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# Modeling glacial lake outburst flood process chain: the case of Lake Palcacocha and Huaraz, Peru

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## Abstract

One of the consequences of recent glacier recession in the Cordillera Blanca, Peru, is the risk of Glacial Lake Outburst Floods (GLOFs) from lakes that have formed at the base of retreating glaciers. GLOFs are often triggered by avalanches falling into glacial lakes, initiating a chain of processes that may culminate in significant inundation and destruction downstream. This paper presents simulations of all of the processes involved in a potential GLOF originating from Lake Palcacocha, the source of a previously catastrophic GLOF on 13 December 1941, killing 1800 people in the city of Huaraz, Peru. The chain of processes simulated here includes: (1) avalanches above the lake, (2) lake dynamics resulting from the avalanche impact, including wave generation, propagation, and run-up across lakes, (3) terminal moraine overtopping and dynamic moraine erosion simulations to determine the possibility of breaching, (4) flood propagation along downstream valleys; and (5) inundation of populated areas. The results of each process feed into simulations of subsequent processes in the chain, finally resulting in estimates of inundation in the city of Huaraz. The results of the inundation simulations were converted into flood intensity and hazard maps (based on an intensity-likelihood matrix) that may be useful for city planning and regulation. Three avalanche events with volumes ranging from  $0.5\text{--}3 \times 10^6 \text{ m}^3$  were simulated, and two scenarios of 15 and 30 m lake lowering were simulated to assess the potential of mitigating the hazard level in Huaraz. For all three avalanche events, three-dimensional hydrodynamic models show large waves generated in the lake from the impact resulting in overtopping of the damming-moraine. Despite very high discharge rates (up to  $63.4 \times 10^3 \text{ m}^3 \text{ s}^{-1}$ ), the erosion from the overtopping wave did not result in failure of the damming-moraine when simulated with a hydro-morphodynamic model using excessively conservative soil characteristics that provide very little erosion resistance. With the current lake level, all three avalanche events result in inundation in Huaraz due to wave overtopping, and the resulting hazard map shows a total affected area of  $2.01 \text{ km}^2$ , most of which is in the high-hazard category. Lowering the lake has the

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2014). Preventive lowering of Lake 513 by artificial tunnels in the 1990s, creating a free-board of 20 m, helped avoid a major catastrophe that could have killed many people (Reynolds et al., 1998; Carey et al., 2012; Portocarerro, 2014).

## 1.2 Introduction to glacial lake hazard process chain modeling

Emmer and Vilímek (2013, 2014) and Haeberli et al. (2010) have recommended that the evaluation of glacial lake hazards be based on systematic and scientific analysis of lake types, moraine dam characteristics, outburst mechanisms, down-valley processes and possible cascades of processes. Changes in climate patterns are likely to increase the frequency of avalanches as a consequence of reduced stability of permafrost, bedrock and steep glaciers in the Cordillera Blanca Fischer et al., 2012). Under these conditions, avalanches are the most likely potential trigger of GLOFs, acting as the first link in a chain of dependent processes propagating downstream: (1) large avalanche masses reaching nearby lakes, (2) wave generation, propagation, and run-up across lakes, (3) terminal moraine overtopping and/or moraine breaching, (4) flood propagation along downstream valleys; and (5) inundation of riverine populated areas (Worni et al., 2014; Westoby et al., 2014b).

Few studies have attempted to simulate an entire GLOF hazard process chain in a single modeling environment, generally limiting the number of processes considered; e.g., Worni et al. (2014) excluded avalanche simulations from their modeling framework. Worni et al. (2014) and Westoby et al. (2014a) review typical modeling approaches for GLOFs that involve land or ice masses falling into glacial lakes. An approach that separately simulates individual processes predominates, where different processes are connected by using the results of one model as the input for the simulation of the next (e.g. Schneider et al., 2014; Westoby et al., 2014b; Worni et al., 2014). In this paper, this approach was used to produce simulations of each process in the chain from avalanche to inundation, ensuring that the processes were properly depicted. The glacial lake hazard process chain simulated here includes: avalanche

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movement into a lake, wave generation and lake hydrodynamics, wave overtopping and moraine erosion, and downstream sediment transport and inundation.

One of the most common trigger mechanisms for GLOF events in the Cordillera Blanca, and indeed the world (Bajracharya et al., 2007; Costa and Schuster, 1988; Richardson and Reynolds, 2000; Awal et al., 2010; Emmer and Vilímek, 2013; Emmer and Cochachin, 2013), is an avalanche falling into a glacial lake, generating large waves, overtopping and possibly eroding a damming-moraine and causing a flood that propagates downstream. Potential avalanche triggers include earthquakes, snowmelt, heat waves, and heavy precipitation (Haeberli, 2013; Huggel et al., 2010). Physical models of avalanche phenomena have been used to simulate the characteristic mass movement processes, e.g., snow avalanches, rock slides, rock avalanches or debris flows (Schneider et al., 2010). Rock-ice avalanches exhibit flow characteristics similar to all of these processes, and the choice of an appropriate model is difficult because available models are not able to fully simulate all of the elements of these complex events. Schneider et al. (2010) tested the Rapid Mass Movements RAMMS model (Bartelt et al., 2013; Christen et al., 2010), a two-dimensional dynamic physical model based on the shallow water equations (SWE) for granular flows and the Voellmy frictional rheology to successfully reproduce the flow and deposition geometry as well as dynamic aspects of large rock-ice avalanches.

Empirical models have been developed that analytically calculate wave characteristics (Heller and Hager, 2010), and some hydrodynamic simulations have been performed for this type of problem (Worni et al., 2012; Schneider et al., 2014). Most hydrodynamic simulations of avalanche-generated waves use two-dimensional models employing the shallow water equations despite the relative importance of vertical accelerations that cannot be considered in 2-D shallow water schemes (Heinrich, 1992; Zweifel et al., 2006). Fully 3-D, non-hydrostatic models, e.g., FLOW3-D (Flow Science, 2012), can simulate the important characteristics of the wave-generation, propagation and overtopping of a terminal moraine in an avalanche-triggered GLOF and take into account irregular lake bathymetries and geometries.

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Dynamic modeling of moraine erosion deals with tradeoffs between reliability, complexity, field data demand, and computational power. Several physical processes converge when natural or artificial dams fail; hydrodynamic, erosive, and sediment transport phenomena, as well as movement of boulders and mechanical or slope failures interact during dam collapses (Westoby et al., 2014a; Worni et al., 2014). The combined behavior of these processes, under heterogeneous natural conditions, makes it challenging to predict how a breach might develop, and whether a complete collapse may occur in natural dams (Wahl, 2010; Walder and O'Connor, 1997), leading to modeling simplifications when trying to simulate such phenomena.

The resulting lake outburst floods, after breaching or overtopping of the moraine, comprise highly unsteady flows that are characterized by pronounced changes as they propagate downstream (Worni et al., 2012). To calculate downstream inundation caused by a GLOF event requires the simulation of debris flow propagation, since sediment entrainment can cause the volume and peak discharge to increase by as much as three times (Worni et al., 2014; Osti and Egashira, 2009). Various 2-D flow models have been used to simulate the downstream inundation caused by a GLOF, including BASEMENT (Worni et al., 2012), which includes sediment transport functions but no capabilities for debris flow simulation; FLO-2-D (Mergili et al., 2011; Somos-Valenzuela et al., 2015) and RAMMS (Schneider et al., 2014), otherwise, do account for debris flow.

As an interpretation of downstream consequences, flood hazard denotes potential levels of threat as a function of intensity and likelihood of the arriving inundation (normally probability, but the nature of avalanche events and other processes in the hazard chain restricts from assigning numerical probabilities). Flood intensity is determined by the flow depth and velocity (García et al., 2003; Servicio Nacional de Geología y Minería, 2007). Likelihood is inversely related to magnitude, i.e., large events are less likely to occur (low frequency) than small events (Huggel et al., 2004). Maps can be prepared that show the level of hazard resulting from the intensity of various likelihood events. This allows communication of the flood hazard at various locations, facilitating



Commonwealth, a government body established by the local municipalities of Huaraz and Independencia, was created to implement adaptation projects related to climate change on water resources; at present, the Commonwealth is planning a GLOF early warning system for Lake Palcacocha.

5 Prior to the 1941 GLOF, the lake had an estimated volume of 10 to 12 million m<sup>3</sup> of water (Instituto Nacional de Defensa Civil, 2011). After the 1941 GLOF, the volume was reduced to about 500 000 m<sup>3</sup> (Portocarrero, 2014). Lowering the level of glacial lakes is a common GLOF mitigation practice in the Cordillera Blanca (Portocarrero, 2014). In 1974, drainage structures were built at the lake to maintain 8 m of freeboard at the lake outlet, a level that at the time was thought to be safe from additional avalanche generated waves. Nineteen years later, in March 2003, a landslide from the lateral moraine along the lake’s southern side entered the lake, launching a diagonal wave that traversed the lake and heavily eroded the reinforced dam. There was a small outflow from the lake, but no serious damage occurred in Huaraz; however, the event frightened the Huaraz city authorities. The regional government quickly repaired the damaged structures (Portocarrero, 2014).

10 Lake Palcacocha continues to pose a threat, since in recent years it has grown to the point where its volume is over 17.3 million m<sup>3</sup> (UGRH 2009). As shown in Rivas et al. (2015, Fig. 4), the area of the lake has grown continuously from 0.16 km<sup>2</sup> in 2000 to 0.48 km<sup>2</sup> in 2012. Avalanches from the steep surrounding slopes can reach the lake directly and potentially generate waves that could overtop and possibly erode the moraine dam, thus triggering a GLOF that could reach Huaraz (Hegglin and Huggel, 2008; Instituto Nacional de Defensa Civil, 2011). In 2010, Lake Palcacocha was declared to be in a state of emergency because its increasing water level was deemed unsafe (Diario la Republica, 2010; Instituto Nacional de Defensa Civil, 2011). Infras-  
25 structures at risk are spread between the lake and the city, including small houses, a primary school, fish farms, and water supply facilities. Siphons were installed in 2011 at the lake to temporarily lower the water surface of the lake by 3–5 m providing a total free board of about 12 m; however, further lowering of the lake to provide additional

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freeboard has been recommended (Portocarrero, 2014). Given the complexity of the problem and lack of information, local authorities and residents of Huaraz are concerned about the threat posed by the lake and have requested technical support to investigate the impacts that a GLOF could have on Huaraz and methods to reduce the risk. The latest risk assessment for Lake Palcacocha (Emmer and Vilímek, 2014) has concluded that a GLOF resulting from moraine overtopping following an avalanche into the lake is likely; however, complete moraine failure resulting from an avalanche-generated wave is not likely, nor is moraine failure following a strong earthquake.

A recent 5 m × 5 m horizontal resolution Digital Elevation Model (DEM) of the Quillcay watershed generated by airborne LIDAR and new stereo aerial photographs was developed for this work by the Peruvian Ministry of Environment (Horizons, 2013) (Fig. 1). Bathymetric data from a 2009 survey (UGRH, 2009) were combined with the surrounding DEM for the lake hydrodynamic and dynamic breach simulations.

### 3 Methodology

#### 3.1 Overview

The methodology presented here considers a process chain similar to Worni et al. (2014) depicting an avalanche triggered GLOF from Lake Palcacocha to assess the potential inundation in Huaraz from such an event (see Fig. 3). The simulated avalanche originates from the Palcaraju glacier located directly above the lake. When an avalanche enters the lake, depending on its size and the level of the water surface in the lake, the resulting wave might overtop the damming-moraine and possibly initiate an erosive breaching process releasing considerable amounts of water and debris into the Paria River and potentially inundating densely populated areas of Huaraz downstream. The process chain from avalanche to inundation was simulated using four models: potential avalanches were modeled using RAMMS (Christen et al., 2010), lake wave dynamics were modeled with FLOW-3-D (Flow Science, 2012), the

dynamic breaching process was simulated in BASEMENT (Vetsch et al., 2006), and propagation of the flood wave downstream and inundation in Huaraz were simulated in FLO-2-D (O'Brien, 2003).

The next sections describe each component for the framework used to simulate the hazard process chain: avalanche simulation, wave simulation in the lake, moraine erosion simulation, inundation simulation, and hazard identification.

### 3.2 Avalanche simulation

In non-forested areas, avalanches can be generated on slopes of 30–50°, and in tropical areas the critical slope can be even less (Christen et al., 2005; Haeberli, 2013). Temperate glaciers can produce ice avalanches if the slope of the glacier bed is 25° or more, but rare cases with slopes less than 17° have occurred (Alean, 1985). The mountains surrounding Lake Palcacocha have slopes up to 55°; therefore, they have a high chance of generating avalanche events. Nonetheless, it is difficult to forecast when avalanches will occur and where the detachment zone will be located (Evans and Clague, 1988; Haeberli et al., 2010).

The Rapid Mass Movements (RAMMS) avalanche model was used to simulate the progression of avalanches down the mountain to the lake. RAMMS solves two-dimensional, depth-averaged mass and momentum equations for granular flow on three-dimensional terrain using a finite volume method (Christen et al., 2010; Bartelt et al., 2013). The inputs for the model include: (1) terrain data (a DEM, described above), (2) fracture height, (3) the avalanche release area; and (4) friction parameters. Descriptions of input parameters (2)–(4) and the criteria used to determine their values are given in the following paragraphs. RAMMS computes the velocity of the avalanche, the distance of the runout, the pressure distribution, and the height of the avalanche front at different locations below the initiation point.

For the elevation of the Palcaraju glacier above Lake Palcacocha, the potential fracture type is expected to be a slab failure or type I fracture as defined by Alean (1985). Huggel et al. (2004) suggest that ice avalanches in slab failures are produced in small

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and steep glaciers with thicknesses between 30 to 60 m. Alean (1985) shows examples of slab failure with thicknesses ranging from 19 to 35 m and volumes ranging from 1 to 11 million  $\text{m}^3$ . The avalanche above Lake 513 that occurred in 2010 is an example of this type of failure (Schneider et al., 2014). Following these precedents, fracture heights of 25, 35 m and 45 m were selected for simulating the small, medium and large avalanches respectively.

Huggel et al. (2004, Eq. 5) derived a regression equation between average glacier slope ( $\tan \alpha$ ) and avalanche volume from observations of large ice avalanches worldwide. The terrain in the avalanche source areas above Lake Palcacocha has slopes between  $20\text{--}35^\circ$  at elevations of 5000–5300 m. The regression equation leads to a volume of almost  $3 \times 10^6 \text{ m}^3$  when evaluated for a slope of  $20^\circ$  and  $0.5 \times 10^6 \text{ m}^3$  for  $25^\circ$ . The slopes above 5300 m are greater than  $35^\circ$ , so avalanches originating from higher elevations are expected to be smaller. Three avalanche volumes are considered in this work,  $0.5 \times 10^6 \text{ m}^3$  (small),  $1 \times 10^6 \text{ m}^3$  (medium) and  $3 \times 10^6 \text{ m}^3$  (large). These potential avalanche volumes are consistent with the elevations and slopes of the source area. The release area (shown in Fig. 2) was located at an elevation of 5200 m to the north east of the lake following the main axis of the lake.

The friction parameters required by the RAMMS model are (1) the density of the rock and ice ( $\rho$ , in  $\text{kg m}^{-3}$ ), (2) the Coulomb-friction term ( $\mu$ ), and (3) the turbulent friction parameter ( $\xi$ ) (Bartelt et al., 2013). The Coulomb-friction term with a dry surface friction dominates the total friction when the flow is relatively slow, and the turbulent friction parameter tends to dominate when the flow is rapid, as is the case with the avalanches considered here (Bartelt et al., 2013; Christen et al., 2010, 2008). The friction parameter values used in the RAMMS avalanche model are:  $\xi = 1000 \text{ m s}^{-2}$ ,  $\mu = 0.12$  and  $\rho = 1000 \text{ kg m}^{-3}$ , values similar to those used to model the avalanche into Lake 513 (Schneider et al., 2014).

### 3.3 Lake simulation

Impulse waves resulting from the impact of an avalanche with the lake were simulated with a three-dimensional hydrodynamic model, FLOW-3-D (Flow Science, 2012). Much of the work in impulse wave generation, propagation and run-up has been focused on empirical models that replicate wave characteristics based on laboratory observations (Kamphuis and Bowering, 1970; Slingerland and Voight, 1979, 1982; Fritz et al., 2004; Heller and Hager, 2010). There have been a few studies that perform numerical simulations of wave generation and propagation of slide-generated waves, but most are still limited to simplified cases and two-dimensional simulations employing the SWE (Rzadkiewicz et al., 1997; Biscarini, 2010; Cremonesi et al., 2011; Ghozlani et al., 2013; Zweifel et al., 2006). However, the 2-D SWE do a poor job of representing wave generation and propagation because vertical accelerations cannot be neglected for slide-generated waves (Heinrich, 1992; Zweifel et al., 2006). Analytical calculations of wave runup and overtopping typically consider regular or simplified lake geometries (e.g., uniform water depth and constant slope of the terminal moraine) that do not necessarily hold true in natural reservoirs (Synolakis, 1987, 1991; Muller, 1995; Liu et al., 2005). Lake Palcacocha is very deep near the glacier with depths up to 72 m, but the last several hundred meters adjacent to the terminal moraine are very shallow with depths mostly less than 10 m (Fig. 4). This discontinuous lakebed geometry significantly affects wave propagation and runup, making a hydrodynamic simulation necessary to represent the potential overtopping of the terminal moraine.

To overcome the limitations of analytical methods such as Heller and Hager (2010) in representing wave propagation, run-up and overtopping of the moraine, the three-dimensional hydrodynamic model FLOW-3-D (Flow Science, 2012) was used to simulate the dynamics of avalanche-generated waves in Lake Palcacocha. The FLOW-3-D model grid used 400, 150, and 100 grid cells covering distances of 2400, 800, and 650 m in the  $x$ ,  $y$ , and  $z$  directions, respectively. The RNG turbulence model with

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a dynamically computed mixing length and a fully three-dimensional, non-hydrostatic numerical scheme was used in the FLOW-3-D simulations.

The transfer of mass and momentum from the avalanche to the lake upon impact and the subsequent wave generation and propagation were simulated in FLOW-3-D by representing the avalanche as a volume of water equivalent to the avalanche volume that flows into the lake from the terrain above. Worni et al. (2014) and Fah (2005) approach the problem in the same way, simulating water instead of avalanche material. The density of the mixture of snow, rock and ice present in an avalanche is very close to the density of water (Schneider et al., 2014). Although the viscosities of the two fluids are different, this approximation of substituting water for the avalanche fluid is handled through adjustments in the model that compensate for any reduction in dissipation of energy due to the lower viscosity of water. To accomplish this, the results of the RAMMS avalanche model were used as calibration parameters; the depth of the avalanche fluid volume and height above the lake at which it is released were iteratively adjusted in FLOW-3-D until the velocities and depths of the avalanche fluid volume entering the lake matched the characteristics of the avalanche modeled in RAMMS. As long as the mass and momentum of the material hitting the lake in FLOW-3-D is similar to that of the RAMMS simulated avalanche, the initial displacement wave should behave similarly as well; the water in the lake is pushed by the incoming avalanche, but the avalanche material does not reach the moraine, and the displaced wave is what propagates across the lake. Differences may arise for reflected waves since the avalanche material might settle in a different way over the lake's bed according to the avalanche properties (water representing avalanche material is more free to flow in the lake than actual rock-ice avalanche material). The primary output from the model is a hydrograph of wave overtopping discharge, if there is any, that is used as input to the downstream inundation model discussed later.

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dynamic model (Rivas et al., 2015; Fread, 1984). Although computationally efficient, one-dimensional models rely heavily on engineering judgment and analysis of historical failure cases; when the expected breach shape, size and growth rate are unknown, the models offer limited reliability to predict whether there will be sufficient erosion to produce a breach at a particular site.

Erosion analysis in this paper evolves from the methods reported by Rivas et al. (2015), whose performance evaluation of breach models focused exclusively on hydraulic considerations. That partial perspective sets no physical limit on breach growth, assuming full moraine collapse is possible (worst case scenario). This work, instead, applies a hydro-morphodynamic model to describe the dynamic moraine erosion. Including this kind of analysis aims to explore the possibility of full, partial or even null breaches according to flow characteristics but also accounts for soil and morphological properties of moraines.

Many two-dimensional sediment transport models apply a SWE numerical scheme, in which mobile bed meshes respond to shear stresses from hydrodynamic forces, and use empirical functions of non-cohesive sediment transport that estimate drifting, entrainment, suspended transport, bed load transport, and deposition of sediment. These models could potentially simulate the moraine erosion process considered here. Models such as IBER (Bladé et al., 2014), Delft3-D (operated as a 2-D model) (Deltares, 2014) and BASEMENT (Vetsch et al., 2014) follow this scheme, and of these models, only BASEMENT is able to account for slope collapse as erosion occurs and meshes change. BASEMENT has been implemented here to explore the possibility of moraine erosion resulting from an overtopping wave.

Overtopping waves are potential triggers that might cause erosion of the terminal moraine at Lake Palcacocha. Under wave transport conditions, vertical accelerations play an important role in both water and sediment advection, influencing how overtopping waves might cause erosion and possible failure of the moraine. Three-dimensional models can efficiently simulate flow phenomena when those vertical accelerations are relevant. However, coupled erosion simulations requiring additional

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hydro-morphodynamic functions possess additional challenges in three-dimensional modeling. Several models combine three-dimensional numerical schemes (solving the Navier–Stokes equations) with sediment transport formulations, including Delft3-D (Deltares, 2014), FLOW-3-D (Flow Science, 2014) and OpenFoam (Greenshields, 2015). Flow-3-D (Wei et al., 2014) and OpenFoam (Liu and García, 2008) use the VoF (Volume of Fluid) technique to describe the solid–fluid interface, representing sediment beds as an additional fluid in multi-phase schemes. This approach seems successful for applications where the erodible bed remains submerged throughout the entire simulation or under steady flow conditions, but stability problems arise for cells exposed to drying and wetting periods (non-continuous submergence). Delft 3-D avoids these stability issues by using a flexible mesh instead of a multi-phase approach to simulate changes due to erosion or deposition. The model, however, has limitations in representing fluid regions disconnected from boundaries (e.g., Lake Palcacocha at the center of the simulation domain, with no initial connection to the outlet downstream boundary and intermittent wetting and drying periods across the domain).

Worni et al. (2012) used BASEMENT to reproduce historic overtopping driven failures in Lake Ventisquero Negro. Despite the limitations of the BASEMENT two-dimensional SWE scheme, results show good agreement with the limited field data available, at least in terms of final breach dimensions. In this paper, BASEMENT was used for hydro-morphodynamic simulations of potential erosion-driven breach-failures at Lake Palcacocha. To overcome the two-dimensional SWE limitations of BASEMENT, results of three-dimensional hydrodynamic lake and overtopping wave simulations from FLOW-3-D were used as calibration parameters. This approach aims to provide a reasonable approximation of the results from a three-dimensional model while offering more computationally efficient assessments of erosion and breach scenarios.

The relevant regions of the FLOW-3-D model, where fluid motion influences erosion and breach-growth, are located near the moraine crest and downstream in the outlet channel. Through a calibration procedure, the BASEMENT model was forced to replicate the hydrodynamic conditions of the FLOW-3-D wave model. This was achieved by

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5 forcing momentum fluxes (that are dissipated further downstream) at the inflow boundary of the BASEMENT model to be unrealistically high. By adjusting energy slopes at the upstream boundary, momentum inflow was iteratively increased until flow properties (mass and momentum fluxes) match the results from full three-dimensional simulations according to hydrographs of discharge and velocity at the crest of the artificial dam. This procedure aims to guarantee that BASEMENT can properly model mass transport from wave phenomena despite the limitations of the two-dimensional SWE simulations.

10 BASEMENT applies empirical functions to estimate erosion and deposition rates taking place under the influence of flows from overtopping waves. Erosion resistance comes from soil properties and the morphology of the bed. We have applied a hypothetical set of worst-case soil conditions, intentionally decreasing the erosional strength in the Lake Palcacocha moraine. The logic of this approach is that if breach simulations show no moraine collapse under the worst possible conditions observed in the field, such collapse is unlikely to occur in real settings, where the total soil matrix may contain soil that is more erosion resistant. This approach also seeks to overcome a lack of independent erosion measurements, which makes any attempt at calibration and further refinement of the breach model impossible.

20 The bed load transport is modeled with the single-grain Meyer-Peter and Müller (1948) (MPM) model, which automatically discards any erosion resistance from hiding and armoring processes occurring in multi-grain matrixes (Ashida and Michiue, 1971; Wu et al., 2000). Correction factors to account for under- or over-prediction of the rate of bed load transport in the MPM model range from 0.5 for low transport of sands and gravels to 1.7 for high transport cases (Fernandez and Van Beek, 1976; Ribberink, 1998; Wong and Parker, 2006). A bed-load factor of 2.0 is used here, characterizing high sediment transport conditions. Table 1 displays the set of sediment and slope failure characteristics used to build the Lake Palcacocha hydro-morphodynamic model in BASEMENT. According to field data, coarser soils ( $d_{50} \approx 19$  mm) predominate at the walls of the outlet channel left by the 1941 GLOF at Lake Palcacocha (Novotny and

Klimes, 2014) where most of the outburst water would flow in a potential future event. In agreement with the proposed hypothetical worst-case soil condition, a grain size of  $d_{50} = 1$  mm is assumed, representing characteristics of upper layer soils that may lead to significant underestimation of erosion resistance.

### 3.5 Inundation simulation

One-dimensional models based on the St. Venant equations have been used to model the downstream flood wave propagation of a GLOF. These models typically use the step-backwater procedure, and cross-sectional averaged velocity and discharge (Westoby et al., 2014a). Examples of this type of model include Klimes et al. (2013) who used HEC-RAS (USACE, 2010) to reproduce the 2010 GLOF from Lake 513 in Peru; Cenderelli and Wohl (2003) who used HEC-RAS to reproduce steady-state aspects of GLOFs in the Khumbu region of Nepal; Byers et al. (2013) who used HEC-RAS to model a potential GLOF from Lake 464 in the Hongu valley of Nepal; Meon and Schwarz (1993) who used DAMBRK (Fread, 1988) to model a potential GLOF in the Arun valley of Nepal; and Bajracharya et al. (2007) who used FLDWAV (NWS, 1998) to model a potential GLOF from Imja Lake in Nepal. Two-dimensional models based on the depth-averaged SWE are often used to model downstream impacts of GLOFs since many of them are capable of simulating debris entrainment from the moraine-dam and valley floor and the subsequent alteration in the flow rheology (Westoby et al., 2014a). Examples of applying this type of model include Worni et al. (2012) who used BASEMENT to model flood propagation from a GLOF at Shako Cho Lake in India; Schneider et al. (2014) who used RAMMS to model debris flow from an overtopping wave from the 2010 GLOF event at Lake 513 in Peru; Somos-Valenzuela et al. (2015) who used FLO-2-D to model downstream inundation from a potential GLOF from Imja Lake in Nepal; and Mergili et al. (2011) used RAMMS to simulate debris flows and FLO-2-D to simulate floods and hyper-concentrated flows from Lake Khavraz in Tajikistan.

FLO-2-D (FLO-2-D, 2012) is used to simulate the flooding downstream of Lake Palcacocha considering debris flow that incorporates sediment characteristics (dynamic

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viscosity and yield stress) as exponential functions of the sediment concentration by volume. Although the simulation grid in FLO-2-D is two-dimensional, the flow is modeled in eight directions, solving the one-dimensional continuity and momentum equations in each direction independently using a central, finite difference method with an explicit time-stepping scheme. One of the advantages of FLO-2-D is that for flows with high sediment concentration the total friction slope can be expressed as a function of the sediment characteristics and the flow depth (FLO-2-D, 2012; Julien, 2010; O'Brien et al., 1993).

Due to the steepness of the terrain below Lake Palcacocha and low cohesion of the material from the moraine, high velocities and turbulent flows with low dynamic viscosity and low yield stress are expected (Julien and Leon, 2000). Therefore, from the empirical coefficients recommended by FLO-2-D (2012) these two sets of parameters, that describe low yield stress and dynamic viscosity respectively, are used:  $\alpha_1 = 0.0765$ ,  $\beta_1 = 16.9$ ,  $\alpha_2 = 0.0648$  and  $\beta_2 = 6.2$ . Yield stress and viscosity of the flow vary principally with sediment concentration based on empirical relationships where the parameters  $\alpha_i$  and  $\beta_i$  have been defined by laboratory experiment (FLO-2-D, 2012).

Downstream of Lake Palcacocha the flood will meet huge moraines in a steep canyon. According to Huggel et al. (2004), erosion on the order of  $750 \text{ m}^3 \text{ m}^{-1}$  has been found in alpine moraines. In the Andes and Himalaya, erosion cuts can be higher than  $2000 \text{ m}^3 \text{ m}^{-1}$ , with peak flow concentrations by volume on the order of 60–80%. Thus, given the uncertainties associated to the calculation of the concentration of sediment, Huggel et al. (2004) recommend using an upper limit for the average flow concentration by volume of 50–60%. This agrees with Schneider et al. (2014), Julien and Leon (2000) and Rickenmann (1999) who recommend 50% sediment concentration by volume, which is used in this study.

For the terrain elevation, a DEM was produced for this work (Horizons, 2013). Given the large extent of the domain, running the inundation simulations on this  $5 \text{ m} \times 5 \text{ m}$  grid was impractical. Therefore, the FLO-2-D simulations were run on a  $20 \text{ m} \times 20 \text{ m}$  grid.

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Distributed roughness coefficient values were assigned based on land cover in the Paria basin below Lake Palcacocha. Land cover was classified into five categories using the normalized differential vegetation index (NDVI) from a multispectral image of a Landsat 7 image taken on October 22, 2013 after reflectance correction and ISODATA analysis (Chander et al., 2009; Hossain et al., 2009).

Given the lack of detailed information about the buildings and construction materials, an area reduction factor of 20 % was applied to account for the influence of buildings on the flow. Area reduction factors are used in FLO-2-D to reduce the flood volume storage on grid elements due to buildings or topography (FLO-2-D, 2012). Although FLO-2-D allows the inclusion of buildings and obstacles that can affect the inundation trajectory, it was not clear in this work if the buildings of Huaraz are strong enough to support the impact and, thus, deviate the flow. In some areas, especially near the river, it is highly probable that the flow will destroy the buildings, but further from the river that may be less likely to happen.

Flood intensity is determined by the resulting flow depth and velocity in Huaraz. Various methods of determining the flood intensity from the flood depth and velocity have been developed. The Austrian method (Fiebiger, 1997) uses the total energy of flow as the indicator of intensity. The US Bureau of Reclamation (USBR, 1988) uses a combination of depth and velocity and differentiates these for the impact on adults, cars, and houses. The Swiss method (OFEE et al., 1997) defines intensity, independent of the object subjected to the hazard, as a combination of depth and the product of depth and velocity.

In this work, the Swiss method is adopted to determine flood intensity as adapted for use in Venezuela, where intensity thresholds were calibrated with field data from the 1999 alluvial floods in Venezuela (PREVENE, 2001; García et al., 2002, 2005). Applying this method requires simulating the different events to predict the spatially-distributed maximum depths and velocities for each event, then transferring these results to GIS where a flood intensity map for each event is created by applying the

intensity categorization criteria, low, medium or high (Table 2), to each grid cell in the map.

### 3.6 Hazard identification

Flood hazard is a function of intensity and likelihood of an event. In this case, the event is the process chain resulting from an avalanche falling into Lake Palcacocha. The level of water in the lake then determines the resulting wave that may or may not overtop the damming-moraine. To determine flood hazard, normally probability would be the term used instead of likelihood, but there is not enough data (i.e., recorded avalanche events) to assign probabilities to the different avalanche events and other processes in the hazard chain; therefore, in keeping with other similar studies (e.g. Huggel et al., 2004), a qualitative probability, or likelihood, is used. Likelihood is inversely related to avalanche magnitude; i.e., as discussed previously, large avalanches are less likely to occur than small avalanches. The flooding intensity for various likelihood events are used to prepare a hazard map that will allow communication to the affected community of the hazard at various locations and can facilitate planning, regulation, and zoning based on the map (O'Brien, 2012).

Following Schneider et al. (2014), Raetzo et al. (2002) and Hürlimann et al. (2006) the debris flow intensities have been classified into three classes, and an intensity-likelihood diagram was used to denote three hazard levels (Table 3). *High hazard* – people are at risk of injury both inside and outside buildings; a rapid destruction of buildings is possible. *Medium hazard* – people are at risk of injury outside buildings. Risk is considerably lower inside buildings. Damage to buildings should be expected, but not a rapid destruction. *Low hazard* – people are at slight risk of injury. Slight damage to buildings is possible. When multiple scenarios are considered, the highest hazard value for each cell is taken to create the final hazard map (Raetzo et al., 2002).

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from FLOW-3-D are of the same order of magnitude as those calculated from the empirical method (Heller and Hager, 2010), the FLOW-3-D wave heights are all larger, with the difference in wave heights up to 14% (5.8 m) over the empirically calculated wave height for the large avalanche. Lacking field measurements of lake dynamics or overtopping hydrographs from GLOF events, it is difficult to draw any definitive conclusions about the accuracy of the methods. However, the FLOW-3-D simulations are able to reproduce the avalanche characteristics of the RAMMs model as the avalanche enters the lake and account for lake bathymetry, likely giving more accurate results than the empirical method. In the FLOW3-D results, the maximum wave height is attenuated approximately 30% before it reaches the damming-moraine. Normally, there would be a significant increase in wave height with the run-up against the terminal moraine, but because of the high dissipation of energy on the western end of the lake where it becomes shallow, this effect is somewhat lessened.

Looking in more detail at the wave propagation in the large avalanche scenario, there are two peaks in the wave height. The initial peak is about 1/3 of the way across the lake, corresponding to the empirical equations, and a higher peak occurs when the wave encounters the shallow portion of the lake. This is the beginning of the run-up process that culminates in the overtopping of the moraine, where the wave gains height as the water depth decreases.

The wave run-up causes a significant amount of water overtopping the damming-moraine. Figure 5 shows that the large avalanche results in an overtopping wave discharge hydrograph with a peak of about  $63\,000\text{ m}^3\text{ s}^{-1}$  approximately 60 s after the avalanche fluid is released and a smaller peak of  $6\,000\text{ m}^3\text{ s}^{-1}$  due to a reflected wave at about 200 s. The total overtopping volume was  $1.8 \times 10^6\text{ m}^3$  for the large avalanche and  $0.15 \times 10^6\text{ m}^3$  for the small avalanche (Table 2). The duration of the initial wave of the avalanche events is about 100 s (large avalanche), 70 s (medium avalanche), and 50 s (small avalanche).

## 4.2.2 Lake mitigation scenarios

Two lake lowering or mitigation scenarios (with lake levels at 15 and 30 m below the current water level) were simulated to determine the impact on the moraine overtopping. Simulations for all three avalanche sizes were repeated for each lake level and show that the overtopping wave volume as well as the peak discharge of the wave are incrementally smaller as the lake is lowered (Table 2). Although the overtopping volumes and peak flow rates decrease with incremental lowering of the lake, the overtopping wave heights above the artificial dam increase. This is due to several factors. First, as the point of avalanche impact is at a lower elevation with lowered lake levels, there is more momentum in the avalanche fluid when it enters the lake. Secondly, the stored volumes in the lake lowering scenarios are smaller, so the momentum transfer to the lake per unit volume is higher, thus producing taller waves.

Although overtopping cannot be entirely prevented for the large avalanche events, even by lowering the lake up to 30 m, the small avalanche shows no overtopping of the terminal moraine for 30 m lake lowering, and the overtopping volume for the medium avalanche scenario is reduced by 90 % compared to the current level scenario. Overtopping is not avoided entirely for the 15 m lake-lowering scenario; however, the overtopping flow rates and volumes are reduced by about 60 and 80 % for the medium and small avalanches, respectively, for 15 m lake lowering.

## 4.3 Moraine erosion simulation

### 4.3.1 Hydrodynamic model

Dynamic simulations were made in BASEMENT using worst-case soil conditions described above (Table 1) and the large avalanche wave dynamics to assess the erosion and potential breach of the damming-moraine at Lake Palcacocha. The BASEMENT simulations were compared to similar wave-moraine simulations in FLOW-3-D to vali-

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tion areas occurring over the moraine crest (Rivas et al., 2015). The apparent moraine stability seems to come from morphologic patterns the moraine geometry, not from morphodynamic erosion resistance; the moraine does not fail in spite of its the very erosive soil representing it in the hydro-morphodynamic model matrix. The peak flows at the toe of the Lake Palcacocha damming-moraine (see Fig. 2) have been attenuated to less than 50 % of the peak at the crest of the artificial dam.

The simulated scenario shows that a complete moraine failure with a large avalanche is extremely unlikely, and any erosion that occurs as the wave passes the moraine does not significantly affect the overtopping hydrographs. The large avalanche event is the worst case, so if it does not fail then, it shouldn't fail for the medium and small avalanche events. The results from the FLOW-3-D simulations were used as inputs to the downstream inundation model in FLO-2-D.

#### 4.4 Inundation simulation

Figure 1 shows the locations of 5 cross-sections downstream of Lake Palcacocha where hydrographs are reported from the FLO-2-D simulations. Figure 6 and Table 6 show the results of the simulation of the large avalanche with the current lake level. At cross-section 1, the hydrograph is still similar to the original hydrograph at the lake with a high-intensity peak flow that is of relatively short duration. The flow is quickly attenuated as it moves downstream, and the hydrograph at cross-section 2, located just upstream of the point where the river canyon narrows and becomes steeper, has a much lower peak than the overtopping hydrograph at the lake, but it is of longer duration. This is expected because the river is relatively wide with gentle slopes between the lake and cross-section 2.

Cross-section 4 is located at the entrance to the city of Huaraz. The peak discharge diminishes about 40 % between the cross-sections 2 and 4. From the beginning of the avalanche event it takes the flood wave about 1.3 h to reach this location for the large avalanche scenario (Table 6), and the peak flow arrives shortly after. The peak flow takes almost an hour to cross the city. The hydrograph at cross-section 5 shows the

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The general lack of field data regarding actual GLOF events leads to many unknowns about the processes, particularly processes related to avalanches, lake dynamics and moraine erosion. Previous simulations of GLOFs have focused on calibrating upper-watershed processes based on post-event observations (Schneider et al., 2014), but there is very little information on avalanche characteristics, magnitude of avalanche-generated waves (Kafle et al., 2016), or erosive capabilities of overtopping waves on which to base validation of these simulated processes. For that reason, it is necessary to represent these processes more fully in simulations and minimize the approximations used in modeling the chain of processes. In this work, this is partially achieved through the use of three-dimensional simulations of lake dynamics and a hydro-morphodynamic model to simulate the damming-moraine erosion process.

Simulations of lake dynamics with a three-dimensional non-hydrostatic model (FLOW-3-D) and a two-dimensional SWE model (BASEMENT) indicate that the SWE approximation is not adequate to simulate waves generated by avalanches because of the large energy dissipation due to significant vertical accelerations. Two-dimensional hydrostatic models may be adequate for simulating past events where calibration parameters based on field data may be used to overcome the approximations in the SWE model (Schneider et al., 2014), but it is important that calibration be performed at appropriate points in the model to account for energy dissipation as the wave propagates across the lake. The results from the BASEMENT simulations suggest that, without careful setting and adjustment of the model's boundary conditions, two-dimensional models might produce unrealistic results for wave driven phenomena that underestimate the magnitude of an event. Reference simulations, like those from three-dimensional hydrodynamic models, may help to overcome limitations on the two-dimensional models and turn them into more flexible and efficient tools for erosion and breach failure assessment.

The primary limitation of the lake hydrodynamic model arises from representing an avalanche entering the lake as a volume of water, rather than a combination of rock, ice and snow (Kafle et al., 2016). The wave model calibration method involves controlling

the height and depth of the release area in order to influence the fluid height and velocity in the model as the avalanche enters the lake. This helps to overcome the limitations of substituting water for the avalanche fluid mixture, but the water representation does not dissipate the energy in the same way as the true avalanche mixture, and the mixing of the avalanche fluid with the lake is not accurately represented in the model.

The moraine erosion simulations used an extremely conservative approach, depicting the moraine as a structure with very low erosive resistance. Therefore, the resulting moraine erosion is overestimated, i.e., erosion depth, width, length, and growth rate. Thus, the simulations sacrifice accuracy in modeling the erosion process to gain confidence in predicting the potential for moraine breaching and collapse. The erosion simulation results suggest that the Lake Palcacocha damming-moraine has adequate stability to resist erosion induced by large waves, since the modeled erosion does not reach from the distal face back to the lake, which would allow the lake water to flow through the breach and accentuate the erosion process and lead to possible moraine failure. The main source of erosive resistance in the simulations is from the morphology of the moraine (e.g., large width to height ratio, long crested dam, and gentle slope of distal moraine face) and not from soil resistance. Previous qualitative assessments of the Lake Palcacocha moraine (Emmer and Vilímek, 2013) and similar structures at other lakes (Worni et al., 2014) assigned very low probabilities of failure of the moraine, but did note its high susceptibility to wave overtopping. This study, however, provides the first quantitative assessment of possible breach failure for the damming-moraine at Lake Palcacocha, reinforcing results from the qualitative assessments by using numerical simulations that account for the morphology of both the lake and moraine in a two-dimensional modeling scheme.

The functions in BASEMENT to simulate erosion come from empirical equations of sediment transport developed for fluvial environments. Due to their empirical nature, the equations depend on calibration to achieve accurate results of erosion and deposition rates. Worni et al. (2012) showed that BASEMENT can achieve realistic results using soil parameters that resemble actual moraine properties. The bed-load trans-

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port model used in this paper (Meyer-Peter and Müller, 1948) has been derived in different forms since its first release to reverse the model's tendency of over predicting erosion. Newer bed-load models address this problem by applying a direct reduction factor on resulting transport rates or adding hiding functions to account for multi-grain soil matrixes (e.g. Ashida and Michiue, 1971; Wu et al., 2000). Additionally, the two-dimensional limitation of BASEMENT restricts its application for problems where vertical accelerations are relevant, or vertical flow distribution is not uniform. Under these latter conditions, BASEMENT needs three-dimensional simulations to serve as calibration parameters before applying the model to predict erosion and breach formation.

The sediment concentration is an important factor in simulating the inundation in Huaraz because it affects the volume of the flow, and consequently the depth of inundation (Somos-Valenzuela, 2014). In this work, a fixed concentration of 50 % by volume was used, which is a good upper limit according to the literature, but it may be too high if the solid material available for erosion is not sufficient in the inundation path. Analysis of sensitivity to sediment concentration was performed for the inundation in Huaraz, assessing the effect on computed velocity and flood stage with sediment concentrations of 0, 20, 30, 40 and 50 % (Somos-Valenzuela, 2014). The flood wave travel times were very similar for all cases, and the depths increased with sediment concentration due to the increased volumes (an increase of up to 8 m at cross-section 4 for a concentration of 50 % compared to no sediment). The 50 % concentration was considered a reasonable value to use because it provides a conservative result.

The relative impacts of the GLOF process components can be seen by analyzing the inundation in the city of Huaraz for each of the scenarios simulated. The various avalanche sizes considered here may have the most significant impact on downstream flood hazard. With the lake at its current level, the affected area in Huaraz for the small avalanche scenario (0.7 km<sup>2</sup>) is approximately 35 % of the area potentially affected by the large avalanche (2.0 km<sup>2</sup>). The other process that could significantly influence the flood hazard in the city is the erosion of the damming-moraine. Although results from this work indicate that a complete moraine failure is extremely unlikely, the possibility

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of a catastrophic breach cannot be categorically excluded based on existing evidence. If such a breach were to occur, the inundated area could increase to 4.93 km<sup>2</sup>, almost 246 % more than the large avalanche–no breach scenario (2 km<sup>2</sup>).

Considering the results of the lake lowering mitigation scenarios, the reduction in hazard area in Huaraz is mostly in the high hazard zones (see Table 7). There is a 27 and 45 % reduction in the high hazard area (compared to the current lake level) when the lake is lowered 15 or 30 m, respectively.

## 6 Conclusions

There is consensus among local authorities, scientists and specialists that Lake Palcacocha represents a GLOF risk with potentially high destructive impact on Huaraz, and this consensus has been validated by the modeling results presented in this paper. Huaraz previously experienced a GLOF in 1941 when the outburst from Lake Palcacocha killed about 1800 people (Wegner, 2014). However, there was no previous model that assessed the potential extent of inundation given the current size of the lake. This work used high-resolution topographic information in a two-dimensional debris flow model of the inundation below the lake. Several avalanche magnitudes were used to assess the range of possible inundation and hazard in Huaraz. In addition, scenarios of based on lake lowering were simulated to determine the mitigation potential of lowering the lake level.

This work has provided a physical analysis of all of the processes in a chain of events from the summit to the city for a potential GLOF from Lake Palcacocha and determined that there could be significant impacts in the city of Huaraz. This work has demonstrated advancements in simulation methods for the lake dynamics and the dynamic erosion process of the damming-moraine that help further our understanding of this type of event. Based on the results of this work, it can be concluded that three-dimensional non-hydrostatic simulations of slide-generated waves are necessary to capture the full effects of these waves and their magnitudes at the point of overtopping.

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This study also found that the morphology of the damming-moraine at Lake Palcacocha may be a more important factor than the soil erosion characteristics in determining the stability of the moraine and its ability to withstand the high forces of large overtopping waves.

5 The results indicate that a GLOF for a large avalanche event takes about one hour and twenty minutes to arrive at the city (cross-section 4) after the avalanche process starts, and the flood peak arrives two to three minutes later. The peak crosses the city from in about 45 min, expanding to the north and south as it progresses through the city. Based on the flood intensity, the most highly impacted areas in the city are near  
10 the Quilcay River just to the south of the river. While the inundated areas for medium and small avalanches are less than the affected area due to a large avalanche, there is a significant reduction in the high intensity areas for these events. For the large avalanche event, most of the affected area of the city has a very high hazard level for the current lake level. With mitigation through lake lowering, the total affected area is reduced (by around 30 % for a 30 m lowering scenario), but the greatest impact of lake lowering is that more of the high and medium hazard zones areas are downgraded to low hazard. The results indicate that Lake Palcacocha is dangerous if an avalanche occurs, especially since there is no way to prevent an avalanche from falling into the lake and overtopping waves are expected for all avalanche sizes with the lake at its  
20 current level. The damage could be even more extensive in the extremely unlikely event of an avalanche and moraine breach.

Based on these conclusions, it is recommended an early warning system should be installed in the basin. This is an urgent matter because a significant area of the city of Huaraz could be impacted by a GLOF from Lake Palcacocha, and timely warning and evacuation of the population is the best way to prevent injuries and mortalities.  
25 The results of this study indicate that the inundated area may be reduced through lake lowering, and the highest likelihood event (small avalanche) produce significantly less inundation with lake lowering. An economic analysis of mitigation alternatives should

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**Table 1.** Main parameters defining the soil matrix used in BASEMENT simulations of the Lake Palcacocha moraine.

Morphodynamic parameter	Adopted value	Source
Sediment transport formula	MPM single-grain	Meyer-Peter and Müller (1948)
Diameter $d_{50}$	1 mm	Novotny and Klimes (2014)
Porosity	40 %	Typical value for spherical sediment
Bed load factor	2	Modified from Wong and Parker (2006) and Worni et al. (2012)
Failure angle of submerged sediment	36.5°	Novotny and Klimes (2014)
Failure angle of dry sediment	77°	Worni et al. (2014)
Failure angle of deposited sediment	15°	Worni et al. (2014)

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**Table 2.** Flood intensity classification.

Intensity		Maximum Velocity (m/s) times Maximum Depth (m)			Flood Intensity
		> 1.0	0.2 - 1.0	< 0.2	
Maximum Depth (m)	> 1.0	High	High	High	High
	0.2 - 1.0	High	Medium	Low	Medium
	< 0.2	High	Low	Low	Low

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**Table 3.** Flood hazard classification.

Hazard		Likelihood			Hazard Level
		High	Medium	Low	
		Avalanche Size			
Intensity	High	High	High	High	High
	Medium	High	Medium	Low	Medium
	Low	Medium	Low	Low	Low



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**Table 4.** Characteristics of three avalanche events of different size as simulated in RAMMS. Overtopping volume, flow rate and wave height for three avalanche events as simulated in FLOW-3-D for the current lake level and three lake mitigation scenarios.

	Avalanche Event		
	Large	Medium	Small
Avalanche characteristics in RAMMS			
Avalanche size ( $10^6 \text{ m}^3$ )	3	1	0.5
Maximum depth of avalanche material at lake entry (m)	20	15	6
Maximum velocity of avalanche material at lake entry ( $\text{m s}^{-1}$ )	50	32	20
Time to reach the lake (seconds)	33	36	39
% of mass released that reaches the lake in 60 s	84	72	60
0 m lower			
Overtopping volume ( $10^6 \text{ m}^3$ )	1.8	0.50	0.15
Overtopping peak flow rate ( $\text{m}^3 \text{ s}^{-1}$ )	63 400	17 100	6410
Overtopping wave height above artificial dam (m)	21.7	12.0	7.1
15 m lower			
Overtopping volume ( $10^6 \text{ m}^3$ )	1.6	0.2	0.02
Overtopping peak flow rate ( $\text{m}^3 \text{ s}^{-1}$ )	60 200	6370	1080
Overtopping wave height above artificial dam (m)	38.4	27.5	25.1
30 m lower			
Overtopping volume ( $\text{m}^3$ )	1.3	0.05	0
Overtopping peak flow rate ( $\text{m}^3 \text{ s}^{-1}$ )	48 500	1840	0
Overtopping wave height above artificial dam (m)	60.8	42.5	0



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**Table 5.** Measures of agreement for flow properties at the overtopping zone of Lake Palca-cocha: comparing results from BASEMENT and FLOW-3-D models.

Flow property	Measure of agreement	Large avalanche
Mass	Peak flow difference (%)	0.04
	Bias (%)	-17.6
	Normalized Root Mean Squared Error (%)	24.9
Momentum	Peak momentum difference (%)	7.3
	Bias (%)	-27.3
	Normalized Root Mean Squared Error (%)	38.8
Energy	Grade line slope (fraction per million)	140

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**Table 6.** FLO-2-D simulation results at cross-sections downstream of Lake Palcacocha for the current lake level and a large avalanche.

Cross Section	Arrival Time (h)	Peak Time (h)	Peak Discharge ( $\text{m}^3 \text{s}^{-1}$ )
1	0.05	0.05	39 349
2	0.51	0.65	3246
3	0.81	0.84	2989
4	1.32	1.36	1980
5	2.10	2.26	920

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**Table 7.** Areas of each hazard level corresponding to the current lake level and two lake mitigation scenarios.

Mitigation	Low hazard area (km <sup>2</sup> )	Med. hazard area (km <sup>2</sup> )	High hazard area (km <sup>2</sup> )	Total affected area (km <sup>2</sup> )
0 m lower	0.52	0.05	1.43	2.01
15 m lower	0.61	0.00	1.04	1.65
30 m lower	0.61	0.00	0.79	1.40

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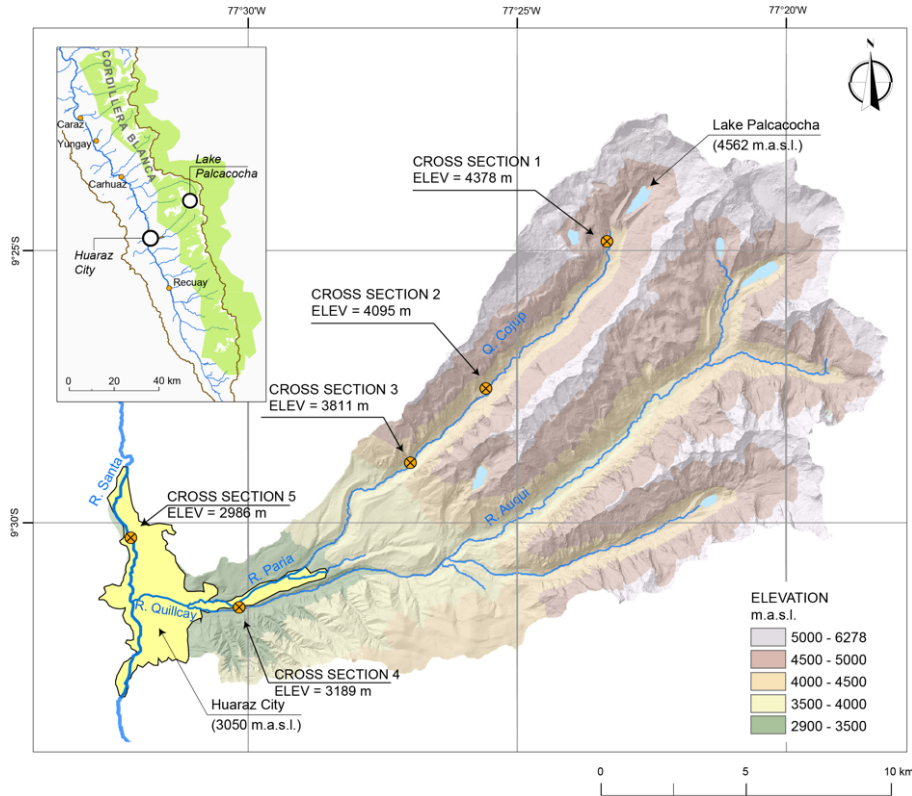
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**Table 8.** Areas of flood intensity for current lake level, large avalanche and full breaching scenario.

Low intensity area (km <sup>2</sup> )	Med. intensity area (km <sup>2</sup> )	High intensity area (km <sup>2</sup> )	Total affected area (km <sup>2</sup> )
0.31	0.40	4.22	4.93

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**Figure 1.** Map of the study area showing Lake Palcacocha and the city of Huaraz in the Quillcay watershed and the Digital Elevation Model (DEM) of Quillcay watershed. The locations where hydrographs of the FLO-2-D simulation results are illustrated are marked as cross-sections.

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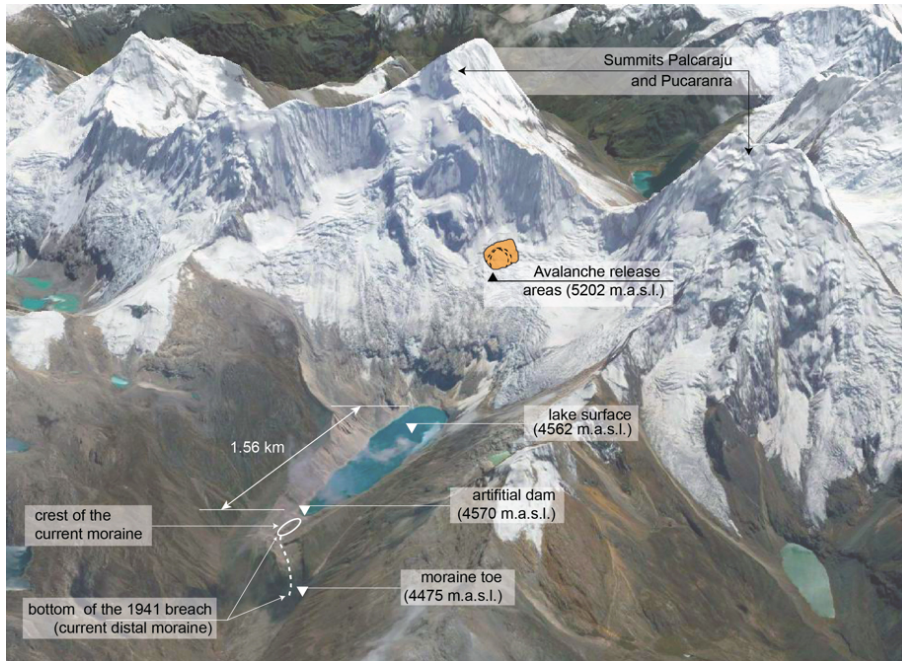
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**Figure 2.** Lake Palcacocha in 2014 with Palcaraju (6274 m) on the left and Pucaranra (6156 m) on the right in the background and the 1941 GLOF breach below the lake. Potential avalanche release areas located at an elevation of 5202 m to the north east of Lake Palcacocha following the main axis of the lake (Google Earth, 2014).

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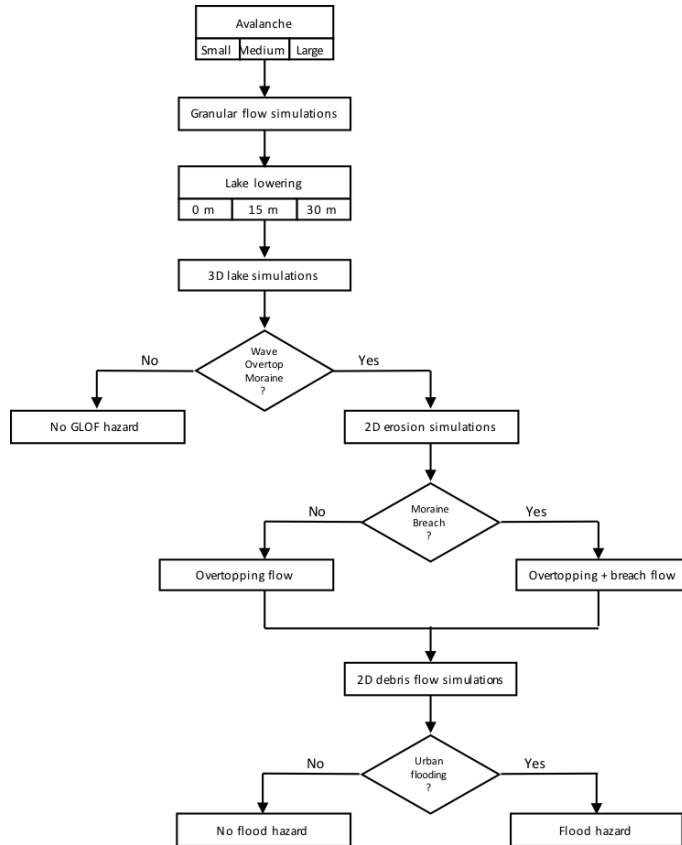
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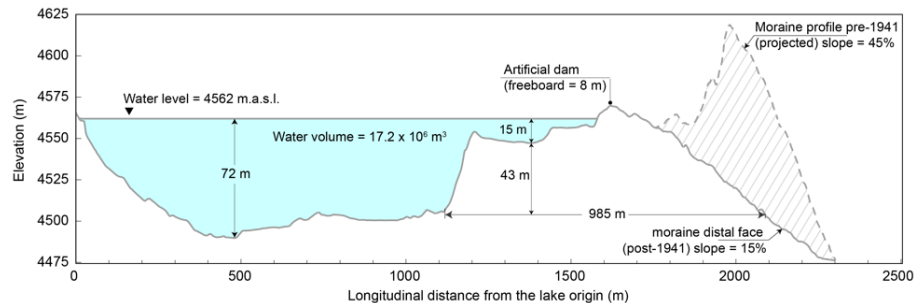
**Figure 3.** Flowchart of the hazard process chain for an avalanche triggered GLOF from a glacial lake to assess potential downstream inundation.

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**Figure 4.** Longitudinal profile of Lake Palcacocha and its terminal moraine (factor of vertical exaggeration of 5). The moraine profile before the 1941 GLOF exhibited width-to-height ratios of 6, while the reshaped moraine after 1941 shows width-to-height ratios of 14 and gentler slopes of 15% (after Rivas et al., 2015).

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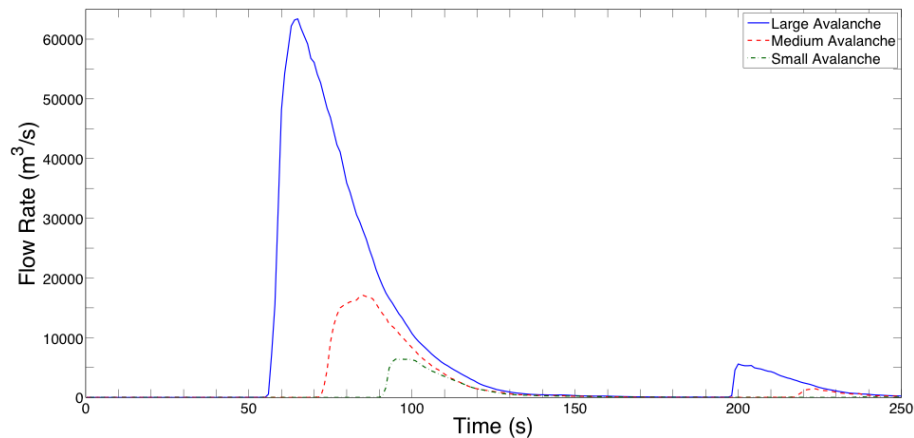
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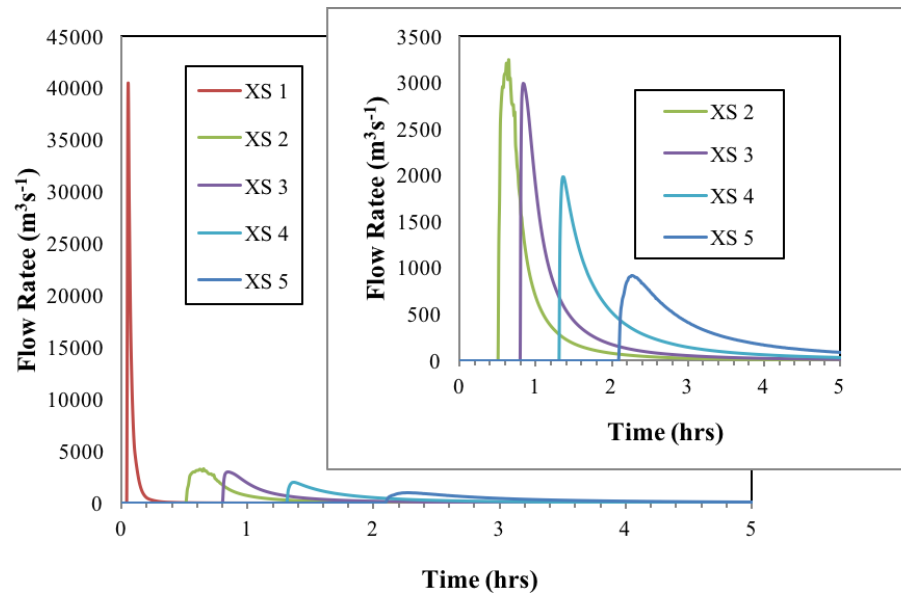
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**Figure 5.** Overtopping wave discharge hydrographs for the three avalanche events with the lake at its current level.

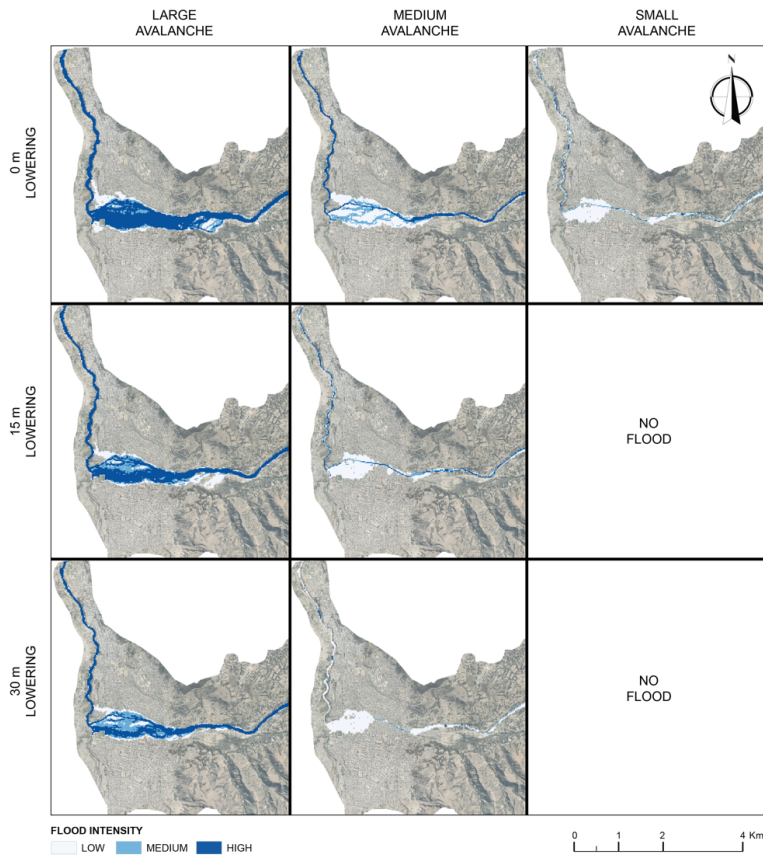
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**Figure 6.** Flood hydrographs at 5 cross-sections downstream of Lake Palcacocha for the large avalanche and current lake level scenario. Inset shows results on a larger vertical scale for cross-sections 2–5.

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**Figure 7.** Flood intensity in Huaraz associated with a potential GLOF from Lake Palcacocha for scenarios of 0 m of lake lowering (current condition), 15 m lowering and 30 m lowering conditions for small, medium and large avalanches.

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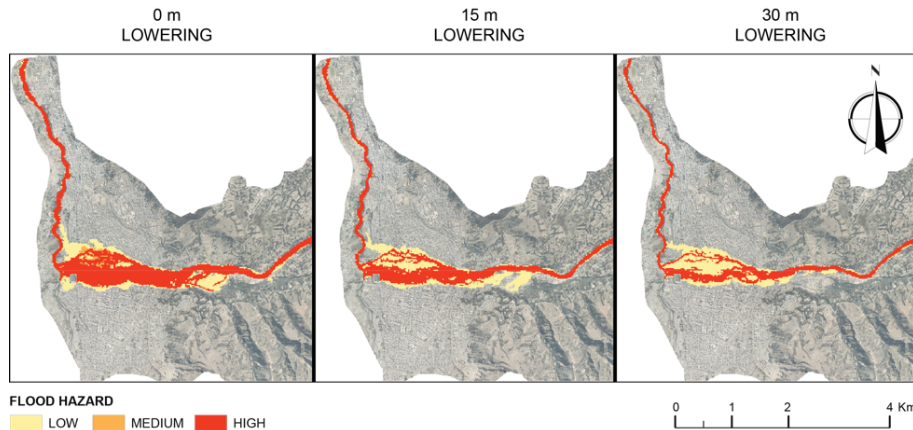


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**Figure 8.** Map of hazard in the city of Huaraz due to a potential GLOF originating from Lake Palcacocha with the lake at its current level and for the two mitigation scenarios: 0 m lowering, 15 m lowering, and 30 m lowering.

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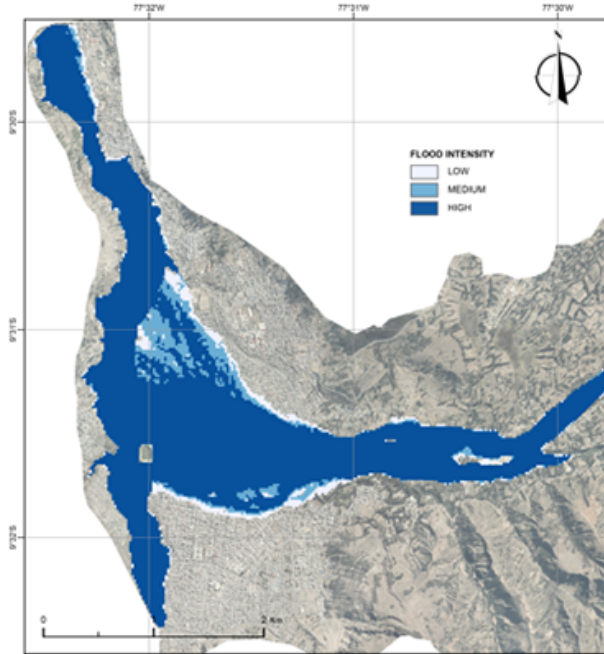
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**Figure 9.** Flood intensity in Huaraz associated with a probable maximum inundation GLOF from Lake Palcacocha for the scenario of 0 m of lake lowering condition and a large avalanche.

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