



1 Emergent stationarity in Yellow River sediment transport and the
2 underlying shift of dominance: from streamflow to vegetation

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22 **Abstract**

23 Soil erosion and sediment transport play important roles in terrestrial landscape
24 evolution and biogeochemical cycles of nutrients and contaminants. Although
25 discharge is considered to be a controlling factor in sediment transport, its correlation
26 with sediment concentration varies across the Yellow River Basin (YRB) and is not
27 fully understood. This paper provides analysis from gauges across the YRB covering
28 a range of climate, topographic characteristics and degree of human intervention. Our
29 results show that discharge control on sediment transport is dampened at gauges with
30 large mean annual discharge, where sediment concentration becomes more and more
31 stable. This emergent stationarity can be attributed to vegetation resistance. Our
32 analysis shows that sediment concentration follows a bell shape with vegetation index
33 (normalized difference vegetation index, NDVI) at annual scale despite heterogeneity
34 in climate and landscape. We obtain the counterintuitive result that as mean annual
35 discharge increases, the dominant control on sediment transport shifts from
36 streamflow erosion to vegetation retardation in the YRB.

37 **Keywords:** Yellow River Basin, sediment, stationarity, vegetation, bell-shape

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39 **1. Introduction**

40 Watershed sediment transport, from hillslope to channel and subsequently the coast, is
41 crucial to erosion management, flood control, river delta development, and the
42 quantification of global biogeochemical cycles of materials such as organic
43 phosphorus, iron, and aluminum (Martin and Meybeck, 1979). During the 20th century,
44 human activities have significantly modified the landscape, leading to a reduction in
45 sediment yield and coastal retreat worldwide (Walling and Fang, 2003; Syvitski et al.,
46 2005). Known for its severe sediment problems, the Yellow River (YR) has been a
47 hotspot for studies on soil erosion and sediment transport for decades. Since the 1950s,
48 the annual sediment yield has reduced by 80% because of check dam construction and
49 ecosystem restoration such as the Grain-for-Green project, motivating discussion on
50 the necessity for further expansion of re-vegetation schemes (Chen et al., 2015).

51 Most studies on the physical mechanisms of soil erosion and sediment transport were
52 conducted in relatively small sub-catchments (Collins et al., 2004; Ran et al., 2012).
53 In order to interpret the patterns discovered at basin scale, then, it is essential to
54 understand the scaling effects of soil erosion and sediment transport. Specifically,
55 would the mechanisms identified at small scale also prevail at basin scale? If not,
56 what factors influence upscaling (Mutema et al., 2015; Song et al., 2016). However,
57 existing studies on the scaling effects of sediment transport are rather limited, and
58 show no significant spatial coherence in the scaling of sediment transport (Le
59 Bissonnais et al., 1998; Deasy et al., 2011; Song et al., 2016). Due to the great
60 heterogeneity in the YRB, scaling patterns could be different even within one tributary.



61 Taking the Wuding River as example, event mean concentration could decrease
62 downstream after the initial increase in one sub-catchment (Zheng et al., 2011) or
63 keep rising until reaching a plateau in another sub-catchment nearby (Fang et al.,
64 2008). Not only the sediment concentration, but also its correlation with discharge
65 varies across the YRB. Although discharge is considered as one of the controlling
66 factors in sediment transport, how its influence upscales remains to be fully
67 understood. Therefore it is necessary to expand our findings concerning sediment
68 transport from single tributaries to larger scales, especially incorporating diverse
69 climate, environmental and anthropogenic characteristics, so that we can derive an
70 understanding applicable to the whole YRB. In this paper, we collected observations
71 across the Yellow River Basin (YRB) to quantify changes in sediment concentration
72 in the recent decades (Rustomji et al., 2008; Miao et al., 2011; Wang et al., 2016). By
73 analyzing data from gauges across the YRB (Figure A1), we attempt to understand:
74 how the correlation between sediment concentration and discharge varies across
75 spatial and temporal scales; what are the dominant factors influencing sediment
76 transport in the YRB; and how their contributions vary from place to place.

77 **2. Data and methodology**

78 We collected daily discharge and sediment concentration data from 123 hydrology
79 gauges within our study area: the YRB above Sanmenxia station, the major
80 hydropower station on the YR. From these we selected 68 gauges spanning a range of
81 climate conditions and physiographic areas, from the gauge at the most upstream end



82 of the main stem to the gauges above Tongguan, which just 100km upstream of
83 Sanmengxia Dam (Figure A1). These gauges were selected for at least 15-year (1971
84 – 1986) continuous daily discharge and sediment concentration records between 1951
85 and 1986. For comparison and further examination of our hypothesis, we also extract
86 the annual discharge and concentration data between 2000 and 2012 for seven gauges
87 located at the outlet of the major tributaries from the Yellow River Sediment Bulletin
88 (Figure A1 green stars).

89 The vegetation data used in this study corresponds to the normalized difference
90 vegetation index (NDVI) downloaded from NASA's Land Long Term Data Record
91 (LTDR) project, which provides daily NDVI observations globally at a spatial
92 resolution of 0.05° . Instead of the NDVI obtained from Global Inventory Modeling
93 and Mapping Studies (GIMMS), LTDR is chosen for its better estimation in the YRB
94 (Sun et al., 2015). The daily NDVI data from 44 gauges located on the eight major
95 tributaries were collected and extracted according to the drainage area of the study
96 gauges from 1982 to 2012 (Figure A1 green stars). Annual maximum NDVI values
97 were used to represent the highest vegetation productivity. The precipitation and leaf
98 area index (LAI) data of the US catchments used for comparison are assembled from
99 the first author's previous work (Ye et al., 2015).

100 To examine the coupling between discharge and sediment concentration at various
101 temporal scales, wavelet coherence analysis was applied to the daily discharge (m^3/s)
102 and sediment concentration (kg/m^3) data following Grinsted et al (2004). Wavelet



103 transforms decompose time series into time and frequency and can be used to analyze
104 different parts of the time series by varying the window size. They have been applied
105 to geophysical records for the understanding of variability at temporal scales. To
106 examine the co-variation between discharge and concentration in the time frequency
107 domain, we used a wavelet coherence defined as (Grinsted et al 2004)

$$108 \quad R^2(s) = \frac{|S(s^{-1}W^{XY}(s))|^2}{S(s^{-1}|W^X(s)|^2) \cdot S(s^{-1}|W^Y(s)|^2)} \quad (1)$$

109 where S is a smoothing operator, W^{XY} is cross wavelet transform of time series X and
110 Y representing the common power between the two series, s refers to scale and W^X
111 and W^Y are the continuous wavelet transforms of time series X and Y respectively.
112 The wavelet coherence can be considered as a correlation coefficient of the two time
113 series in the time frequency domain. The region of cone of influence (COI) was
114 delineated in the wavelet coherence images to avoid reduction in confidence caused
115 by edge effects. Localized wavelets were also averaged through temporal scales to
116 obtain global wavelet coherence (Guan et al., 2011). More detailed explanation about
117 wavelet coherence analysis can be found in Grinsted et al (2004).

118 The discharge and the sediment yield (discharge x concentration) were aggregated
119 from daily to annually to further examine their correlation. This analysis is applied
120 only at annual scale since this is when the coupling from wavelet coherence analysis
121 is strongest. The annual mean concentration (C_a) was calculated by dividing the
122 annual sediment yield by annual discharge. The annual discharge (Q_a) and annual



123 mean concentration (C_a) was also averaged within the period 1951 to 1986 to obtain
124 the long-term mean annual discharge (Q_m) and the long-term mean annual
125 concentration (C_m). Note that both the parameters Q_a and Q_m used here are
126 area-specific discharges (mm/yr). For each gauge, a linear regression was fit to
127 describe the correlation between annual discharge (Q_a) and annual mean
128 concentration (C_a). The slope of this linear regression (α_{QC}) is used to describe the
129 rate of change in sediment concentration with changing discharge at annual scale.

130 3. The emergent stationarity in sediment concentration

131 We applied wavelet coherence analysis to daily discharge and sediment concentration
132 data at 68 study gauges across the YRB (Figure A2, A3). The results show that the
133 coupling between discharge and concentration (Q-C) declines with mean annual
134 discharge (Q_m) at all three temporal scales (Figure 1a). That is, as Q_m increases, the
135 influence of streamflow on sediment transport becomes weaker and weaker, both at
136 intra-annual and within-year scales.

137 This fading impact of streamflow as it increases can be further quantified in terms of a
138 linear regression between discharge (Q_a) and mean sediment concentration (C_a) at
139 annual scale, when the coupling between discharge and concentration (Q-C) is the
140 strongest (Figure A4). As can be seen from Figure 1b, though annual mean
141 concentration is positively correlated with annual discharge at most gauges, the slope
142 in the Q-C regression (α_{QC}) declines exponentially with Q_m (p -value < 0.0001). The
143 larger Q_m is, the less sensitive sediment concentration responds to variation in annual



144 discharge. For most gauges with Q_m larger than 60mm/yr, α_{QC} is less than 0.1. When
145 Q_m is larger than 100mm/yr, the variation in sediment concentration is less than 1% of
146 that in streamflow ($\alpha_{QC} < 0.01$), and thus sediment concentration can be approximated
147 as invariant to changing discharge.

148 This emergent stationarity explains the linear correlation between area-specific
149 sediment yield and runoff depth reported in a small sub-watershed in a hilly area of
150 the Loess Plateau (Zheng et al., 2013). Considering the sediment concentration to be
151 constant, the variation in yield is solely dominated by streamflow, resulting in the
152 observed linear discharge-yield relationship. Similar stationarity in sediment
153 concentration has also been found in arid watersheds in Arizona (Gao et al., 2013), US
154 where the sediment concentration becomes homogeneous among watersheds when
155 their drainage area is larger than 0.01 km². The difference in threshold for the
156 emergence of approximately discharge-invariant concentration between the YRB and
157 watersheds in Arizona, US is probably due to the differences in catchment
158 characteristics, i.e. vegetation type and coverage, terrestrial structure, soil properties,
159 etc.

160 Our analysis shows that mean annual discharge (Q_m) is a better indicator of the
161 correlation between water and sediment transport than drainage area, although the last
162 parameter has been used traditionally. Despite the heterogeneity, both the coupling
163 between Q-C and the concentration sensitivity to variation in streamflow decreases
164 with Q_m . A closer inspection reveals useful insights. At gauges with smaller values of



165 Q_m , discharge is the dominant factor in sediment transport: an increment in annual
166 discharge is amplified in the increment of sediment concentration ($\alpha_{QC} > 1$) (i.e.
167 Gauge 808, 812 in Figure A4). However, as Q_m increases, variation in streamflow is
168 more weakly reflected in variation in sediment concentration, even though annual
169 mean concentration still correlates with annual discharge, (i.e. Gauge 806 in Figure
170 A4). As Q_m continues to increase, sediment concentration becomes almost invariant to
171 discharge, suggesting that the dominant factor of sediment transport has shifted from
172 the discharge to something else.

173 **4. The vegetation impact: a bell shape**

174 To further explore the potential cause of this emergent stationarity, we analyzed the
175 vegetation data (NDVI) from 44 of the gauges locating on eight major tributaries of
176 the YR (Figure A1). Our analysis shows that this declining sensitivity in concentration
177 at annual scale (α_{QC}) is negatively related to vegetation impact (Figure 2).

178 For gauges with limited vegetation establishment in their drainage area, the variation
179 in discharge is amplified in sediment transport ($\alpha_{QC} > 1$). The larger the discharge is at
180 specific year, the more sediment is eroded and mobilized per cubic meter. This
181 dominance of discharge is weakened when vegetation density and coverage increase.
182 Despite the larger sediment carrying capacity of larger discharge, sediment
183 concentration is reduced, probably due to the protection vegetation offers against
184 erosion. As maximum NDVI increase, sediment concentration becomes less and less
185 coupled with discharge at annual scale. When the vegetation density is sufficiently



186 high, sediment concentration is nearly stable in spite of the variation in discharge,
187 since the dense vegetation coverage protects soil from erosion and traps sediment.
188 That is, the emergent stationarity in sediment concentration corresponding to the
189 variation in discharge at gauges with large Q_m can be attributed to the dampened
190 dominance of discharge due to the increasing impact of vegetation retardation.

191 To further confirm the vegetation impact on sediment transport, we derived the plot
192 between maximum NDVI and mean concentration at annual scale in Figure 3a. As we
193 can see, the annual mean sediment concentration follows a bell-shaped correlation
194 with vegetation establishment, with a peak concentration at a value of maximum
195 NDVI of around 0.36. On the falling limb of this bell curve, as NDVI increases, both
196 sediment concentration and α_{QC} decrease consistently. That is, both the value of
197 concentration and its sensitivity to streamflow variation declines with increasing
198 vegetation index on the falling limb. On the rising limb, however, both the value of
199 concentration and its sensitivity to streamflow variation increases with increasing
200 vegetation index. Most gauges have values α_{QC} larger than one, except one gauge
201 with an extremely small maximum value of NDVI. For these gauges, on the rising
202 limb, vegetal cover is still low in an absolute sense despite increasing NDVI.
203 Sediment concentration is mainly dominated by discharge: fluctuations in streamflow
204 are amplified in concentration ($\alpha_{QC} > 1$). The only gauge with a value of α_{QC} smaller
205 than one is gauge HanJiaMao (HJM) at the Wuding River. Although the annual
206 precipitation and discharge at HJM is similar to other gauges along the Wuding River,
207 the annual mean sediment concentration is much smaller. This is because of the



208 extremely high baseflow contribution in discharge at HJM, which is around 90%,
209 thanks to very intensive check-dam construction there (Dong and Chang, 2014). Since
210 sediment in the YRB is mostly transported during large flow events during the
211 summer, smaller flow events are not capable of transporting significant sediment
212 loads at HJM.

213 In general, we can conclude that sediment transport is mainly dominated by discharge
214 when the vegetation index is low. With increasing NDVI, the impact of vegetation
215 grows slowly at first, and accelerates after the maximum NDVI exceeds 0.36.
216 Eventually, the effect of NDVI takes over the dominance of streamflow, and
217 attenuates the variation in sediment concentration (Figure 4). The nonlinear impact of
218 vegetation in regard to resistance of sediment to erosion is consistent with previous
219 findings (Rogers and Schumm, 1991; Collins et al., 2004; Temmerman et al., 2005;
220 Corenblit et al., 2009). When the vegetation index level is low, its resistance to soil
221 erosion develops slowly as vegetation grows and expands (Rogers and Schumm,
222 1991), and capability of vegetation to trap sediment is reduced when submerged by
223 flood (Temmerman et al., 2005) or overland flow. Therefore, for catchments with
224 limited vegetation establishment, the coverage of vegetation is insufficient to trap
225 sediment, nor is the vegetation able to protrude from the water level during the
226 extreme flow events that transport most of the sediment. Sediment transport in these
227 catchments is usually dominated by discharge. As NDVI increases, vegetation
228 becomes much more capable as an agent of erosion protection and sediment settling
229 (Jordanova and James 2003; Corenblit et al., 2009). With the compensation from



230 vegetation retardation, sediment and discharge become more and more decoupled as
231 discharge increases, so that concentration is nearly invariant to increasing discharge.
232 The transition point in maximum NDVI (around 0.36) is where the increment in
233 vegetation reduction balances with the incremental increase in water erosion. When
234 the capability of vegetation retardation catches up with streamflow erosion, the net
235 soil loss becomes negligible, a condition commonly observed in well-vegetated
236 regions.

237 **5. Validation of the bell shape across time and space**

238 Since 1999, a large-scale ecosystem restoration project, the ‘Grain-for-Green’ project
239 was launched in the YRB for soil conservation (Lv et al., 2012). It has substantially
240 improved vegetation coverage after a decade of implementation (Sun et al., 2015). To
241 validate our hypothesis gain from the early 1980s, we applied similar analysis to the
242 annual flow and sediment data as well as daily NDVI data at seven gauges located at
243 the outlets of major tributaries from 2008 to 2012 (Figure A1 green stars). This is the
244 period subsequent to the initiation of the ‘Grain-for-Green’ project. We have excluded
245 the years right after the implementation of the ‘Grain-for-Green’ project, when there
246 was an initial drastic change in vegetation coverage and sediment erosion and
247 transport processes.

248 As we can see from Figure 3b, there is significant increase in maximum NDVI for all
249 seven catchments, and considerable reduction in mean sediment concentration. This
250 improvement is consistent with the previous report that the ‘Grain-for-Green’ project



251 has made a remarkable achievement in regard to soil conservation in the YRB (Chen
252 et al., 2015). Comparison of the relationship between sediment concentration and
253 maximum NDVI in the early 1980s and around 2010 shows that the bell shape
254 relationship sustains even after drastic and significant anthropogenic alteration of the
255 land use and land cover across the whole YRB. Although the vegetation coverage has
256 improved significantly at all seven comparison gauges due to the ecosystem
257 restoration policy, and thereby effectively moderated sediment erosion; the bell shape
258 relationship between maximum NDVI and mean concentration sustains.

259 Similar bell shape relationship was also found for the multi-year mean annual
260 precipitation and sediment yield observed in the United States (Langbein and Schumm,
261 1958). The data used in the analysis of Langbein and Schumm (1958) was collected in
262 the 1950s from more humid and vegetated catchments with limited human
263 intervention, on the opposite of the YRB. Yet similar bell shape was still observed
264 between sediment yield and precipitation. Given the limited anthropogenic activities
265 in these catchments, vegetation growth is probably to correlate with annual
266 precipitation due to its adaption to climate, as in other US catchments (Figure A6).
267 Thus it is likely that a bell shape correlation between vegetation and sediment yield
268 would be found at these US catchments as well. This suggests that the bell shape
269 correlation between vegetation and sediment concentration is not only observed in the
270 YRB with intensive human intervention, but could also be valid outside it. More
271 analyses are needed to test this relationship in other catchments outside the YRB for
272 its universality.



273 **6. Implications and conclusion**

274 Our analysis shows that across the YRB, both the correlation between Q and C and
275 the magnitude of sediment response to the variation in streamflow decreases with Q_m .
276 When Q_m is sufficiently large (i.e. > 60 mm/yr), sediment concentration reaches a
277 stationary (constant) state at annual scale. The emergent stationarity at gauges with
278 large Q_m is related to the shift of dominance from discharge to vegetation. Because of
279 the slow development of vegetation resistance with increasing discharge for small
280 discharges, discharge dominates the soil erosion and sediment transport process until
281 the maximum NDVI exceeds a threshold (0.36 for this study), at which the parameter
282 governing concentration transits from streamflow erosion to vegetation retardation.

283 Our findings of the emergent stationarity in sediment concentration and the shift of
284 the dominant mechanism governing the Q-C relation have important implications for
285 water and sediment management at watershed scale. Our study indicates that for the
286 gauges with relatively large discharge, the annual mean concentration can be
287 approximated as a constant over a large range of discharges. Thus the estimation of
288 sediment yield can be simply inferred from a simulation of streamflow. First order
289 estimates of sediment yield for scientific or engineering purposes can be obtained by
290 multiplying the estimated discharge by a constant sediment concentration estimated
291 based upon the vegetation index. The correlation between vegetation and sediment
292 concentration will also be useful for the design of the ongoing ecosystem restoration
293 program known as the ‘Grain-for-Green’ project. The bell-shaped correlation between



294 maximum NDVI and sediment concentration provides a quantitative way to estimate
295 the potential change in sediment concentration associated with proposed ecosystem
296 restoration planning schemes at and near each tributary. This can help guide land use
297 management so as to allocate the sediment contribution from each of the upstream
298 tributaries in a way that maintains the balance between erosion and deposition in the
299 lower YR.

300 It is important to collect more data from the current decade (i.e. after the substantial
301 ecosystem restoration) to further validate our findings in regard to emergent
302 stationarity and vegetation impact at more gauges in the YRB as well as other
303 watersheds worldwide. Numerical simulations are also needed to further explain the
304 detailed mechanism of vegetation retardation, including how it develops and how it
305 upscales.

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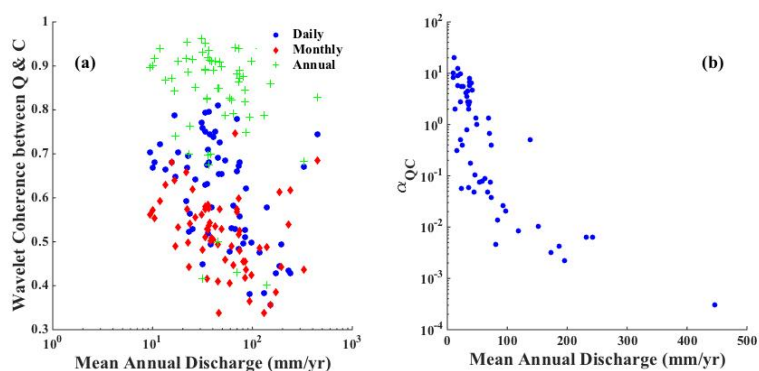
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394



395 **Figure 1:** Scatter plots between long-term mean annual discharge (Q_m) and (a)
396 wavelet Q - C coherence at daily, monthly and annual scales, (b) slope of the discharge-
397 sediment concentration regression (α_{QC}) at annual scale.
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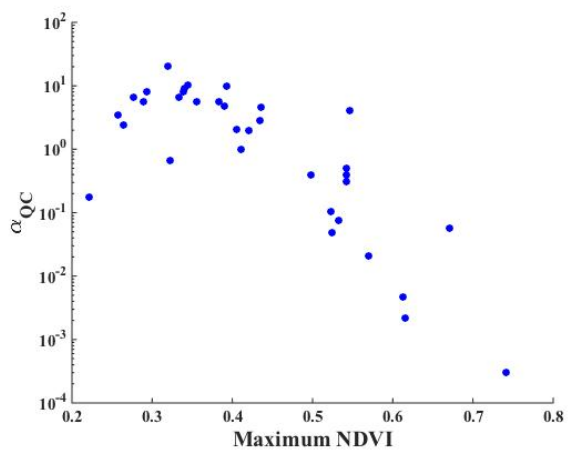


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401 **Figure 2:** Scatter plots between the maximum NDVI and slope in the Q-C regression

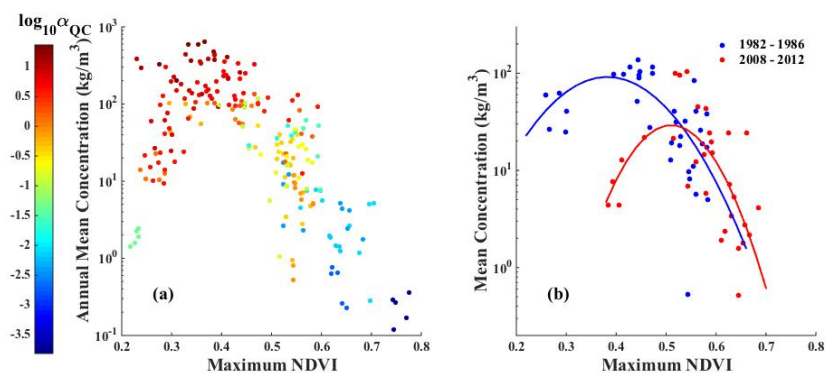
402 (α_{QC}).



403



404 **Figure 3.** Scatter plot of annual mean concentration and maximum NDVI: (a) at 44
405 study gauges between 1982 and 1986, where the dots are color-coded by the slope in
406 the Q-C regression (α_{QC}) at each gauge; and (b) at 7 gauges with both data from the
407 years 1982 – 1986 (blue dots) and the years 2008 – 2012 (red dots).

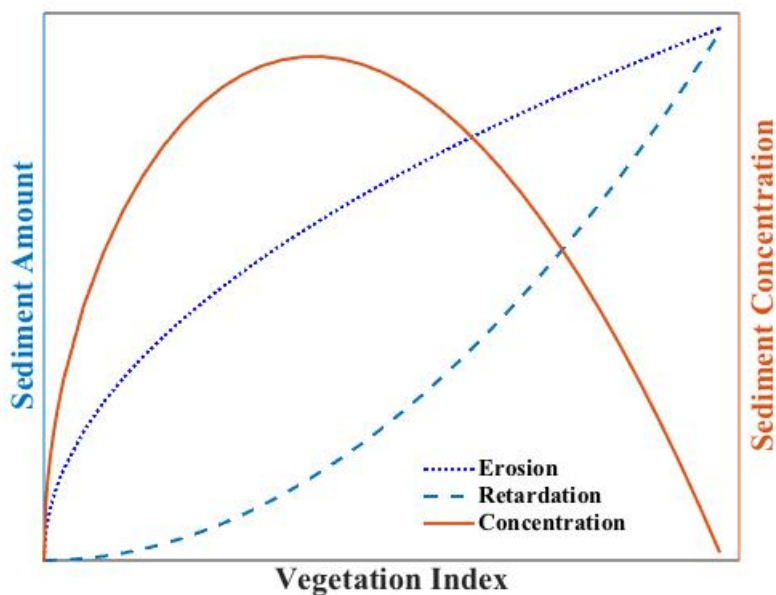


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410 **Figure 4.** Illustration of the correlation between vegetation and sediment erosion,
411 retardation and the resulting sediment concentration in the YRB. Since vegetation
412 usually increases with discharge, with the rise in discharge, sediment eroded and
413 delivered by streamflow increases rapidly, while the retardation from vegetation is
414 limited at the beginning and increases fast afterwards. This non-synchronous impact on
415 sediment transport leads to the bell shape correlation between sediment concentration
416 and vegetation.



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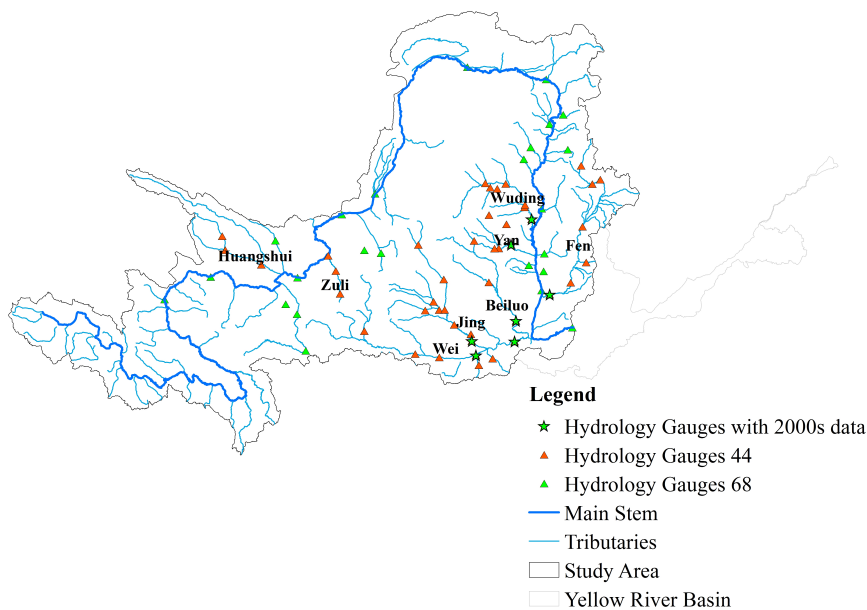
419



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Appendix

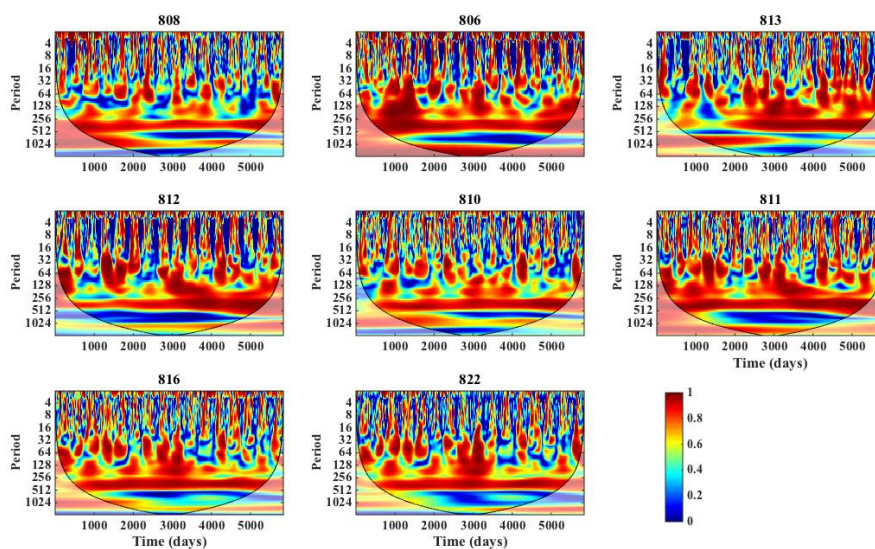
421 **Figure A1:** Spatial distribution of hydrology gauges used in this study. The green
422 triangles correspond to 68 gauges with discharge and sediment concentration data, the
423 red triangles correspond to 44 selected gauges with NDVI data, and the green stars are
424 the ones with annual discharge and sediment data for the years 2000 – 2012.



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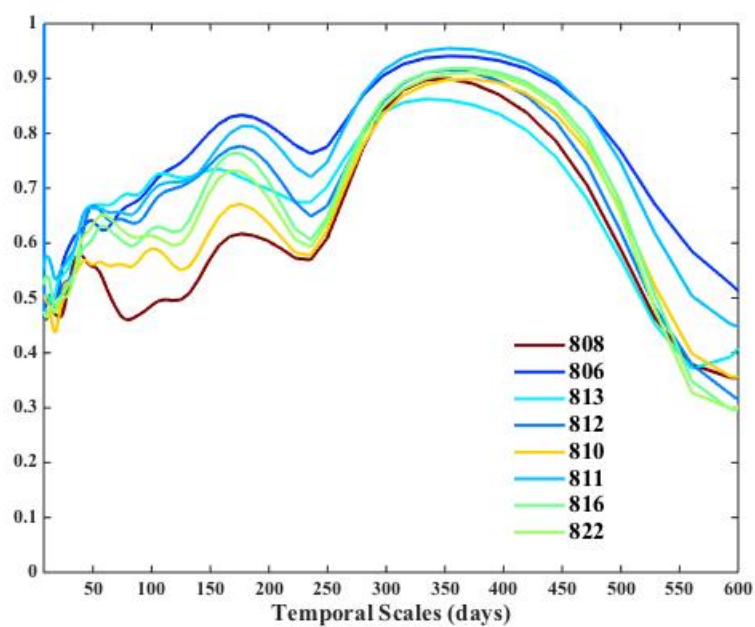
426 **Figure A2:** Wavelet coherence plots of the coupling between standardized discharge
427 and concentration, using the Jing River as an example. The labels correspond to the
428 gauge IDs. The shaded area is the cone of influence (COI) of edge effects.



429



430 **Figure A3:** Averaged wavelet coherence plot, using the Jing River as an example. The
431 lines are colored according to long-term mean annual discharge (mm/yr), from blue to
432 brown as discharge increases.

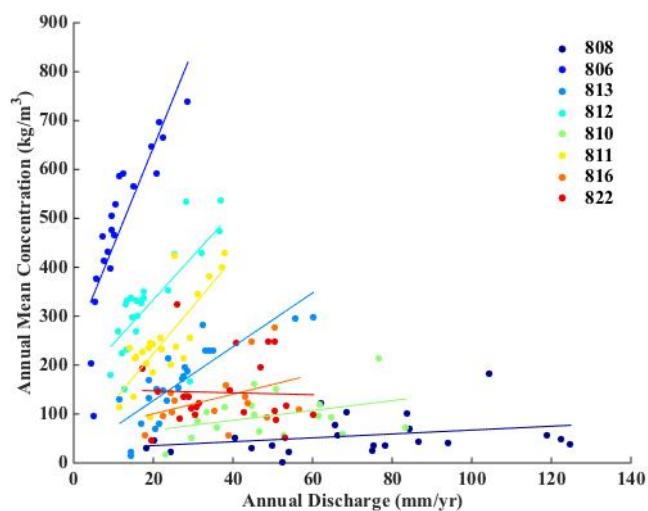


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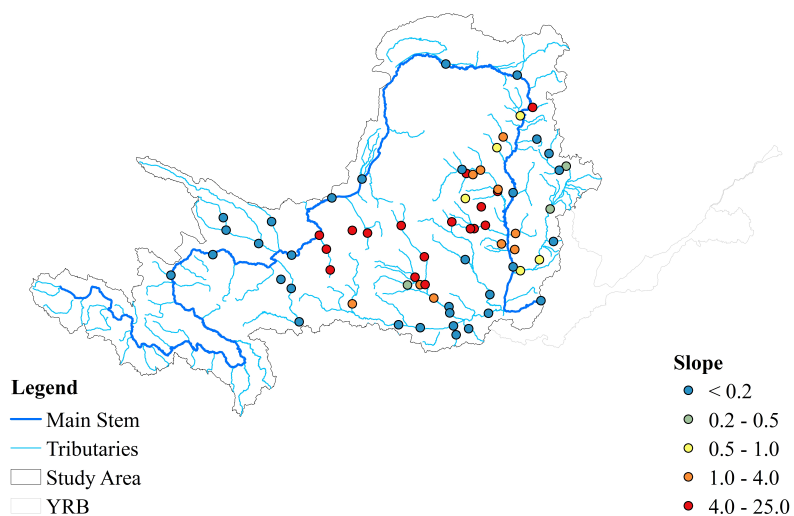
435 **Figure A4:** Scatter plot of the annual discharge and annual mean concentration from
436 1951 to 1986, as well as the result of linear regression between discharge and
437 concentration, using the gauges along the Jing River as an example.



438



439 **Figure A5:** Spatial distribution of the slope of the Q-C regressions (α_{QC}).



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441



442 **Figure A6.** a) Spatial distribution of the MOPEX catchments; b) scatter plot of mean
443 annual precipitation and annual maximum LAI for the MOPEX catchments.

