-use changes are the result of afforestation by  
9 natural regeneration in both abandoned fields and neglected tree plantations, respectively. As  
10 indicated in Podwojewski et al. (2008), these natural successions are converging on lower  
11 surface runoff coefficients caused by increased infiltrability, allowing the evapotranspiration  
12 of larger volumes of sub-surface and ground water through denser and deeper root system and  
13 denser tree canopy (Dunin et al., 2007; Ribolzi et al., 2008). This explains the decrease in  
14 simulated wet and dry season streamflows at the catchment level (Fig. 7a6a, b) from 2002 to  
15 2013. The visual comparison of the simulated streamflow time series (Fig. 7-6a, b) with the  
16 time series of land-use (Fig. 67c) indicates a 1-year delay in the response of seasonal  
17 streamflow to land-use changes, which is confirmed by correlation analyses (Fig. 67c, d).  
18 This delay is already known from a number of catchment experiments globally. Brown et al.  
19 (2005) showed that annual water yield altered by forest regrowth experiments takes more time  
20 to reach a new equilibrium, compared to deforestation experiments that usually induce  
21 quicker hydrological responses. In Laos, no time-lag was observed between land-use changes  
22 and changes in simulated streamflow (Fig. 5) because this temporality was already accounted  
23 for in the difference made between 1-year fallow and 2- to 12-year fallow exhibiting  
24 contrasting soil surface crusting rates and infiltrability.

25 The reduction of the Dong Cao catchment water yield over the full study period is equivalent  
26 to a reduction of about 165 0004m<sup>3</sup> (3302mm) during the wet season and 30 30047m<sup>3</sup>  
27 (604mm) during the dry season. While the dry season streamflow reduction may have  
28 negative consequence on irrigated rice located downstream of the catchment, the reduction in  
29 wet season streamflow is expected to contribute to decreased flood risk. The overall reduction  
30 in streamflow over the study period could be interpreted as a recovery of hydrological status  
31 prevailing prior to 1970 serious threat to river ecosystems. While this statement is true, it  
32 ignores the fact that when the catchment was covered by lowland primary forest prior to 1970

1 with ~~likely~~ evapotranspiration [likely](#) greater and [stream](#)flow production [likely](#) lower than that  
2 observed in the early 2000s.

### 3 **4.3 Comparison of the relationships between land-use changes and changes** 4 **in hydrological behaviour in the two studied catchments**

5 The dynamics of land-use changes in the Houay Pano catchment, Laos, involved cyclic  
6 patterns (landscape dominated by shifting cultivation and teak plantation expansion) whose  
7 hydrological effects would remain undetected if we had restricted our analysis to the  
8 statistical detection of gradual and unidirectional change in the rainfall-runoff relationship (p-  
9 values  $\geq 0.35$ , cf. Sect. 3.1) [over the whole study period](#), as it is often done in hydrological  
10 impact assessments. In contrast, the same test [applied over the same period](#) has resulted in  
11 highly significant changes in the Dong Cao catchment, Vietnam, (p-values  $< 0.03$ ) because the  
12 land-use [transition to forest](#) change was unidirectional over the whole studied period. These  
13 results highlight the need to measure and assess the inter-annual co-variability of land-uses  
14 and [stream](#)flows at the finest temporal scale when assessing changes in catchment behaviour.

15 Two main types of land-use change in the Houay Pano catchment, ~~Laos~~, had different  
16 hydrological impacts: i/ the transition from [\[2- to 12-year fallow + forest\]](#) to [\[annual crops +](#)  
17 [1-year fallow\]](#); ii/ the transition from [\[2- to 12-year fallow + forest\]](#) to [\[annual crops + 1-year](#)  
18 [fallow + teak plantations\]](#). The first (observed over 2001-2006) induced increases in  
19 simulated seasonal [stream](#)flow lower than those induced by the second (observed over 2006-  
20 2013), [as illustrated by the different slopes of the regression lines in Fig. 6-7a, b](#). Thus, teak  
21 plantations, recently introduced to replace traditional rice-based shifting cultivation systems,  
22 are generating more runoff than was generated by annual crops and 1-year fallow. This  
23 difference did not appear in the average values of infiltrability obtained by Patin et al. (2012)  
24 at the microplot level: 18mm/h and 19mm/h for teak plantations and rice fields, respectively.  
25 The microplot measurements were performed before 2010, while the major catchment-wide  
26 hydrological effects of the spread of teak plantations occurred in 2011 (Fig. 5), suggesting  
27 that Hortonian overland flow has increased over recent years in the teak plantations, in  
28 response to increased erosion processes and soil losses caused by the recurrent burning and  
29 clearing of the plantation understorey. This effect of land-use conversion on the hydrology of  
30 headwater catchment is expected to have detrimental effects on downstream river ecosystems  
31 and related biodiversity, not only through a change in [stream](#)flow variability but also with the  
32 enhanced erosion and flow sediment transport.

1 The hydrological effect of this modern land conversion in Laos is of the same magnitude (but  
2 in the opposite direction) as that caused by the conversion of young herbaceous cover (annual  
3 crops, forbs and fodder) to naturally regenerating tree-based covers in Vietnam (mixed-trees  
4 plantations and forest communities). In the two countries, the conversion of young herbaceous  
5 cover and tree(including teak plantations in Laos) to old fallow and/or forest over 1% of the  
6 catchment induced wet and dry seasons streamflow reductions of about 10-12-5mm and 1.5-  
7 2mm3.5mm, respectively (cf. the coefficients of the linear regressions in Fig. 6a7a, c and Fig.  
8 6b7b, d, respectively). Assuming the linearity of these relationships, the average difference  
9 between actual annual evapotranspiration of the two land\_uses (pre- and post-conversion) is  
10 ranging between about  $100*(10+5+1.52)$  and  $100*(12+3.5)$  millimeters, i.e. 1150-1550=  
11 1350mm, which is of the same order of magnitude as typical evapotranspiration of  
12 tropical forest in continental Southeast Asia (Tanaka et al., 2008). This comparison indicates  
13 that the evapotranspiration of the studied young herbaceous cover tree(including teak  
14 plantations (which could theoretically surpass that of the young herbaceous cover because of  
15 potentially deeper root system and denser leaf area index)-in Laos) is likely limited by the soil  
16 water availability in accordance with the low infiltrability rates previously measured at the  
17 microplot level.

#### 18 **4.4 Reliability of the results**Concluding remarks

19 A 2-parametersimple monthly lumped rainfall-runoff model was used to investigate the  
20 relationship between land\_use and catchment hydrology. This approach presents some  
21 limitations. For instance, land\_uses changes occurring within or outside of the riparian area  
22 and their hydrological effects were not differentiated. The spatial patterns of the land-use  
23 mosaics (e.g. area, layout and connectivity of the patches) were not accounted. While ~~the~~  
24 simplification limits our understanding of the processes underlying the rainfall-runoff  
25 transformation. However, the model high efficiently captured the gradual changes in the  
26 catchments' behaviourperformance of the model (mean values of  $N_{SEQ}$  and  $N_{SEM}$  > 86%)  
27 which proved to be significantly (0.00 < p-values < 0.08) and consistently correlated to ~~is~~ highly  
28 variable land-use patternsthe two studied catchments evidences its efficiency for the analysis  
29 of hydrological changes.

30 It could be argued that 1-year calibrations are too short for the model to accurately capture the  
31 hydrological behaviour of the catchment. This statement would be valid in the context of a  
32 more classical split-sample test including a calibration and a validation period where the

1 [model is used as a predictor. This procedure assumes that the catchment is hydrologically](#)  
2 [stable over these two sub-periods. In our approach, the rainfall-runoff model was used to](#)  
3 [capture gradual changes in hydrological behaviour in order to verify if these changes are](#)  
4 [caused by actual changes in land-use conditions. With this aim, minimizing the duration of](#)  
5 [the calibration periods to one year allowed maximizing the dependency between the model](#)  
6 [parameters and the corresponding land-use patterns mapped annually. This approach proved](#)  
7 [to be appropriate given the high inter-annual variability of land use \(Fig. 5 and 6\), and the](#)  
8 [significance of the correlations between land use and streamflow simulated with the different](#)  
9 [calibrated models \(Fig. 5, 6, and 7\). However, a one-year calibration may result into a model](#)  
10 [that performs well under the specific climate conditions of the calibration year only.](#)  
11 [Simulation biases usually increase when the model is run under climate conditions different](#)  
12 [from calibration conditions \(Coron et al. 2012\), thus possibly hampering the detection of the](#)  
13 [hydrological changes illustrated in Fig. 5 and 6. To quantify this bias, GR2M was calibrated](#)  
14 [over the two-year period \(2012-2013\) in the Dong Cao catchment where land use remained](#)  
15 [relatively stable between 2011 and 2013 \(Fig. 6c\). The rainfall years 2012 and 2013](#)  
16 [correspond to the median \(1421mm\) and the wettest \(1938mm\) years, respectively, of the](#)  
17 [study period \(2002-2013\) \(Fig. 4\). Therefore, this two-year period exhibiting stable land use](#)  
18 [but contrasting rainfall conditions is well suited to investigate the effect of rainfall variability](#)  
19 [and calibration duration on model efficiency. The mean relative difference between](#)  
20 [streamflow simulated by this model and by the models calibrated over the 1-year periods](#)  
21 [2012 and 2013 \(the 3 models use the same 2012 year as rainfall input\) approximates this](#)  
22 [simulation bias which was found to be higher for the wet season \(20%\) than for the dry](#)  
23 [season \(2%\). Overall, these biases are negligible compared to the major hydrological changes](#)  
24 [observed in the two study catchments: 67% wet season streamflow reduction and 84% dry](#)  
25 [season streamflow reduction over the study period in the Dong Cao catchment; 100% wet](#)  
26 [season streamflow increase and 650% dry season streamflow increase in the Houay Pano](#)  
27 [catchment between 2007 and 2011. In contrast, wet season streamflow over the period 2002-](#)  
28 [2006 in the Houay Pano catchment \(Fig. 5a\) exhibits the lowest inter-annual variations for a](#)  
29 [5-year period in the study catchments, with a coefficient of variation \(11%\) lower than the](#)  
30 [20% bias estimated for the wet season simulations, indicating a possibly significant modelling](#)  
31 [artefact. However, these streamflow variations are significantly and consistently correlated to](#)  
32 [land-use change over this short period \(Fig. 7a\), suggesting negligible biases even for these](#)  
33 [slightest streamflow variations. The main discrepancy between simulate streamflow and land](#)

1 use was observed during the 2009 wet season in the Dong Cao catchment. In 2009, simulated  
2 streamflow is equivalent to about one third of that in 2008 and 2010, while no major change  
3 in land use apparently explains this drop. This discrepancy could originate from a simulation  
4 bias because 2009 was the driest year of the study period (Fig. 4).

## 5 **5 Conclusion**

6 ~~Our results~~The model simulations showed that the land-use effects on soil surface properties  
7 and infiltrability, previously quantified in 1m<sup>2</sup> micro-plots, are reconcilable with the  
8 hydrological behaviour of the study catchments, at a scale six orders of magnitude larger.  
9 These ~~findings indicate~~results show that land use - i.e. the way the vegetation cover is  
10 managed (e.g. recurrent burning of the understory of teak tree plantations~~understorey and~~  
11 ~~soil alteration~~) - exerts a control on streamflow production greater than land-cover (i.e.  
12 theoretical evapotranspiration characteristics of the vegetation). Another approach to assess  
13 the hydrological impacts of land-use changes typically involves physically-based and  
14 distributed hydrologic models. Our analysis ~~demonstrates~~indicates that this other category of  
15 models ~~necessarily needs to~~would successfully simulate the effects of land-use changes only  
16 ~~if they~~ account for changes in soil properties following land conversions in order to efficiently  
17 simulate the hydrological effects of land-use changes.

18 According to the most recent Global Forest Resources Assessment (FAO, 2015), Laos and  
19 Vietnam are listed among the 13 countries globally which were likely to have passed through  
20 a national forest transition between 1990 and 2015, with a switch from net forest loss to net  
21 forest expansion (Keenan et al., 2015). Our analysis exemplifies the diverse impacts this  
22 forest expansion can have on streamflow~~ecosystems~~, and how it can lead to extreme, yet  
23 opposite, hydrological changes, depending on how the newly established tree-based cover is  
24 managed. The conversion of rice-based shifting cultivation to teak plantations in Laos led to  
25 increased seasonal streamflows. The conversion of annual crops and mixed-trees plantations  
26 to naturally re-growing forest in Vietnam led to decreased seasonal streamflows. Considering  
27 that commercial tree plantations will continue to expand in the humid tropics, careful  
28 consideration is needed before attributing to them positive effects on water and soil  
29 conservation.

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4 **Table**

5 Table 1. Catchments characteristics

| <b>Country</b>                            | <b>Laos</b>              | <b>Vietnam</b> |
|---|--------------------------|----------------|
| Catchment name                            | Houay Pano               | Dong Cao       |
| Province                                  | Luang Prabang            | Hoa Binh       |
| Latitude                                  | 19°51'10" N              | 20°57'40" N    |
| Longitude                                 | 102°10'45" E             | 105°29'10" E   |
| Catchment size                            | 60.2 ha                  | 49.7 ha        |
| Elevation range                           | 430 – 718 m              | 130 – 482 m    |
| Mean slope                                | 48%                      | 40%            |
| Mean annual rainfall                      | 1585 mm                  | 1556 mm        |
| Mean annual<br><a href="#">streamflow</a> | 418 mm                   | 415 mm         |
| Geology                                   | Shale, schist            | Schist         |
| Soils                                     | Alfisol, Entisol Ultisol | Ultisol        |

6

## 1 **Figure captions**

2 Figure 1. The two studied catchments of the MSEC network and their land-use in 2013

3 Figure 2. Monthly rainfall, runoff and  $E_{T0}$  averaged over the studied periods in Laos and  
4 Vietnam

5 Figure 3. Cross simulation matrix.  $i$ : row index.  $j$ : column index.  $M_j$  ( $j \in N \mid 1 \leq j \leq n$ ) defines  
6 the set of model parameters calibrated over year  $j$  using  $RP_j$  as input.  $PR_i$  ( $i \in N \mid 1 \leq i \leq n$ )  
7 defines the rainfall that occurred over year  $i$ .

8 Figure 4. Annual rainfall, runoff and runoff coefficient measured in Houay Pano (a) and Dong  
9 Cao (b) catchments. Runoff values are not available in Vietnam in 2001 (cf. Sect. 2.2).  
10 Arrows point to rainfall years used in model simulations displayed in Fig. 5 and 76

11 Figure 5. Houay Pano catchment, Laos. Wet season (a) and dry season (b) streamflow in  
12 Houay Pano catchment, Laos. Solid curve: flow simulated with GR2M re-calibrated each year  
13 (indicated on X-axis) and ran with the same rainfall input. Shaded area: error interval for  
14 simulated flow. Black dots: measured flow. (c): cumulative percentages of surface area of  
15 each land-use unit

16 Figure 6. Dong Cao catchment, Vietnam. Wet season (a) and dry season (b) streamflow  
17 simulated with GR2M calibrated each year (indicated on X-axis) and ran with the same  
18 rainfall input. (c): cumulative percentages of surface area of each land-use unit

19 Figure 67. Correlations between simulated streamflow and land-use\* types. (a) and (b): Houay  
20 Pano catchment, Laos. (c) and (d): Dong Cao catchment, Vietnam. Percentage areas of year  $n$   
21 ( $n \in N \mid 2001 \leq n \leq 2012$ ) are correlated to seasonal streamflows of year  $n+1$  in Vietnam

22 Figure 7. Wet season (a) and dry season (b) flow in Dong Cao catchment, Vietnam. Solid  
23 curve: flow simulated with GR2M re-calibrated each year and ran with same rainfall input.  
24 Shaded area: error interval for simulated flow. Black dots: measured flow. (c): cumulative  
25 percentages of surface area of each land-use unit