

1 **Response to referees, followed by paper with marked-up changes**

2 **Authors' response to referees**

3

4 **Referee 2**

5 Comment: “The use of Q_{t-7} in the statistical model is quite important. This relies on the assumption
6 that travel time from Datong to Gaoqiao is 7 days, which was from Zhang et al (2012). In reality the
7 travel time is likely to be a function of discharge, although the travel time might not vary much over
8 the range of discharge of interest. A comment on this could be provided.”

9 Response: It is true that the travel time is likely to vary with discharge. However, the discharges are
10 very highly auto-correlated, with an average change in discharge from one day to the next of only
11 0.0094 per cent. So any error involved in this assumption is very small.

12 In the paper: The point is acknowledged on lines 140-142 of the unmarked manuscript and lines
13 147-149 of the manuscript with marked changes.

14

15 **Referee 1**

16 Referee 1 makes five comments, which we address in turn.

17

18 Comment 1 “The paper uses a statistical model to represent the relationship between salinity and
19 discharge, rather than a physics-based model, such as that of Zhang et al (2011).”

20 Response: Zhang et al. (2011) informed our work. That model is designed to estimate salinity along
21 the separate branches of the estuary and at different distances from the sea, which is a different
22 problem from that which we confront. Our problem combines frequent observations of discharge,
23 infrequent observations of salinity and the task of estimating salinity and its duration at a point,
24 Shanghai’s Qingcaosha storage intake. Whereas Zhang et al. could calibrate their model parameters
25 from observations on one day and then evaluate the model with observations on only another two

26 days, we sought a method that combined the known data [over 300 observations] with a search for
27 more robust estimates of chlorinity. We believe that it is important that there exist different methods
28 for approaching the task of predicting the risk of saline intrusions. Our method is attuned to
29 duration, and its probabilistic nature accords with incomplete knowledge about the dynamics of the
30 Yangtze estuary.

31 In the paper: Our response to this comment in the resubmitted paper is subsumed under our
32 response to this referee's comment 3.

33

34 Comment 2 “It is a bit hard to see the innovation of this paper. The application of a complex
35 autoregressive function is not really the innovation. So the innovation lies in the combination of a
36 salinity-discharge relation with a Monte Carlo simulation method to construct high intrusion
37 periods, and to analyse which of these have a critical duration.”

38 Response: Precisely! Unlike all previous analyses of saline intrusions in the Yangtze River, we
39 estimate not only their chlorinity, but also their duration. Because we know daily discharges for
40 over 60 years, we can estimate the probability of critical discharges, below which saline intrusions
41 are highly likely and we can estimate the probability that these intrusions last for more than
42 specified lengths of time. We can demonstrate that intrusions are a continuous function of discharge,
43 for example.

44 In the paper: We have emphasised this contribution in lines 104-106 and 112-115 of the manuscript
45 with marked changes and lines 98-100 and 105-108 of the unmarked manuscript.

46

47 Comment: 3 “Because the authors have used an auto-regressive function that lacks physical
48 foundation, the risk is that this model works well for the calibration period, but fails during the
49 critical periods the method has been designed for.”

50 Response: The calibration period includes observations from five separate years. In all of those

51 observations, discharges lay in the range 6000 – 16000 m³ s⁻¹, which is precisely the range within
52 which chlorinity is variable. No lower discharges have ever been recorded; at higher discharges,
53 saline intrusions are demonstrably unlikely. The calibration intervals are precisely those that are the
54 critical periods for saline intrusions. Of course, the model may fail outside the calibration period.
55 But our calibration period extends over five separate years and more than 300 observation.
56 In the paper: Nevertheless, we have acknowledged this risk and discussed it in the revised paper.
57 See lines 426-437 of the resubmitted manuscript and lines 436-447 of the manuscript with marked-
58 up changes.

59

60 Comment: 4 'The authors mention that: "All of these modifications (physical interventions) will
61 affect the probability of salt intrusions in the estuary and it is important to calculate their effects".
62 Only a physics-based model will be capable of simulating the effects of these interventions
63 (dredging, sea level rise, changing seasonality, etc.), whereas the statistical method cannot.'

64 Response: The editor also asked that we address this comment, by using the model to predict the
65 effects of management interventions on the probability of long duration salt intrusions into the
66 estuary. This we have done, by calculating the change in the probability of long durations of
67 chlorinity 250 mg L⁻¹ under the operations of the Three Gorges dam, and the abstractions that are
68 likely for the South-North Water Transfer Project and local abstractions in the Yangtze delta by
69 2030.

70 In the paper: This major revision to the paper:

71 (1) adds a new context to the paper – lines 50-59 of the resubmission [54-63 of the marked-up
72 manuscript];

73 (2) adds a new aim – lines 98-100, 104-108 of the resubmission [104-106, 113-115 of the marked-
74 up manuscript];

75 (3) requires discussion of an additional data set – lines 184-197 of the resubmission [191-204 of the

76 marked-up manuscript] + new figure 3 + Appendix A;

77 (4) leads to a new set of results – lines 317-349 of the resubmission [327-359 of the marked-up
78 manuscript], including new table 4 and new figure 8;

79 (5) requires additional discussion – lines 390-412 of the resubmission [400-422 of the marked-up
80 manuscript].

81

82 Comment: 5 “Finally, as an aside, the main problems of salinity near the intakes for Shanghai, are
83 the result of relatively saline water from the North Branch spilling into the South Branch during low
84 flows. This effect is impossible to take into account in this statistical model, while it is this
85 phenomenon that is most probably critical for the water supply of Shanghai.”

86 Response: The paper mentions that this is what actually happens during an intrusion. Our model is
87 in effect a method for identifying when this occurs. The Zhang et al. model is not a model of this
88 spill-over effect, either.

89 In the paper: We have addressed this comment in discussing the risk that the calibrated statistical
90 model fails outside the calibration period – lines 426-437 of the resubmitted manuscript [436-447 of
91 the marked-up manuscript].

92

1 **A METHOD FOR CALCULATING Impact of Three Gorges Dam, South-North Water**
2 **Transfer Project and water abstractions on the duration and intensity of salt intrusions in** the
3 **Yangtze River estuary**

4

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13

14

15 **Abstract**

16 This paper assesses the impacts of the Three Gorges dam, the South-North Water Transfer Project
17 and other water abstractions on the probability of long duration salt intrusions into the Yangtze
18 River estuary. Studies of intrusions of salt water into estuaries are typically constrained by both the
19 short duration of discharge records and the paucity of observations of discharge and salinity. Thus
20 studies of intrusions of salt water into estuaries typically seek to identify the conditions under these
21 intrusions occur, using detailed observations for periods of 20 – 60 days. ~~Theis~~ paper therefore first
22 demonstrates a method by which to identify the conditions under which intense intrusions of long
23 duration occur and then applies that method to the Yangtze River estuary analyse the effect of the
24 three projects. The paper constructs a model of the relationship between salinity and discharge and
25 then employs Monte Carlo simulation methods to reconstruct the probability of observing intrusions
26 of differing intensities and durations in relation to discharge. The model predicts that the duration of
27 intrusions with chlorinity $\geq 250 \text{ mg L}^{-1}$ (or ≥ 400 or 500 mg L^{-1}) increases as the number of
28 consecutive days with discharge $\leq 12\,000 \text{ m}^3 \text{ s}^{-1}$ (or $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$) increases; ~~consecutive days of~~
29 ~~discharges $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$ predict the duration of intrusions with chlorinity ≥ 400 or 500 mg L^{-1} .~~ In
30 ~~26 of the 64 years analysed, the probability of an intrusion of at least 60 days at $\geq 250 \text{ mg L}^{-1}$ is~~
31 ~~greater than 1 in 1000; in 17 years is greater than 1 in 100; and in ten years is greater than 1 in 10.~~
32 The model predicts that in 1950-2014, the number of consecutive days with chlorinity $\geq 250 \text{ mg L}^{-1}$
33 averaged 21.34 yr^{-1} ; if the three projects operate according to their normal rules, that average would
34 rise to 41.20 yr^{-1} . For a randomly selected year of discharge history from the period 1950 – 2014,
35 under normal operating rules for these projects the probability of an intrusion rises from 0.25 (30
36 days) or 0.05 (60 days) to 0.57 or 0.28, respectively.

37
38 **Keywords**

39 Salt intrusion, Yangtze River, discharge, salinity, ~~simulation~~ Three Gorges dam, South-North Water

40 | [Transfer Project](#)

41

42 **1 Introduction**

43

44 Shanghai's industries and the more than 24 million people who live in the municipality now
45 principally depend on the Yangtze River for their water supply. Yet, like other large estuaries (Gong
46 2013), the estuary of the Yangtze River is affected by salt intrusions (Shen et al. 2003). The latest
47 occurred in 2014 (CNTV 2014), the longest since 1993. So two storages have been built in the
48 estuary to store water against the threat of salt intrusions (see Fig. 1 for locations): Chenhang
49 reservoir supplies about 23 per cent of the municipality's public water; Qingcaosha reservoir
50 supplies about 54 per cent (Li *et al.* [forthcoming2014](#)). Qingcaosha's storage capacity is said to be
51 equivalent to 67 days of Shanghai's current consumption. The probability of long duration salt
52 intrusions in the Yangtze estuary is thus of considerable social importance.

53

54 However, the discharge and tidal characteristics of the Yangtze estuary are now being modified.
55 Water is increasingly being abstracted from the river, for the South-North Water Transfer Project
56 (SNWTP) as well as for more local uses (Chen 2013; Zhang *et al.* 2012), tending to increase the
57 length and the intensity of periods of low discharge (Li *et al.* 2014). The Yangtze River is
58 increasingly being dammed for large hydro-electric projects, that cumulatively can now store about
59 25 per cent of the annual flow; this capacity is planned to double by 2050 (Li *et al.* 2000). The
60 largest of these is the Three Gorges Dam. As hydro-electric dams, these constructions have limited
61 effects on annual discharge, but do affect its seasonal distribution (Finlayson *et al.* 2013). All of
62 these modifications will affect the probability of salt intrusions in the estuary and it is important to
63 calculate their effects.

64

65 Intrusions of salt in estuaries have been widely studied, by both numerical and theoretical
66 methods. Most studies of the Yangtze estuary have been numerical (Kuang *et al.* 2009; Li *et al.*

67 | 2012; Liu *et al.* 2013; Xue *et al.* 2009). However, Zhang *et al.* (2011) ~~have~~ applied Savenije's
68 (1986, 1993) theoretical model. As Fig. 1 indicates, the Yangtze estuary is complex, with four
69 outlets to the sea. Nevertheless, these studies confirm that salt water intrusions are primarily
70 governed by a combination of low discharge and spring tide conditions, but are also influenced by
71 wind speed and direction. The discharge of the Yangtze R is highly seasonal, with average
72 discharges below $12\,000\text{ m}^3\text{ s}^{-1}$ in January and February, compared to over $40\,000\text{ m}^3\text{ s}^{-1}$ in June –
73 August (Chen 2013; Finlayson 2013). In dry years, discharges in December through March are less
74 than $12\,500\text{ m}^3\text{ s}^{-1}$ (Wang *et al.* 2008). It is this period, December – March, in which intrusions are
75 most likely to occur. When spring tides occur in December – March, intrusions are common: the
76 lower the discharge and the higher the tide, the more intense the intrusion, especially when
77 accompanied by strong south-easterly winds.

78

79 Figure 1 Map of the Yangtze estuary

80

81 The principal problem for these studies has been to examine the conditions under which oceanic
82 water intrudes far up the estuary. They seek to predict an event – the observation of water with
83 chlorinity exceeding 250 mg L^{-1} (ppm, equivalent to 0.45 on the Practical Salinity Scale), which is
84 the Chinese standard for drinking water (National Standard GB 5749-2006). Since the usual
85 treatment technologies in Shanghai's water plants do not remove chlorides, it is also the standard for
86 raw water that is to be processed into tap water (Surface Water Quality Standards GB 3838-2002).

87

88 However, the duration of this event is also significant, especially for residents of Shanghai. An
89 intrusion of a few days, no matter how intense, has little social significance, compared to an
90 intrusion of a few months. ~~Li *et al.* (2014) demonstrate that the duration of intrusions is positively~~
91 ~~related to their intensity (chlorinity); unfortunately, Li *et al.* have only 11–13 data points to support~~

92 | ~~this conclusion.~~—Chen *et al.* (2013) ~~also do~~ address duration, but they, like others (Chen *et al.* 2001;
93 Gu and Yue 2004; Wang *et al.* 2008; Yang 2001; Zhao *et al.* 2009), identify a single threshold
94 discharge below which intrusion is likely and above which intrusion is unlikely. In fact, salt
95 intrusions may occur at a variety of discharges (Fig. 2), with a probability that varies inversely with
96 discharge.

97
98 The difficulty is that, while long discharge records for many rivers are generally available,
99 measurements of salinity are not routinely collected by state agencies. Salinity thus needs to be
100 measured for a specific purpose, such as a research project. Measurements of salinity are therefore
101 expensive and not available in long records. It is thus important to find a method for using
102 historical data about discharge to generalise the limited observations of salinity, and so obtain a long
103 record of salinity, which identifies both the duration of a saline intrusion and the relative frequency
104 of occurrence of such intrusions. It is this method that this paper presents, and then employs to
105 calculate both the probability of long duration salt intrusions in ~~illustrates from the case of the~~
106 Yangtze River estuary and the impact of human modifications of the river on that probability.

107
108 | ~~This~~Specifically, the paper therefore addresses the following problems: how can the probability
109 of long duration (up to 60 days) salt intrusions in the Yangtze estuary be identified? What is that
110 probability? ~~Subsequent questions, to be addressed in a later paper, concern the impact of~~What is
111 the effect on that probability of increasing water abstraction from the Yangtze basin, the SNWTP
112 and the increasing construction of the Three Gorges hydro-dams, climate change and sea-level rise
113 ~~on this probability?.~~ It is our calculation of the probability of long duration salt intrusions and our
114 prediction of the impact on that probability of human modifications to discharge that sets this paper
115 apart from other studies of salt intrusions in the Yangtze estuary.

116

117 **2 Method**

118

119 This paper is statistical and predictive. We do not model the estuary dynamics, either theoretically
120 or numerically, but estimate statistical relations between discharge and salinity to identify the
121 probability of long duration salt intrusions. The paper draws on ~~two~~three ~~principal~~ sources of data.

122

123 First, it employs published data about discharge and salinity for various periods to estimate the
124 relationship between discharge and salinity. The salinity data refer to the Gaoqiao gauging station
125 in the estuary (Fig. 1), the nearest station to Qingcaosha and are from Li *et al.* (2014). The
126 discharges are measured at Datong, the nearest ~~ga~~uging station which has a long record of
127 discharge data. The observations refer to the periods 1 January 1979 through 30 April 1979 [120
128 observations]; 13 February 1984 through 30 March 1987 [47 observations]; 1 January 1987 through
129 17 April 1987 [107 observations]; 24 January 1999 through 17 February 1999 [25 observations]; 16
130 February 2007 through 4 March 2007 [17 observations]. All 316 observations lie in periods in
131 which the probability of low discharges and therefore of salt intrusions is high. Figure 2 illustrates
132 the discharge and salinity conditions in these periods.

133

134 Figure 2 Salinity and discharge conditions in the periods of observation

135

136 These observations are neither logically nor statistically independent. They are not taken on a
137 random sample of days between 1 January 1979 and 4 March 2007, and so are not logically
138 independent. A casual observation of Fig. 2, confirmed by statistical tests, reveals that there is a
139 pronounced lag structure to the salinity measures, so they are not statistically independent either.
140 An appropriate estimate of the relationship between discharge and salinity must recognise this non-
141 independence of the observations. Although an Artificial Neural Network could be constructed to

142 model this relationship, we chose to estimate an equation of the form:

$$143 \quad G_t = \text{function} [G_{t-1}, Q_{t-7}], \quad 1$$

144 in which

145 G_t, G_{t-1} denote the salinity measure at Gaoqiao on day t and $t-1$, respectively

146 Q_{t-7} denotes the discharge at Datong on day $t-7$. At average discharges, it takes seven days for
147 water to flow from Datong to Gaoqiao (Zhang *et al.* 2012); the travel time is likely be less at
148 high discharges, though the fact that the average change in discharge from one day to the next is
149 only 0.0094 per cent renders this point moot.

150 Such a model has a straightforward, intuitive meaning. Observations are numbered 1, 2, ..., n
151 within years, and the estimates are made through a generalised estimating equation (Garson 2013).

152 After testing a variety of functional forms for Eq. 1 and assumptions about the distribution of
153 residuals, the specific estimated equation is:

$$154 \quad \log G_t = \alpha_0 + \alpha_1 \log G_{t-1} + \alpha_2 (\log G_{t-1})^2 + \alpha_3 Q_{t-7} + \alpha_4 \log Q_{t-7} + \alpha_5 (Q_{t-7} - Q_{t-8}) + r_t \quad 2$$

155 in which the residuals, r_t , are assumed to follow an inverse Gaussian distribution with autocorrelated
156 variance structure, and $\alpha_0, \dots, \alpha_5$ are parameters to be estimated. There are 312 usable
157 observations, since the first day of each sequence is lost through the lag specification.

158

159 There are four known sources of error in the data that have been used to construct this equation.

160 First, unknown, but variable, amounts of water are extracted from the river or drain into the river
161 between Datong and the salinity gauging station at Gaoqiao. Zhang *et al.* (2012) estimate that net
162 abstractions are highest in periods of spring tide, in September, October and November and in years
163 of drought (see also Dai *et al.* 2011). These differences are systematic, though with imperfectly
164 understood characteristics, which create errors of estimation. Secondly, the influence of spring and
165 neap tides is not included (Tong *et al.* 2010 illustrate these effects). However, the partial
166 autocorrelation plots of the residuals from Eq. 2 do not reveal any significant autocorrelations

167 beyond day 1. Third, there has been a rise in the long term level of the sea. Cai *et al.* (2009)
168 estimate that the rate of relative sea level rise in the Yangtze delta has been accelerating and in the
169 past few decades was 6.6 mm yr^{-1} . Over the period 1950-2010, this implies a rise of up to 40 cm,
170 which may influence the probability of an intrusion at any given discharge. Fourth are errors of
171 measurement within and differences in methods between the data sources, which are not known.

172
173 The second data set consists of the record of daily discharges at Datong. These are available
174 for the period 1950 through 2007 from the published yearbooks of the Changjiang Water
175 Commission, with gaps that were kindly infilled by Klaus Fraedrich, and from 2004 through 30
176 September 2014 at the website of the Changjiang Shuiwei Guangli Xitong (Changjiang Water Level
177 Management System, <http://yu-zhu.vicp.net/>). The record is converted from calendar years into
178 “river years”, which run from 1 August for 305 days; in a normal year, the sequence ends on 1 June;
179 in a leap year on 31 May. Intrusions have never been observed in June and July. Once the
180 parameters of Eq. 2 were estimated, those parameters and the distribution of residuals were used to
181 create 1024 simulations of the corresponding salinities for each year t , using random numbers
182 generated from the inverse Gaussian distribution of the estimated residuals, r_t . Thus, from the
183 simulations we can then calculate for a year with the discharge characteristics of year t , the
184 probability of observing 1, 2, ..., n consecutive days with salinity above the critical values of 250
185 mg L^{-1} (the upper limit of drinking water, according to the standard), 400 and 500 (values chosen to
186 reflect the possibility of building water plants in Shanghai that can treat saline water to obtain
187 drinking water). Repeating this calculation for each year provides the critical information which
188 this paper seeks to present. The analysis concludes by illustrating the discharge characteristics of
189 years in which the simulations reveal that the probability of long duration intrusions is high.

190
191 | Thirdly, the paper relies on published information about the volumes and operating rules of local

192 abstractions, the SNWTP and the Three Gorges dam. In each case, we investigate the effect of two
193 scenarios: the first, “normal operating rules”, which represent our best estimate of abstractions out
194 of the basin and discharges from the Three Gorges dam; the second, “conservative operating rules”,
195 which assume that abstractions and changes in discharge are less severe than under normal
196 operating rules. In both cases, it is assumed that current plans for the years 2030-2035 are followed.
197 The details of these rules and the sources from which they were calculated are described in
198 Appendix A; their effect on discharge into the estuary, net of return flows, is illustrated in Fig. 3.
199 The impact of these modifications on the probability of long duration intrusions is then calculated
200 as follows: first, for the 64 river years 1950-1951 to 2013-2014, what is the probability of an
201 intrusion of given duration and chlorinity? Second, if the Three Gorges dam, SNWTP and local
202 abstractions planned for 2030-2035 had operated in 1950-1951 to 2013-2014, what would have
203 been the probability of an intrusion of given duration and chlorinity? The difference in probabilities
204 is ascribed to the three modifications to the river.

205 |
206 Figure 3 Net changes to discharge from Three Gorges dam, SNWTP and local abstractions under
207 normal and conservative operating rules

208 |
209 | The principal limitation of this analysis is the short duration of the time series of daily flows.
210 There are only 64 river years of data from 1 January 1950 to 30 September 2014. Long periods of
211 saline intrusion are relatively rare events, perhaps occurring no more than five times per century, so
212 this record is clearly an insufficient basis from which to draw robust conclusions about the
213 relationship between low frequency, long duration intrusions and river discharge.

214 215 **3 Results I: Discharge and salinity**

216

217 Table 1 about here

218

219 The model estimates and goodness of fit criteria are contained in Table 1. The effect of all variables
220 is significant at $p < 0.05$, and the likelihoods are appropriately low. At the ranges of discharges to
221 which the model was fit ($6\ 0500 \leq \text{discharge} < 16\ 000$) salinity is negatively associated with
222 discharge and positively associated with the previous day's salinity. The proportion of the variance
223 in log G that is accounted for by the model is 0.8893. Residuals are not significantly different from
224 normal, according to a one-sample Kolmogorov-Smirnov test; furthermore, the residuals are not
225 correlated with the predicted values and their variance is approximately constant (Fig. 43).

226

227 | Figure 34 Distribution of residuals, with Weibull fit

228 Note: one-sample Kolmogorov-Smirnov test: most extreme deviation = 0.044; asymptotic
229 significance = 0.200, after Lilliefors correction.

230

231 The model predicts a close relation between discharge and mean salinity, especially when
232 discharge falls for long periods below about $10\ 000\ \text{m}^3\ \text{s}^{-1}$. In 43 of the 64 years, the model predicts
233 that there were periods in which mean salinity exceeded $250\ \text{mg}\ \text{L}^{-1}$, ranging in length from 1
234 through 97 days; in 30 years there were periods in which mean salinity is predicted to have
235 exceeded $400\ \text{mg}\ \text{L}^{-1}$, ranging in length from 1 through 80 days; and in 25 years there were periods
236 in which mean salinity is predicted to have exceeded $500\ \text{mg}\ \text{L}^{-1}$, ranging in length from 1 through
237 70 days (Fig. 4). The model predicts that in ten years – 1955, 1956, 1958, 1962, 1966, 1967, 1971,
238 1978, 1979 and 1986, mean salinities of over $500\ \text{mg}\ \text{L}^{-1}$ lasted more than 30 days. The model
239 suggests that the [ChangjiangYangtze](#) has become less liable to long duration intense intrusions since
240 1986: no mean salinity of more than $500\ \text{mg}\ \text{L}^{-1}$ is predicted to have exceeded ten days since then.
241 However, the complete model is probabilistic, with a frequency distribution of residuals around

242 | these mean predictions, as illustrated in Fig. 43, so it is important to use these probabilistic
243 predictions in order to understand the probability of encountering long duration intense intrusions
244 under the discharge characteristics of the various years in the sample.

245

246 Figure 4 Frequency distribution of years, classified by number of days with high chlorinity

247

248 **4 Results II: Discharge and intrusions**

249

250 | This model, with its known frequency distribution of residuals (Fig. 43), is therefore used to
251 simulate salinity intrusions. These simulations follow Monte Carlo methods, in which the
252 frequency distribution of residuals is repeatedly sampled, in conjunction with the other parameters
253 of Eq. 2, in order to identify the probability that intrusions of given intensities and durations will
254 occur. The results are first illustrated in detail for 1962, the year with the longest duration intense
255 intrusion on record. Figure 65 reveals the frequencies with which salinities of 250, 400 and 500 mg
256 L⁻¹ for different lengths of time were observed in the simulations. Superimposed on the frequencies
257 is a Weibull distribution, fitted by least squares. The most common intrusion of 250 mg L⁻¹ lasts for
258 74 days, but even intrusions of at least 91 days occur with a probability of 0.05 and of at least 97
259 days occur with probability of 0.01. An intrusion of at least 73 days is as likely to occur as not.
260 The most common intrusion of 400 mg L⁻¹ lasts 67 days, while intrusions of at least 77 days have a
261 probability of occurring of 0.05 and of at least 85 days occur with a probability of 0.01. Intrusions
262 of 55 days are as likely to occur as not. The most common length of an intrusion of 500 mg L⁻¹ is
263 67 days, but intrusions of 69 days occur with a probability of 0.05 and of 77 days occur with a
264 probability of 0.01. Intrusions of 47 days are as likely to occur as not. These are the model
265 predictions of the duration of salinity intrusions for years in which the discharge characteristics are
266 those of 1962.

267

268 | Figure 65 Frequency distributions of numbers of consecutive days with chlorinity above 250 (upper
269 left), 400 (upper right) and 500 (lower left) mg L^{-1} , fitted with Weibull distributions, 1962 data
270

271 Similar calculations have been made to determine the probability of occurrence of various
272 durations of intrusions of 250, 400 and 500 mg L^{-1} for every other year. Table 2 provides the simple
273 correlations between the simulated frequencies of three durations (30, 50 and 60 days) and a variety
274 of characteristics of discharge for all the years of record. The probability that in a year chlorinity \geq
275 250 mg L^{-1} for at least 30 days consecutively is correlated with a variety of measures of low flow,
276 especially the number of days for which discharge \leq 12 000, 10 000 or 8 000 $\text{m}^3 \text{s}^{-1}$. However, the
277 probabilities of longer duration intrusions of \geq 250 mg L^{-1} and the probabilities of higher salinity
278 intrusions are best predicted by measures of the number of days for which discharge \leq 8 000 $\text{m}^3 \text{s}^{-1}$.
279 Across all the durations and chlorinity levels, the best predictor of the probabilities of duration-
280 chlorinity pairs is the maximum number of consecutive days for which discharge falls below 8_000
281 $\text{m}^3 \text{s}^{-1}$. Worryingly for planners, no measures of discharge before the event predict long duration,
282 high intensity intrusions.

283

284 Table 2 about here

285

286 | Figure 76 reveals in more detail how the probability of observing duration-chlorinity pairs
287 depends on the duration of discharge less than 8000 $\text{m}^3 \text{s}^{-1}$. These graphs are the centralfirst results
288 at which this method is aimed.

289

290 | Figure 76 Relationship between long duration, high intensity intrusions and duration of low
291 discharges

292

293 | The upper graph in Fig. 76 illustrates how the probability of 30, 40 and 50 day intrusions of \geq
294 250 mg L^{-1} in a year varies in relation to the number of consecutive days in that year in which
295 discharge $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$. ~~If there are no such days in a year, then the probability of there occurring at~~
296 ~~least 30 days with chlorinity $\geq 250 \text{ mg L}^{-1}$ varies between 0 and 0.4; in fact, o~~Only if there are at
297 least 20 consecutive days in a year with discharge $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$ does the probability of at least 30
298 days with chlorinity $\geq 250 \text{ mg L}^{-1}$ rise above 0.025. As the number of consecutive days in a year
299 with discharge $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$ rises from 0 to 20, the probability of ~~there occurring~~ at least 30 days
300 with chlorinity $\geq 250 \text{ mg L}^{-1}$ rises to 0.55 – 0.9. When the number of consecutive days in a year
301 with discharge $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$ rises to 30 and then to 40 – 50, the probability of ~~there occurring~~ at
302 least 30 days with chlorinity $\geq 250 \text{ mg L}^{-1}$ is 0.9 and 0.99, respectively. Longer duration intrusions
303 of chlorinity $\geq 250 \text{ mg L}^{-1}$ are also closely related to the number of consecutive days with discharge
304 $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$. If in a year the number of such days is less than eight, then 50 or 60 day intrusions
305 of chlorinity $\geq 250 \text{ mg L}^{-1}$ have probability less than 0.2; when the number of such days is between
306 nine and 30, then the probability of 50 days of $\geq 250 \text{ mg L}^{-1}$ lies between 0.1 and 0.5 and of 60
307 days lies between 0.1 and 0.3.

308

309 | The central graph in Fig. 76 illustrates how intrusions of chlorinity $\geq 400 \text{ mg L}^{-1}$ vary in relation
310 to the number of consecutive days in a year with discharge $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$, while the lower graph
311 illustrates the same information for intrusions of $\geq 500 \text{ mg L}^{-1}$. In both cases, the probability of 30
312 day intrusions rises linearly as the number of consecutive low discharge days increases. In both
313 cases, too, the probability of a longer intrusion (50 or 60 days) is less than 0.1 unless the number of
314 consecutive days in a year with discharge $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$ exceeds 30. ~~In the record there are no~~
315 ~~years in which the number of consecutive days in a year with discharge $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$ lay between~~
316 ~~30 and 40; but in~~ the two years in which more than 44 consecutive days exhibited discharge $\leq 8\,000$

317 $\text{m}^3 \text{s}^{-1}$, the probability of 50-day or 60-day, chlorinity $\geq 400 \text{ mg L}^{-1}$ intrusions lay between 0.5 and
318 0.7 or lay between 0.25 and 0.5, respectively. The probability of 50-day or 60-day, $\geq 500 \text{ mg L}^{-1}$
319 intrusions is a little lower; even so, the probability of 50-day intrusions of chlorinity $\geq 500 \text{ mg L}^{-1}$ is
320 0.25 or 0.47 if a year has 44 or 50, respectively, consecutive days with discharge $\leq 8\,000 \text{ m}^3 \text{ s}^{-1}$.
321 This event occurred twice in the 64-year long record.

322

323 This information is summarised in Table 3.

324

325 Table 3 about here

326

327 | **5 Results III: Impact of Three Gorges dam, SNWTP and local abstractions on intrusions**

328 |

329 | The net effect of the three modifications is to reduce the discharge of the Yangtze River at the
330 estuary for most of the year (Fig. 3). The operations of the Three Gorges dam cause net decreases
331 in discharge when it is being filled (October and early November), but nil effects or net increases
332 throughout the rest of the year, including in the periods of lowest flow (December – February).
333 However, these effects are offset by abstractions for the Middle and Eastern Routes of the SNWTP
334 and by abstractions in the delta region. In aggregate, discharge is reduced throughout the year,
335 except when normal operating rules raise discharges from the Three Gorges dam above inflows (in
336 April and May).

337 |

338 | The consequence is an increase in the risk of long duration salt intrusions. We illustrate the
339 calculations by examining the probabilities of intrusions of chlorinity $\geq 250 \text{ mg L}^{-1}$ for 30, 50 and
340 60 days (Table 4). The probability, calculated over 1024 simulations for the discharges observed in
341 1950 – 2014 and the abstractions identified in Fig. 3, of a 30-day intrusion of $\geq 250 \text{ mg L}^{-1}$ was 0.25

342 | [under then current conditions, would rise to 0.40 under conservative rules by 2030-2035 and to 0.57](#)
343 | [under normal rules. Likewise, the probabilities of 60-day intrusions of \$> 250 \text{ mg L}^{-1}\$ rise from 0.05](#)
344 | [to 0.14 and 0.28 under the three conditions.](#)

345 |
346 | [Table 4 about here](#)

347 |
348 | [More light is shed on the risk of intrusions in Fig. 8. These graphs reveal the proportion of](#)
349 | [years in which the probability of an intrusion of chlorinity \$\geq 250 \text{ mg L}^{-1}\$ for 30, 50 and 60 days lies](#)
350 | [in the specified range. The upper graph indicates that 0.55 of years have a probability of less than](#)
351 | [0.1 that an intrusion of \$\geq 250 \text{ mg L}^{-1}\$ will last at least 30 days under then-current historical](#)
352 | [discharges. Under conservative operating rules, that proportion falls to 0.42, while 0.42 of years](#)
353 | [have a probability of at least 0.5 of an intrusion of \$> 250 \text{ mg L}^{-1}\$ lasting at least 30 days. Under](#)
354 | [normal operating rules, 0.56 of years have a probability of at least 0.5 of an intrusion of \$\geq 250 \text{ mg L}^{-1}\$](#)
355 | [lasting at least 30 days. Similar changes in the probabilities of intrusions are revealed by the](#)
356 | [central \(intrusions of at least 50 days\) and lower \(intrusions of at least 60 days\) graphs.](#)

357 |
358 | [Figure 8 Frequency distribution of years by the probability of an intrusion of chlorinity \$\geq 250 \text{ mg L}^{-1}\$](#)
359 | [for 30, 50 and 60 days, under three operating rules](#)

360 |
361 | **6 Discussion**

362 |
363 | Unlike previous studies of intrusions of salt water into the estuary of the Yangtze River, this paper
364 | has sought to identify the conditions under which intense intrusions of long duration occur.

365 | Constrained by both the shortage of the discharge record and the paucity of observations of
366 | discharge and salinity, the paper has constructed a model of the relationship between salinity and

367 discharge and then employed Monte Carlo simulation methods to reconstruct the probability of
368 observing intrusions of differing intensities and durations in relation to discharge. The model
369 predicts that the duration of intrusions with chlorinity $\geq 250 \text{ mg L}^{-1}$ increases as the number of
370 consecutive days with discharge $\leq 12\,000 \text{ m}^3 \text{ s}^{-1}$ increases; consecutive days of lower discharges (\leq
371 $8\,000 \text{ m}^3 \text{ s}^{-1}$) predict the duration of intrusions with chlorinity ≥ 400 or 500 mg L^{-1} .

372

373 In 51 of the 64 years analysed, the probability of an intrusion of at least 30 days at chlorinity \geq
374 250 mg L^{-1} is greater than 1 in 1000; in 37 years, is greater than 1 in 100; and in 15 years it is
375 greater than 1 in 10. In 26 years, the probability of an intrusion of at least 60 days at $\geq 250 \text{ mg L}^{-1}$
376 is greater than 1 in 1000; in 17 years is greater than 1 in 100; and in ten years is greater than 1 in 10.

377

378 In 26 years, the probability of an intrusion of at least 30 days at chlorinity $\geq 500 \text{ mg L}^{-1}$ is
379 greater than 1 in 1000, in 19 years it is greater than 1 in 100; and in 10 years it is greater than 1 in
380 10. The most extreme event analysed in this paper, an intrusion of $\geq 500 \text{ mg L}^{-1}$ for more than 60
381 days occurs with a probability greater than 1 in 1000 in 6 years, and is greater than 1 in 100 and 1 in
382 10 in only one year.

383

384 ExistingTypically, estimates in the literature of discharges at which salinity intrusions occur in
385 the Yangtze estuary are point estimates: they seek to identify a discharge below which intrusions are
386 likely and above which intrusions are unlikely. Serious intrusions occurred near Chenhang
387 Reservoir in 1978-79, 2001-02 and 2006-07, when the maximum average monthly discharges in
388 January and February were $7\,103 \text{ m}^3 \text{ s}^{-1}$, $10\,165 \text{ m}^3 \text{ s}^{-1}$ and $11\,777 \text{ m}^3 \text{ s}^{-1}$, respectively, leading Chen
389 *et al.* (2013) to suggest that the critical discharge into the estuary is at least $11\,777 \text{ m}^3 \text{ s}^{-1}$. Gu and
390 Yue (2004) suggested that a monthly mean Datong discharge of $11\,000 \text{ m}^3 \text{ s}^{-1}$ was critical and Wang
391 *et al.* (2008) identified $13\,000 \text{ m}^3 \text{ s}^{-1}$. Data in Li *et al.* (2014) demonstrate that mean salinity levels

392 near Qingcaosha are a negative exponential function of discharge at Datong seven days earlier; at
393 discharges less than $11\,500\text{ m}^3\text{ s}^{-1}$, mean salinity exceeds 250 mg L^{-1} . These results are broadly
394 consistent with those reported in this paper, though the estimate of Wang *et al.* (2008) is high.
395 However, they are misleading in the sense that there is no critical discharge: at all discharges ≤ 16
396 $000\text{ m}^3\text{ s}^{-1}$, the lower the discharge and the longer that low flow persists, the higher the probability
397 of longer and more intense salt intrusions. The relationship between discharge and salinity is
398 probabilistic as well as continuous.

399
400 The second principal result of the paper is the measurement of the effect of the Three Gorges
401 dam, the SNWTP and local water abstractions in the delta on the probability of long duration
402 intrusions. The calculations were presented for intrusions of chlorinity $\geq 250\text{ mg L}^{-1}$, since this is
403 the legal standard for drinking water in China and, given the absence of desalinisation treatment in
404 Shanghai, the *de facto* standard for water intakes into treatment plants. Our results indicate that, for
405 a randomly selected year of discharge history from the period 1950 – 2014, the probability of an
406 intrusion rises from 0.25 (30 days) or 0.05 (60 days) to 0.40 – 0.57 or 0.14 – 0.28 (depending on the
407 operating rules), respectively. The proportion of years for which the probability of an intrusion
408 exceeds 0.50 rises from 0.22, 0.05 and 0.03 for 30, 50 and 60-day intrusions, respectively, to 0.42 –
409 0.56, 0.20 – 0.36 and 0.13 – 0.27, depending on the operating rules.

410
411 Others have also pointed out that the Three Gorges dam, the SNWTP and local abstractions will
412 affect the probability of salt intrusions into the Yangtze estuary. In general, the operations of the
413 Three Gorges dam tend to reduce the probability of saline intrusions, since under normal operating
414 rules the reservoir discharges more than inflow during the periods of lowest natural discharge in
415 December – February (An et al. 2009). However, the SNWTP and local abstractions both reduce
416 discharge into the estuary, tending to create “high likelihoods” of salt water intrusions in December

417 to February of a dry year and January and February of a normal year (Chen et al. 2013); likewise
418 Zhang et al. (2003, 2012) estimate the effects on discharge of local abstractions, though without
419 calculating their impacts on the probability of an intrusion of salt water. None of these, however,
420 has calculated the changes in the probability of intrusions caused by these abstractions nor sought to
421 apply their methods to the entire historical record of discharge, much less sought to identify the
422 likely duration of saline intrusions.

423 |
424 | Nevertheless, ¶ The literature does identify other conditions besides discharge that affect the
425 occurrence of salt intrusions, notably tide and wind conditions (Kuang et al. 2009; Li et al. 2012;
426 Liu et al. 2013; Xue et al. 2009; Zhang et al. 2011). As noted in Appendix A, Zhang et al. (2012)
427 also demonstrate that water abstractions from the Yangtze River below the gauging station at
428 Datong are a significant proportion of total discharge, especially if years of relatively low discharge
429 are also years of low rainfall in the estuary region. These are factors that an analysis of discharge
430 data for the entire period 1950 – 2014 cannot take into account. In addition, there are concerns that
431 rainfall patterns in the Yangtze basin may be changing under the influence of climate change (Jiang
432 et al. 2008; Tao et al. 2012), which may alter the discharge characteristics of the river; furthermore,
433 sea-levels off the Yangtze estuary have been rising and this will have effects similar to a reduction
434 in discharge (Cai et al. 2009). The paper has not accounted for these factors.

435 |
436 | Finally, we should comment on our choice of method. The risk of using a statistical model is
437 that it works in the calibration period, but fails outside that time; we sought to minimise this risk by
438 calibrating the model with data from five separate years from 1979 through 2007 and spanning
439 discharges in the entire range 6 000 – 16 000 m³ s⁻¹. No lower discharges have ever been observed
440 and at higher discharges saltwater intrusions are unlikely. The principal change that is likely to
441 modify the observed relationship between salinity and discharge is an alteration in the morphology

442 of the channel – deepening it or widening it, for example. Our calculations and predictions are
443 therefore subject to the proviso that such changes in the morphology of the estuary do not occur. If
444 the morphology of the estuary is not changed, then the discharge conditions under which salt water
445 from north of Chongming Island (the North Branch) spills over into the South Branch will remain
446 constant, and the calibrated relationship between discharge and salt water intrusions will continue to
447 hold.

448

449 **6 Conclusion**

450

451 This paper has demonstrated a new method for calculating the probability of occurrence of long
452 duration salt intrusions of specified chlorinity. The method shows that the relationship between
453 discharge and the intensity and duration of salinity intrusions is probabilistic and continuous. At
454 discharges $\leq 16\,000\text{ m}^3\text{ s}^{-1}$, the lower the discharge and the longer that low flow persists, the higher
455 the probability of longer and more intense salt intrusions. Combining this result with the known
456 frequency of periods of low discharge during the period 1950 – 2014, the paper calculates that
457 saline intrusions (chlorinity $\geq 250\text{ mg L}^{-1}$) of at least 30 days occur with $p \geq 0.01$ in 37/64 years and
458 with $p \geq 0.1$ in 15/64 years. Saline intrusions (chlorinity $\geq 250\text{ mg L}^{-1}$) of at least 60 days occur
459 with $p \geq 0.01$ in 17/64 years and with $p \geq 0.1$ in 10 years. Intrusions that can disrupt the supply of
460 water to Shanghai's residents are not rare events.

461

462 Furthermore, they will become even less rare as the Three Gorges dam, the SNWTP and local
463 water abstractions in the delta begin to affect discharge into the Yangtze estuary. The proportion of
464 years for which an intrusion is more likely than not rises from 0.22, 0.05 and 0.03 for 30, 50 and 60-
465 day intrusions, respectively, to 0.42 – 0.56, 0.20 – 0.36 and 0.13 – 0.27, depending on the operating
466 rules of the three projects. However, these predictions do not account for ongoing changes in

467 | precipitation or rises in sea level, both associated with climate change. If climate change does not
468 | have the effect of increasing discharge in the winter months, then operating rules will have to be
469 | revised during years of low discharge or Shanghai will have to find alternative sources of water to
470 | prevent the disruptions to supply that these calculations predict.

471 |

472 | ~~However, the discharge and tidal characteristics of the Yangtze estuary are now being modified.~~
473 | ~~Water is increasingly being abstracted from the river, for the South-North Transfer Project as well as~~
474 | ~~for more local uses (Chen 2013; Zhang *et al.* 2012), tending to increase the length and the intensity~~
475 | ~~of periods of low discharge (Li *et al.* 2014). Sea levels are rising on account of both global~~
476 | ~~warming and the sinking of the Yangtze delta (Cai *et al.* 2009), which has an effect on intrusions~~
477 | ~~that is equivalent to reductions in discharge. Finally, the Yangtze River is increasingly being~~
478 | ~~dammed for large hydro-electric projects, that cumulatively can now store about 25 per cent of the~~
479 | ~~annual flow; this capacity is planned to double by 2050 (Li *et al.* 2000). As hydro-electric dams,~~
480 | ~~these constructions have limited effects on annual discharge, but do affect its seasonal distribution~~
481 | ~~(Finlayson *et al.* 2013). All of these modifications will affect the probability of salt intrusions in the~~
482 | ~~estuary and it is important to calculate their effects.~~

483 |

484 | **Appendix A Data sources and assumptions: dams and diversions**

485 |

486 | 1 Dams

487 |

488 | The largest dam on the Yangtze is the Three Gorges dam. Other dams are being built above Three
489 | Gorges, but we assume that any effects of their operation on discharge at Datong will be regulated
490 | through the Three Gorges dam. There are also dams on other tributaries which join the Yangtze
491 | below the Three Gorges dam, but their effect is not separately considered here, though it is present

492 | in the discharge record.

493 |

494 | Chen et al. (2001) describe the plans for the operation of the Three Gorges dam. The reservoir
495 | is planned to store water from October each year, tending to decrease flows below the dam. In a dry
496 | year, the water storage process may have to be extended to November. Then, during the dry season
497 | (December to April), the water level in the reservoir will need to be dropped to meet the needs of
498 | the hydropower plant. The plan is that minimum water levels will be attained at the end of
499 | September. Guo et al. (2011, Figures 3 and 8) provide more details: in June, July and August, the
500 | reservoir water level is maintained at 145 m asl, to provide for flood control during the wet season.
501 | In October, the water level is raised to 175 m asl, the planned maximum level, and it is maintained
502 | at as high a level as possible (and above 155 m asl to facilitate navigation) until the end of April,
503 | when it is again reduced to 145 m asl. According to Zhang et al. (2012, Table 3), the Three Gorges
504 | reservoir holds $\sim 21.5 \cdot 10^9 \text{ m}^3$ more water at its planned maximum level than at its planned minimum
505 | level.

506 |

507 | Given estimates that it takes 14 days for water to flow from the dam site to Datong, Zhang et al.
508 | (2012) estimate that the reservoir's operation would be: in a dry year (eg 2001-2002) fill from 15
509 | September to 31 October; in an extremely dry year (eg 1978-1979) fill from 1 September to 15
510 | November.

511 |

512 | We assume as follows. Under normal rules, the reservoir is filled in October, which reduces
513 | flow at Datong from 15 October through 14 November by $8000 \text{ m}^3 \text{ s}^{-1}$. Under conservative rules
514 | (corresponding to dry year operations) the reservoir is filled from mid-September through to the end
515 | of October, which reduces discharge at Datong from 29 September through 14 November by 5400
516 | $\text{m}^3 \text{ s}^{-1}$. Following Guo et al. (2011, Figure 8), in normal operation, the reservoir is assumed to

517 | maintain its maximum water level until the end of January, that is having no effect on discharge at
518 | Datong until 14 February; and then to progressively discharge at rates above inflows from February
519 | through the end of April, increasing discharge at Datong from 14 February through 14 May by 900,
520 | 1800 and 2700 m³ s⁻¹ in each 30-day period; in May, the reservoir level is reduced to 145 m asl,
521 | which implies an increase in discharge at Datong from 14 May through 14 June of 2700 m³ s⁻¹. For
522 | the remainder of the year there is no net storage or release of water. A more conservative rule is for
523 | the reservoir to discharge at constant rates above inflow in December through August, which
524 | increases discharge at Datong from 15 December to 14 August by 916 m³ s⁻¹. For the remainder of
525 | the year, there is no net storage or release of water.

526 |
527 | Zhang et al. (2012) state that the dam first began to affect discharges in 2006-2007, when
528 | experiments began to fill it. These experiments continued until 2010. Thereafter, the dam has
529 | functioned normally. Therefore the assumed modifications to discharge at Datong are not applied to
530 | years 2010-2011 onwards.

531 |
532 | 2 South – North water diversion project

533 |
534 | The South – North water diversion project (SNWDP) project involves three routes: a western route,
535 | a middle route and a third route, taking water from the Yangtze to northern China. The western
536 | route is still in the planning stages and the volume of water to be diverted is still uncertain; it will
537 | not be operation until at least 2020. It is not considered any further here, **though it can be**
538 | **assumed that it will exacerbate the situation described in this paper.** The central and the
539 | eastern routes are now operating, however.

540 |
541 | The eastern route is planned to transfer 8.9 billion m³ yr⁻¹, 10.6 billion m³ yr⁻¹ and 14.8 billion

542 m³ yr⁻¹ in successive stages, according to official sources (Office of the SNWDP nd). However, a
543 recent report (Nan 2014) indicates that only about 3.6 billion m³ yr⁻¹ is currently being delivered to
544 northern provinces. Wet seasons have reduced the demand for Yangtze water, some distribution
545 pipes to individual cities have yet to be constructed, and provinces are not using much diverted
546 water because they face difficulties reconciling its relatively high price with the lower prices of
547 local water. Nevertheless, both Chen et al. (2013) and Zhang et al. (2012) indicate that by 2030 it is
548 planned to transfer 800 – 1000 m³ s⁻¹ by this route (25.2 – 31.5 m³ yr⁻¹).

549 |
550 | We assume as follows. By 2030 the eastern route will be transferring 900 m³ / s. This is a
551 reduction in discharge that occurs below Datong gauging station.

552 |
553 | It is planned that the middle route will divert 12 – 14 billion m³ yr⁻¹ in normal years and 6.2
554 billion m³ yr⁻¹ in dry years (Office of the SNWDP nd). The water is sourced from the Danjiangkou
555 reservoir, located on the Han River, a tributary of the Yangtze. We assume that these conditions will
556 hold in 2030. These imply reductions in discharge at Datong of 410 m³ s⁻¹ under normal rules and
557 200 m³ s⁻¹ under conservative rules.

558 |
559 | 3 Other diversions

560 |
561 | In addition to the SNWDP, water is also diverted from the lower Yangtze (below Datong) to cities
562 and agricultural areas. The history, current status and some projections of these diversions are
563 comprehensively described by Chen et al. (2001), Zhang et al. (2003) and Zhang et al. (2012).
564 Zhang et al. (2003) provide historical data about the capacity of water extractions from 1958
565 through 2000, and also indicate net water extractions for November, January and March in the
566 1980s and by 2030. Chen et al. (2001) provides a summary of the findings of Zhang et al. (2003).

567 | Zhang et al. (2012) update the information provided by Zhang et al. (2003); in addition, they
568 | provide estimates of daily net abstractions for the dry seasons of four years.

569 |
570 | These data indicate that the capacity to extract water from the Yangtze downstream of Datong
571 | has increased rapidly since the 1950s. However, the available data do not indicate that the net
572 | quantity of water abstracted from the Yangtze has increased over time, controlling for discharge,
573 | tides and local precipitation. Regression estimates of net abstractions (according to Zhang et al.
574 | 2012, Figure 4A) indicate that, net of tidal conditions, these depend on the sequence of the
575 | observation within the river-year (tending to decrease and then rise), on the discharge (tending to
576 | rise with discharge) and on the year (tending to decrease slightly over time). These data imply that
577 | the estimates of discharge at Datong are biased estimates of discharges at the estuary; but also that
578 | there is no evidence that this bias has changed over time.

579 |
580 | However, Chen et al. (2013) indicate that new abstractions are planned. These imply an
581 | additional net reduction in discharge of $670 \text{ m}^3 \text{ s}^{-1}$. (They consider this a low estimate of the new
582 | abstractions.) Zhang et al. (2003, Table 1) estimate that the net water abstractions from the Yangtze
583 | River will increase by about $830 - 940 \text{ m}^3 \text{ s}^{-1}$ over current levels of abstraction, after including the
584 | effects of the eastern route of the SNWDP. Zhang et al.'s estimates ($360 - 470 \text{ m}^3 \text{ s}^{-1}$ net of the
585 | eastern route transfer) are low, but they do note that an additional $210 \text{ m}^3 \text{ s}^{-1}$ of extractions are
586 | planned. We assume approximately this pair of estimates, $650 \text{ m}^3 \text{ s}^{-1}$; but supplement this with a
587 | conservative rate of abstraction of $550 \text{ m}^3 \text{ s}^{-1}$.

588 |
589 | 4 Summary

590 |
591 | Thus there are three modifications to the discharge of the Yangtze River at its estuary, estimated

592 under two conditions – conservative rules and normal rules. The discharge at Datong is modified
593 by the operation of the Three Gorges hydropower station (except during the years after 2010-2011,
594 when it was actually in operation) and by the operation of the middle route of the SNWDP); both
595 have normal year and conservative rules of operation. Below Datong, additional water is extracted
596 by the eastern route of the SNWDP and by more local abstractions (the latter of which also have
597 normal and conservative rules of modification). The resulting implications for discharge at the
598 estuary are illustrated in Figure 8 of the paper.

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708 Table 1 Parameter estimates and goodness of fit

Parameter	B	Std Error	95% Wald Confidence Interval		Hypothesis test	df	Significance
			Lower	Upper	Wald Chi-square		
Intercept	4.923	1.761	1.471	8.374	7.814	1	0.005
Year = 1979	-0.015	0.0148	-0.044	0.014	0.972	1	0.324
Year = 1984	-0.067	0.0069	-0.080	-0.054	95.507	1	<0.001
Year = 1987	-0.085	0.0087	-0.102	-0.068	95.230	1	<0.001
Year = 1999	0.010	0.0032	0.004	0.016	10.084	1	0.001
Year = 2007	0*						
Q _d	3.20E-005	1.59E-005	8.04E-007	6.32E-005	4.042	1	0.044
Log Q _d	-0.483	0.208	-0.890	-0.076	5.405	1	0.020
Q _d Diff	2.95E-005	1.15E-005	6.94E-006	5.21E-005	6.562	1	0.010
Log Glag	0.220	0.0185	0.184	0.256	141.042	1	<0.001
Log Glag ²	-0.008	0.002	-0.012	-0.004	17.497	1	<0.001
Scale	0.001						

709 * Set to zero, as parameter is redundant.

710 Corrected Quasi Likelihood Goodness of Fit: 20.341.

711 Table 2 Correlations between probabilities of chlorinity above stated levels for stated lengths of
 712 time and selected discharge characteristics, annual scale

Indicator	Chlorinity ≥ 250 for \geq (days)			Chlorinity ≥ 400 for \geq (days)			Chlorinity ≥ 500 for \geq (days)		
	30	50	60	30	50	60	30	50	60
Aug-May av Q_d	=	=	=	=	=	=	=	=	=
Dec-Mar av Q_d	-*	=	=	=	=	=	=	=	=
Nov av Q_d	=	=	=	=	=	=	=	=	=
Dec av Q_d	=	=	=	=	=	=	=	=	=
Dec-Feb av Q_d	-*	=	=	=	=	=	=	=	=
Jan-Feb av Q_d	-*	=	=	=	=	=	=	=	=
No days $Q_d < 16000$	±	±	±	±	±	±	±	±	±
NC days $Q_d < 16000$	±	±	±	±	±	±	±	±	±
Av flow $Q_d < 16000$	-*	=	=	=	=	=	=	=	=
No days $Q_d < 14000$	±	±	±	±	±	±	±	±	±
NC days $Q_d < 14000$	+*	±	±	±	±	±	±	±	±
Av flow $Q_d < 14000$	-**	=	=	=	=	=	=	=	=
No days $Q_d < 12000$	±	±	±	±	±	±	±	±	±
NC days $Q_d < 12000$	+***	+*	±	+*	±	±	±	±	±
Av flow $Q_d < 12000$	-***	-*	=	-*	=	=	=	=	=
No days $Q_d < 10000$	+***	+*	±	±	±	±	±	±	±
NC days $Q_d < 10000$	+****	+**	+*	+**	±	±	+*	±	±
Av flow $Q_d < 10000$	-***	-*	=	-**	=	=	-*	=	=
No days $Q_d < 8000$	+***	+****	+***	+****	+**	+*	+****	+*	±
NC days $Q_d < 8000$	+***	+****	+****	+****	+***	+**	+****	+**	+*

713 Note: the average flows for $Q_d < 16\ 000$, $12\ 000$, $10\ 000$ or $8\ 000$ are computed for the period from
 714 the first discharge $<$ the stated value to the last discharge $<$ this value. Note: the average flows for $Q_d <$
 715 $16\ 000$, $12\ 000$, $10\ 000$ or 8000 are computed for the period from the first discharge $<$ the stated
 716 value to the last discharge $<$ this value.

717 NC: number of consecutive days.

718 -, +: sign of the correlation coefficient.

719 * absolute value $r > 0.6$. ** absolute value $r > 0.7$. *** absolute value $r > 0.8$. **** absolute value
 720 $r > 0.9$.

721

722 Table 3 Probability of intrusion duration and intensity in relation to length of periods of low
 723 discharge

Duration of period discharge $\leq 8\ 000$ m^3 / s	No. of years with this duration discharge	Average probability of intrusion $\geq 250mg/L$ lasting		
		30 days	50 days	60 days
0 days	42	0.050	0.004	0.001
1-7 days	7	0.289	0.034	0.011
8-17 days	10	0.703	0.261	0.129
19-29 days	3	0.910	0.431	0.168
44-50 days	2	0.998	0.916	0.792
		Average probability of intrusion $\geq 400mg/L$ lasting		
		30 days	50 days	60 days
0 days	42	0.003	0.000	0.000
1-7 days	7	0.041	0.001	0.000
8-17 days	10	0.267	0.030	0.007
19-29 days	3	0.585	0.062	0.010
44-50 days	2	0.944	0.590	0.343
		Average probability of intrusion $\geq 500\ mg/L$ lasting		
		30 days	50 days	60 days
0 days	42	0.001	0.000	0.000
1-7 days	7	0.024	0.001	0.000
8-17 days	10	0.143	0.012	0.003
19-29 days	3	0.361	0.014	0.000
44-50 days	2	0.853	0.360	0.173

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