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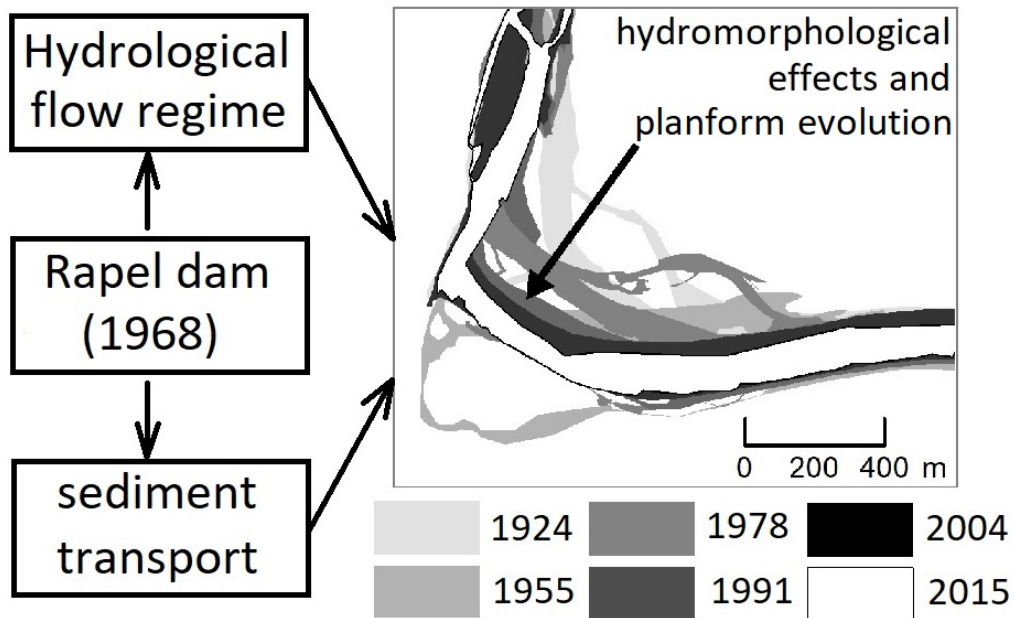
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Changes in fluvial morphology due to Rapel dam

1 **Detecting and quantifying hydromorphology changes in a Chilean river after 50 years of dam**
2 **operation**

3

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12

13 **Abstract**

14

15 This study identifies and characterizes hydromorphological changes along the Rapel River
16 downstream of the first large dam built in Chile (1968). A hydromorphological analysis is carried
17 out to assess changes on the hydrological flow regime, bed sediments, and fluvial morphology
18 along a 19 km river reach. Results classify current global hydrological quality as “Moderate”
19 (according to the Indicator for Hydrological Alteration in RIVERs, IAHRIS), however specific
20 indicators within this classification scheme identified quality as “Poor”. The morphological quality
21 decreased from “Very Good” to “Good” (assessed by the Morphological Quality Index, MQI).
22 Changes in the planform were particularly intense during the post dam period when intensive lateral
23 mobility occurred, with the corresponding loss of secondary river branches, and with generation of
24 straighter and regular river sections with presence of an armor layer observed along the entire river
25 reach. Between 1991 and 2015 channel stabilization with less lateral mobility was observed, which
26 thought to be associated with the river new equilibrium trend. River width, sinuosity and braiding

27 index changed at different rates along the studied river reach. Our investigation demonstrates that
28 the Rapel River experienced changes differently than those described in the literature given its
29 lower gradient and hydraulic interaction with the Pacific Ocean.

30 Keywords: Dams, human alteration, hydromorphological diagnostic, Rapel River

31

32 **1. Introduction**

33 Dams have been constructed since ancient times (Novak *et al.*, 2006) to develop agriculture and
34 control water supply, and later to satisfy the needs of hydropower generation and flood protection.
35 More than half of the world's large rivers are regulated by dams, and currently emerging countries
36 are constructing new structures for the same agricultural and energy purposes (Nilsson *et al.*, 2005).
37 Current attempts of reducing carbon dioxide emissions in producing energy also increase the
38 likelihood of constructing new dams. Despite this trend, several attempts in the more developed
39 countries have emerged at exploring small and mini hydroelectric power plants. Also, the long-term
40 impacts of old and inoperative structures led to the practice of dam removal. For example, more
41 than 400 dams have been removed in the US (Petts and Gurnell, 2013), and a group of European
42 countries (Sweden, Spain, Portugal, the UK, Switzerland, and France) have removed more than
43 3,450 weirs and dams (Dam Removal Europe, 2017). However, energy limits economic
44 development and thus triggers a strong justification for maintaining the construction of major dams
45 within the developing world; and these pressures are likely to grow (Oud, 2002). Hydropower dams
46 may play an important role in climate change adaptation of water resource availability (Berga,
47 2016), but the environmental and social costs must be mitigated, and river hydromorphology
48 requires inclusion in the analysis.

49 Large rivers in Chile drain runoff from the Andes mountain range to the Pacific Ocean responding
50 to different geography, geology and climatic patterns along (*i.e.* North-South) and across (East-
51 West) the country. Chilean fluvial systems spatially distribute water from the driest desert in the
52 world in the Northern regions (Atacama Desert) to the extremely rainy areas of Patagonia in the

53 South. The transversal geography is abrupt and varied, as rivers flow from the Andes range to the
54 central valley generating very high topographic gradients. For example, rivers in the Rapel basin
55 flow from elevations close to 4500 m to 500 m within approximate 50 km resulting in average
56 longitudinal gradient of 8%, and rapidly converting high-energy mountain rivers to low energy
57 systems in the central valley.

58 Several Chilean rivers present a relatively short history of human intervention, but there are current
59 pressures that may result in severe alteration of their morphology and dynamics (Andreoli *et al.*,
60 2013). Despite several studies describing the effects of dams on fish habitat (Habit *et al.*, 2006;
61 Garcia *et al.*, 2011; Laborde *et al.*, 2016) and on the economic value of landscape loss (Ponce *et al.*,
62 2011), very few studies have confronted the hydromorphological effects of human intervention in
63 Chilean rivers (Arróspide *et al.*, 2018; Tranmer *et al.*, 2018).

64 During the past fifty years, fluvial geomorphologists have developed qualitative and quantitative
65 models to predict river behavior (Wohl, 2014). One of the most relevant reasons that motivated
66 these models is to understand channel responses to natural and human-induced disturbances.
67 Relevantly, dams have been identified as the single most profound human alteration to fluvial
68 systems (Grant *et al.*, 2003). The changes produced by the operation of these structures can be
69 dramatic on fluvial processes, as they are dominated by the reduction of both sediment load and
70 flood magnitude (Buffington, 2012; Petts and Gurnell, 2013; Vietz and Finlayson, 2017). The
71 effects of dams on fluvial hydromorphology have been measured and surveyed for more than 80
72 years (Lane, 1934; Williams and Wolman, 1984; Piqué *et al.*, 2017) and currently, scientists and
73 engineers have at their disposal conceptual, empirical, analytical, and numerical models to predict
74 these changes (Grant, 2012; Alcayaga *et al.*, 2018). Thus, there is a major challenge regarding the
75 understanding of the “natural” morphological river states before the construction and operation of
76 large dams, nonetheless, there is also a need to consider whether these alterations are reversible.

77 Our study seeks to identify and characterize the hydromorphological changes produced along the
78 Rapel River downstream the only dam located in the coastal mountain range, and the first large

79 Chilean dam that has been operating for 50 years. Thus, based on several time-distributed data, this
80 study described the complex response of the river due to the alterations induced by the dam on both
81 discharge regime and sediment transfer from the upstream part of the catchment within the study
82 area. As suggested by previous methodological works, several well-established methods were
83 combined for addressing an analysis of the river response to impoundment. The large amount of
84 collected data and considered parameters represents the strength of this work. The long-term
85 hydromorphological effects of the Rapel Dam are then discussed, as each river responds to dam
86 closure in a peculiar way due to a multitude of factors (*e.g.* morphological and sedimentological
87 characteristics of the river, hydrological regime and dam features) and interactions between them.
88 For this reason, this interesting case-study represents a good contribution in the challenge of
89 increasing the dataset of analyzed situations which, in turn, represents the best way for deriving
90 ever better general evolutionary-models of impounded rivers.

91

92 **2. Material and methods**

93 *2.1. Study area*

94 The Rapel river basin is located in central Chile (Fig. 1a) drained by an area of 13,766 km² that
95 supports two main economic activities: agriculture and mining (CADE-IDEPE, 2004). The River
96 Rapel receives its name at the confluence of two main tributaries, Tinguiririca and Cachapoal
97 Rivers (Fig. 1b), which bring water from the Andes mountain range contributing with up to 87% of
98 the Rapel River discharge (Benites, 1984). Hydrology and morphology impacts in this basin have
99 been recently identified, and the main pressures are associated to irrigation and river mining taking
100 place in the upper and middle part of the basin (CADE-IDEPE, 2004). Fig.1b shows the Rapel
101 reservoir as a product of the Rapel dam built in the coastal mountain range in the late 60`s, storing
102 water since 1968 and fully operational by 1971 (Balbontin, 2013). It is important to note that the
103 Rapel Dam is the only large dam located in the mountain coastal range, as all the others are
104 distributed along the Andes.

105 The Rapel hydropower plant was initially operated by the state (through the government agency
106 ENDESA), and after privatization is currently operated by ENEL. The effective annual average
107 water discharge is 178 m³/s (CADE-IDEPE, 2004); during high-energy demand scenarios the
108 turbines can supply up to 535 m³/s (ENEL, 2017). The flow outlet is located at the dam's lower
109 portion of the wall, with water discharge following hydropeaking operations (ENDESA, 1972).
110 This reservoir is known by its high sedimentation rates, that between 1968 and 2010 were estimated
111 on 159·10⁶ m³ for 'coarse' sediment and 18·10⁶ m³ for 'fine-grained' sediment (Lecaros, 2011)
112 considering the initial water storage capacity of 697·10⁶ m³.

113

114 2.2. Hydrology alterations

115 Hydrological data prior to dam operation (define here as undisturbed discharge) was available for
116 the period 1940 - 1966. Daily average discharge was measured at the *Puente Rapel* gauging station
117 corresponding to the study site most upstream cross-section (Rapel Bridge, Fig. 1c). The record at
118 this station stopped right after the dam became operational, and a short term sample of current
119 discharge (define here as disturbed discharge) was obtained by installing a pressure sensor at the
120 same upstream cross section (levellogger Solinst, LIM; Fig. 1c), and by calibrating a stage
121 discharge relationship using Acoustic Doppler Current Profiler discharge measurements under
122 different flow scenarios. This allowed for the development of a daily average discharge record for
123 the period between May 2016 and March 2018. The measured daily average water discharge was
124 correlated with the daily average energy produced by the Rapel hydropower plant (following Ibarra
125 *et al.*, 2015). A second order polynomial regression resulted from this correlation defined as:
126 $Q_d = 5 \cdot 10^{-7} \cdot P^2 + 0.0325 \cdot P + 5.9132$ with a correlation coefficient of $r^2 = 0.96$; where Q_d is daily
127 discharge in m³/s and P is mean daily power produced in MWh. This relationship allowed for the
128 reconstruction of an average daily discharge time series for the period of 2000 to 2016, hereby
129 denoted 'disturbed discharge'. Although this approach is subject to limitations during flood events

130 due to the portion of discharge flowing through the spillways (not accounted as produced energy), it
131 is considered appropriate based on ENDESA (2015) indicating this scenario as rare (*i.e.* seldom)
132 during the time period for which discharge is approximated by the polynomial regression. A
133 comparison between the undisturbed and disturbed discharge for a hydrological year shows that the
134 hydrological flow regime in the Rapel River is strongly affected by dam operation (Fig. 2).

135

136 2.3. Assessment of the hydrological and morphological quality

137 The Rapel River downstream the dam is immediately confined by the coastal mountain range for 24
138 km, downstream of which channel expansion allows for channel lateral migration; and this defines
139 the upstream boundary for our investigation along the lower 19 km of the river (Fig. 1c). This area
140 of the Rapel receives only minor tributaries, and features an average longitudinal slope of 0.1% and
141 a bed dominated by gravel particles downstream to the estuarine area corresponding to the last 4 km
142 before the river reaches the Pacific Ocean, and where the substrate was identified as sand-bedded.

143 Several indicators and procedures available to assess the hydromorphological quality of rivers are
144 used, most of which were developed in Europe as a response to the Water Framework Directive (*i.e.*
145 Syrah-CE of Chandesris *et al.*, 2009 in France; IHG of Ollero *et al.* 2011 in Spain; and MQI of
146 Rinaldi *et al.*, 2013 in Italy).

147 In this study we assessed the hydrological quality of the Rapel River using 23 indexes chosen from
148 the original formulation of the Indicators of Hydrological Alteration in RIVERs (hereon IAHRIS)
149 developed by Martinez (2006), Martinez and Fernandez (2010), and Fernandez *et al.* (2012). These
150 indexes are calculated from the record of daily average discharge (Q_d) and involve an extended
151 analysis at different time scales. The IAHRIS classifies the discharge frequencies from a flow
152 duration curve in three different classes: a) $Q_d > Q_{5\%}$ as floods (eight indexes are used); $Q_d < Q_{5\%}$
153 and $Q_d > Q_{95\%}$ as ordinary flow values (nine indexes are used) and; $Q_d < Q_{95\%}$ as droughts (six
154 indexes are used). Thus the IAHRIS output is a classification of the global and partial hydrological
155 status in five classes: high, good, moderate, poor, and bad, which are referred to a basal or reference

156 status. In this study, the reference status is considered to the hydrological condition before dam
157 construction (*i.e.* the aforementioned undisturbed discharge).

158 The morphological quality was assessed using the Morphological Quality Index (MQI) developed
159 by Rinaldi *et al.* (2013; 2016). The calculation of MQI was made using 21 of the 28 original
160 indicators. The MQI rates the overall hydromorphological quality with values ranging from zero
161 (highly disturbed) to one (without alteration). These are classified into five categories: Very Poor
162 for $MQI < 0.2$; Poor for $0.2 < MQI < 0.5$; Moderate for $0.5 < MQI < 0.7$; Good for $0.7 < MQI < 0.85$;
163 and Very Good for $MQI > 0.85$. The morphological condition used as the reference status was also
164 used for the IAHRIS.

165 An analysis was carried out to determine whether hydropeaking has influenced the estuarine area as
166 a land-costal transitional zone. The water levels and electrical conductivity were surveyed through
167 the Level-Temperature-Conductivity sensors LTC1 and LTC2 (Fig.1c), discharge estimated from
168 the LIM station readings, and tide levels obtained from the San Antonio tide gauge located
169 approximately 40 km from the Rapel River outlet.

170

171 2.4. Bed sediment size

172 Samples of surface and subsurface bed sediments were taken at 28 locations along the river study
173 reach (20 for surface analysis, and 8 considered both surface and subsurface samples). The selected
174 locations for sampling were chosen in point bars and within the active channel (Figure 1c). Surface
175 samples were taken by separating the surface layer with fast-drying spray paint, using the area-by-
176 number method (Vericat *et al.*, 2006). The surface and subsurface samples were compared
177 volume-by-weight, treating the collected surface material according to Bunte and Abt (2001) as
178 originally proposed by Kellerhals and Bray (1971). Subsequently, the size curve for each sample
179 was constructed and the percentiles (16th, 50th, and 84th) calculated, to finally estimate the
180 armoring index as (D_s/D_{ss}) .

181

182 2.5. Topography and aerial photos

183 Several surveying campaigns were realized between 2016 and 2017. First a polygonal was
184 established based on seven reference points that were spatially distributed in order to be used as
185 base stations for surveying the floodplain, banks and river bathymetry along the study reach. Three
186 RTK-GPS Receivers were used, always linked to one of the predefined polygonal base stations. The
187 vertical accuracy tolerances were set to $\pm 15\text{mm} + 1\text{ppm}$ for Real-time Kinematic Position (Spectra
188 precision, Epoch 50 and 80). Bathymetry was surveyed directly with the receivers on wadable
189 areas, and a synchronized GPS-Echosounder configuration covered the deeper portions of the river
190 (Hi-Target, HD-380). The combination of topography and bathymetry data allowed the generation
191 of a terrain approximation from which the 1D hydraulic geometric model was created. Bankfull
192 field observations allowed identifying the corresponding water surface elevations, and the related
193 discharges were back calculated through the assembled 1D hydraulic model.

194 One geographic map (1924) and five aerial photos (1955, 1978, 1991, 2004, and 2015) from the
195 Chilean Military Geographical Institute (IGM) and the Chilean Aerial Photogrammetric Service
196 (SAF) were georeferenced with an associated Total Root Mean Square Error (RMSE) of 1.4; 7.3;
197 5.3; 6.2; 3.1, and 2.8 m, respectively. These six images were used for a) observing changes before
198 and after planform analyses, b) estimating changes in channel width, c) defining channel
199 confinement, d) characterizing lateral migration of the river, e) defining braided rate, and f)
200 calculating sinuosity. The river was divided in ten river portions (Fig. 1c). The lateral mobility of
201 the banks along the river portions was calculated from 1955 to 2015 using the Winterbottom (2000)
202 Method, and following the approach defined by Dewan *et al.* (2017). Sinuosity corresponds to the
203 ratio between the length of the river following the thalweg and the distance in a straight line
204 between the upstream and downstream end of the reach (Dey, 2014). The braiding index was
205 calculated as twice the total length of the islands and bars divided by the mid channel river length
206 (Brice, 1960; Pradhan *et al.*, 2018). Cross sections were defined every 200 m along the river profile,

207 and the channel banks displacements were digitalized from pairs of sequential time georeferenced
208 photos.

209

210 *2.6 Channel-forming discharge and hydraulic modeling*

211 The channel-forming discharge is a geomorphological concept (from Ignis, 1947 to Blom *et al.*,
212 2017) often defined as the steady state discharge able to represent the geomorphological shaping
213 effects of a complex hydrological flow regime. As such, it is clearly a simplification of complex
214 fluvial processes (Doyle *et al.*, 2007) but can still be useful to assess channel changes in regulated
215 rivers (*e.g.* Surian, 1999). Among other methods, the channel-forming discharge can be obtained by
216 three different approaches (Biedenharn *et al.*, 2008): i) identifying the bankfull stage (Yan *et al.*,
217 2017) based on cross sectional geometry associated with water discharge with field empirical
218 observations; ii) calculating water discharge corresponding to a certain recurrence interval; and iii)
219 calculating the effective or dominant water discharge (*i.e.* Wolman and Miller's method, 1960). In
220 this study the first approach was used and applied for both undisturbed and disturbed hydrological
221 regimes.

222 Thus, and to avoid the influence of the tide, nine cross sections located in the upper 10 km of the
223 study reach were selected. This identification was based on a combination of channel characteristic,
224 through field observation (visual inspection) to determine floodplain surface elevations, delineation
225 of the limit of riparian vegetation (using aerial photos), and detection of locations where the
226 steepness of the banks change (identified through the topography of the cross sections). To associate
227 bankfull stage with water discharge, a 1D hydraulic model in HEC-RAS was built and calibrated
228 (Palma, 2017). The model was calibrated using the water surface elevations obtained from the
229 Water-Level sensors at different discharges (Fig 1c). The Manning's roughness parameter
230 magnitude was modified to match the observed and calculated data, and the calibrated model was
231 used to obtain the bankfull stage at each scenario (*i.e.* discharge).

232

233 3. Results

234 3.1. Effects of the dam closure on the hydromorphology of the Rapel River

235 The operational rules of the Rapel Dam severely affected the flow regime of the river in terms of
236 habitual flow, floods, and droughts (Table 1). The magnitude of annual volumes (M1), variability of
237 annual volumes (V1), and maximum (E1) and minimum (E2) indexes for the habitual flow
238 condition are classified as high quality. On the contrary, for monthly discharges (magnitude and
239 variability of the volumes), indexes M2 and V3 are classified as poor quality. This suggests that,
240 even if the dam does not disturb the annual water volumes, the monthly volumes are severely
241 affected. Using the criterion of water turnover rate in the reservoir defined as the ratio of reservoir
242 capacity -CAP to the mean annual runoff - MAR (see Auel *et al.*, 2016; Sumi *et al.*, 2017), Rapel
243 rates 0.12, and is classified as a medium CAP/MAR. This means that it does not trap large water
244 volumes (at the annual scale). The duration and seasonality of floods (indexes IHA13 and IHA14)
245 are not disturbed by the dam operation (high quality). However, the magnitude and variability of
246 large floods are clearly affected (indexes IHA7 and IHA11 as poor quality). Additionally, the dam's
247 effects on floods are particularly sensible for the variability of ordinary floods (index IHA12
248 classified as bad quality). The variability of the ordinary floods is classified as bad due to the
249 hydropeaking type of operation (Figure 2a), increasing the frequency of ordinary floods. In the case
250 of droughts, dam effects are quite strong, as revealed by indexes IHA15 to IHA19. It is important to
251 note that the only index that shows a good quality is IHA21 (drought seasonality). The flow
252 duration curve (Figure 2b) shows the effects on $Q_d > Q_{95\%}$ (low discharges), where the differences of
253 the discharge magnitudes for the same percentile is largest for the rest of the discharge time series.
254 Drought conditions (base flows) have been strongly changed, with likely important ecological
255 consequences on the aquatic and riparian habitats (Bunn and Arthington, 2002; Pilotto *et al.*, 2018).
256 With reference to global indexes (Table 2), the global indicator (IAG) results in a moderate
257 hydrological status, with a lower value for droughts (IAG_D was classified as poor).

258

259 For the calculation of the Morphological Quality Index (MQI), nine river portions were considered
260 (R1-R9; Fig. 1c). The water level records from both sensors, LTC1 and LTC2 (Fig. 3), show a
261 sinusoidal behavior as expected in an estuarine environment (MacCready and Gyer, 2010; Rojas *et*
262 *al.*, 2018). Discharge and water level signals are not in synchrony, reflecting the importance of the
263 downstream tide control in the lower portion of the river, thus this river portion was excluded from
264 the analysis. Confinement of the river bed was defined for each river portion and with the main
265 geomorphological units characterized and identified. Altogether 21 sub-indicators were calculated
266 for each year with available aerial images for the period of 1924 to 2015 (Table 3).

267 The values of the morphological quality for the first period 1924-1955 are defined as high for the
268 nine sub-sections (*ca.* 0.97-0.90) and the morphological quality was classified as “Very Good”. The
269 indicator decreased substantially after the construction of the reservoir (during 1956-1968), where
270 values of MQI are in the range 0.80-0.71. Indeed, since 1978 the morphological quality decreased
271 in one category and classified as “Good”. This change in the hydromorphological quality is mainly
272 explained by the disturbance in the upstream flow and the alteration of upstream factors connected
273 with sediments discharges (A1 and A2 according the Rinaldi *et al.*, 2016). Overall, although there
274 was a reduction in the morphological quality due to the dam operation, the river remained in an
275 acceptable state according to the objectives of the EU Water Framework Directive (Voulvoulis *et*
276 *al.*, 2017). This alteration was maintained in subsequent years showing a stable reduction until
277 2015, when the MQI was “Moderate” level at R1.

278

279 3.2. Bed sediments

280 The sediment distribution along the lower Rapel River does not show a general tendency. Sediment
281 size its not observed to decrease downstream (Fig. 4) as expected in natural rivers (Sternberg, 1874,
282 Parker, 1991). Estimated trends would suggest that finer sediment (*i.e.* d_{16s}) slightly decreases in
283 size downstream, whereas median sizes (*i.e.* d_{50s}) remained unchanged and coarser material (*i.e.*
284 d_{84s}) indicates a mild increment in size. This finding corresponds with the stable armour layer river-

285 bed that was found downstream the Dam. The Armour Ratio Index (ARI > 1.0) indicates that the
286 bed is armoured along the entire study reach, especially at C3 and C5 (Table 4). Percentile 90 is
287 shown in Table 5, and the associated transformation required for comparison is listed in the
288 Appendix I.

289

290 3.3. Channel-forming discharge

291 Results are graphically presented in Figure 5 and the magnitudes for bankfull stage, bankfull
292 discharge, and its recurrence interval for the post-dam condition are indicated in Table 6. The
293 average bankfull discharge and associated return period were 482 m³/s and 1.07 years, respectively.

294

295 3.4. Planform

296 The evolution of river planform from the last 90 years is presented through the analysis of four
297 morphological characteristics: a) lateral movement dynamic, b) average width, c) sinuosity, and d)
298 braiding.

299 3.4.1. Dynamics of lateral migration

300 The lateral changes of the Rapel River were evaluated using a set of six plan view images from
301 1924 to 2015, the same years used in the determination of the MQI. The active channel (*i.e.* main
302 channel, secondary channels and bars) and river islands evolution are shown in Figure 6. The
303 temporal sequence is built up using temporal polygons that represent the dynamic and adjustments
304 for each morphological unit during the five studied periods.

305 The first polygon corresponds the 1924-1955 period that represents the changes in river shape for a
306 pre-dam condition. For this first undisturbed period, the bed shows to be highly mobile in the lateral
307 direction along eight of the nine river portions (*i.e.* R2 to R9). The next polygon (period 1955-1978)
308 indicates lateral mobility throughout large portions of segments R2, R3, R7, R8, and R9 but with
309 the loss of secondary channels suggesting an impact due to the estimated decrease of high flows and
310 observed vegetation encroachment in R3. During the following period (1978-1991), additional

311 straight and regular channels were formed, with an appreciable decrease of channel sinuosity (R7).
312 For the last two periods (1991-2004 and 2004-2015) the overall trend is of a reduced lateral
313 mobility, a disappearance of secondary channels (R2), an increase of stable channels, and channel
314 narrowing. Consistent changes were observed since 1995 within the river portions R2, R3, R7, R8,
315 and R9 in terms of lateral mobility, which are highlighted in Figure 6b showing the main direction
316 that those changes registered on the aerial images. A different perspective for these channel
317 migrations is provided by Figure 7 where the average rate of displacement for both river banks is
318 considered.

319 3.4.2. Average channel width

320 The values of average channel width varying in space and time are shown in Figures 8a and 8b,
321 respectively. Between 2004 and 2015 there is a significant decreased in river average width that is
322 difficult to associated to a particular physical trend, with both increments and decreases, around a
323 rather constant median value (115-145 m) and the interquartile ranges (*i.e.* 105-155 m).
324 Additionally, from 1991 the variability of river width decreased, suggesting that the banks became
325 more stable. The range of maximum and minimum values of width increased in the downstream
326 direction, although the median and average values do not show a clear trend (Figure 8a). The only
327 clear evidence is that there is an increase of average channel width starting from R7, which can
328 likely be explained by the natural lesser confinement in the downstream direction.

329 3.4.3. Sinuosity and braiding index

330 River portions R1, R4, and R6 have both a very low sinuosity index and a negligible variation (Fig.
331 9a), and these are considered stable and with a natural- high confinement condition. R2 and R7 have
332 a larger variation in sinuosity that is associated with the greater amplitude that the floodplain
333 presents on these areas. Figure 10 indicates that the arithmetic mean and the maximum values of
334 sinuosity (*S*) remain relatively constant in the time; it also shows that there is a large difference
335 between the third quartile (Q3) and the maximum values of sinuosity, and a sustained increase in
336 the median approaching progressively to the arithmetic mean.

337 The braiding index (B) did not vary much in the more stable and confined river portions R1, R4,
338 and R6 (Fig. 10), however, there is a downstream trend showing a diminishing braiding index
339 within the others sectors of the study reach. The reach-braiding index reaches its maximum average
340 value in 1955, the dam was constructed in 1968 and the index shows a consistent decrease up to
341 2004 presenting a small increment for 2015.

342 River portion R2 changed planform-wise more between 1924-2015, transforming from a braided
343 channel with longitudinal and transverse bars to a unique meandering channel with point-bars and a
344 broad floodplain.

345 A summary of the analyzed morphological characteristics is shown in the previous sections
346 (sinuosity, width and braiding index) and theirs changes in the time for each the river portions are
347 presented in Table 7.

348

349 **4. Discussion and conclusions**

350 In this investigation, a quantitative analysis of the morphodynamic evolution of the lower Rapel
351 River downstream of a reservoir in central Chile was carried out. The changes detected in the river -
352 given that there are no other significant hydrological and sediment sources of disturbances from
353 upstream- are assumed to be caused by dam operation. In addition, downstream the dam there are
354 no major tributaries that provide water and sediment that cannot "compensate" these alterations.

355 The application of IAHRIS shows that the hydrological status of the 19 km-long Rapel River study
356 reach is classified as "Moderate", and this is mainly due to the annual alteration of the water
357 discharge defined as habitual. Thus, discharges that have not significantly changed from the original
358 regime since the reservoir has a monthly flow regulation capacity. In contrast, at the monthly and
359 daily scale the effects of dam operations become evident. The magnitude and variability of the
360 monthly and daily flows have been strongly altered and were overall classified as "Poor". The
361 former is explained by the virtual disappearance of floods, the elimination of extreme low flows,
362 and a change in the frequency distribution of these extreme events throughout the year. For

363 example, the maximum average discharge has decreased by 62% from 1660 m³/s to 629 m³/s; its
364 coefficient of variation was modified from 54% to 19%. Therefore, in the current regime (*i.e.*
365 disturbed), there are fewer possibilities for large floods to perform morphological work.
366 Additionally, in selected scenarios, the hydropeaking operation came to disturb the tidal patterns in
367 the Rapel estuary, precluding mixing and natural wave propagation.

368 In relation to the application of MQI, results show that there was a change in the morphological
369 quality from "Very Good" to "Good". When estimating this index it was not possible to include the
370 cross sectional changes since there is no river topographical information prior to dam construction.

371 After dam closure, total sediment storage in the reservoir was estimated to be 177 10⁶ m³ (Lecaros,
372 2011) including the entire grain size spectrum. Although there is no information on sediment
373 transport conditions before the dam construction, the presence of a well-developed static armour
374 layer suggests a reduction of sediment supply from upstream. In accordance with the above and in
375 addition to the fact that there is only availability of coarse material (gravel) in the bed (without the
376 possibility of significant lateral sedimentary contributions), considerable incision was expected
377 however not observed in the field. For example, the riverbed around the six elliptical bridge piers
378 did not show any signs of degradation. The bridge bed levels that are shown in the originals
379 blueprints from 1952 remain with no significant change today that could be interpreted as incision.

380 Indeed, the reduction of sediment input from upstream can result in river incision and river
381 narrowing. River incision as a result of damming and mining has been widely reported in a variety
382 of climatic and geographical contexts (*e.g.* James, 1991; Kondolf, 1997; Brierley *et al.*, 2008), and
383 there are several worldwide examples of vertical incision due to sediment deficit (*e.g.*, Rovira *et al.*
384 2005; Surian *et al.* 2009; Wyzga *et al.*, 2016; Collins *et al.*, 2017), including in the Maipo river in
385 Chile, where unmanaged in-channel gravel extraction caused considerable river narrowing and
386 vertical incision (Arróspide *et al.*, 2018). A modest bed incision on most gravel-bed rivers below
387 dams is generally due to the coarsening and armoring of surface sediments, which limits bed
388 incision to values much smaller than for the finer-grained channels (Grant, 2012). The

389 granulometric analysis determined that the bed is armored at different levels within the domain and
390 that the size of bed materials does not vary along the channel. Williams and Wolman (1984)
391 mention that in some regulated rivers the size distribution of the bed material for long distances in
392 the downstream direction can be nearly constant (as in the Rapel case), but in other cases can vary
393 considerably. In general, sediment supply downstream of dams that affects material bed size is
394 controlled by tributary contributions and the valley geology (*e.g.* supply from landslides, rockfalls,
395 and river banks). This river reach does not have important tributaries, but there are vestiges of
396 several sources of sediments from old landslides and riverbank erosion. The sediment supply from
397 these sources is composed by fine sediments (Fig. 11), characteristic of the coastal mountain range
398 (Mathieu *et al.*, 2007). These fine sediments are transported by suspension to the estuarine zone and
399 ocean, hence this sediment supply is not relevant in terms of bed sediment. Static armour layers
400 have been observed when the delivery of bed material to a given reach is lower than the river's
401 capacity to transport that material (*e.g.* Dietrich *et al.*, 1989; Hassan and Church, 2000), which
402 occurs in the presence of dams with no other sources of supply. Indeed, armoring as a result of
403 limited sediment supply conditions is widely reported in the literature (Surian *et al.* 2009; Wyzga *et*
404 *al.*, 2012) as a mechanism that can re-establish the dynamic equilibrium of rivers. In extreme cases,
405 alluvial rivers also incise until the profile eventually reaches bedrock (*e.g.* Hajdukiewicz *et al.*,
406 2017). In the Rapel River, an armour layer was formed as consequence of selective transport, due to
407 the decrease in the magnitude of peak water discharge and upstream sediment supply. This explains
408 the uniform distribution of the surface sediments size downstream.

409 In the analysis of the temporal dynamics of the planform, two periods of change have been
410 identified. The greatest lateral mobility occurred between 1955 and 1991 (*i.e.* first period), with loss
411 of secondary river branches and with a tendency towards the generation of straighter and regular
412 river portions. A second period is identified between 1991 and 2015, and it represents a more stable
413 channel condition with less lateral mobility and with adjustments only within the path established in
414 the previous period. The width, sinuosity and braiding changed at different rates along the study

415 reach. The planform pattern was characterized by a slight downstream increment in width but
416 almost no change in sinuosity. Braiding decreased downstream, which is considered to be
417 associated with a new dynamic equilibrium from downstream (*e.g.* Tranmer *et al.*, 2018).

418 Planform changes were particularly intense during the initial 1955-1991 period. However, the
419 magnitude of the morphological response for the entire 1955-2015 period was not as high as
420 expected. For example, when comparing the average, entire-reach pre dam) and post dam values,
421 the percentage decrease in width, sinuosity, and braided index was 29%, 1%, and 50%, respectively.

422 The section most sensitive to changes in flow and sediment was R2, where the bed is currently
423 narrower and less mobile, with a single and fixed channel.

424 The temporal dynamics are characterized by changes that were manifested almost immediately after
425 dam construction and operation, with several case studies supporting this evidence (Williams and
426 Wolman, 1984; Petts, 1984; Church, 1995; Petts and Gurnell, 2013). The changes that occur during
427 the first decades after dam construction correspond to a characteristic response of alluvial rivers,
428 with high sediment loads and with a rapidly growth of woody vegetation (Petts and Gurnell, 2013).

429 In the Rapel River, changes in the geometry and distribution of sediment grain size in the bed seem
430 to have stabilized. Measurements of the bedload transport with a Helley Smith during floods
431 (hydropeaking) for discharges from 220 to 510 m³/s (the average bankfull discharge was 482 m³/s,
432 see Table 6), showed that the transport is minimal and only mobilized a small fraction of the
433 diameters (1.68 - 4.76 mm). This could be associated with a current fixed bed given the static
434 armour layer, suggesting that the Rapel River downstream the dam has already reached its new
435 post-dam quasi-equilibrium state (Petts and Gurnell, 2005). Consequently, if the current
436 hydrological and sedimentary conditions do not undergo significant modifications (they remain
437 under the geomorphic thresholds, according to Church 2002, Schumm, 1979; Schumm 1977), the
438 morphological characteristics of the Rapel river should not have significant changes. In this sense, a
439 short reaction time was observed and based in Petts and Gurnell (2005), the trajectory of the river
440 evolution is at the end of the relaxation time. In terms of Gregory's (2006) theoretical framework,

441 the Rapel fluvial system is not significantly sensitive to the alterations caused by the dam on
442 hydrology regime and sediment dynamic.

443 One limitation in this study was is that no cross sectional data for the pre-dam period were
444 available, making the interpretation of the results more difficult. No stream gauges were available at
445 the study reach for the post-dam period, and the discharges time series were obtained by an indirect
446 method, which may have underestimated high flows.

447 The hydromorphological effects of dams are site-specific and depend also on the type of operation
448 of the reservoir. The morphological response of rivers to dams vary depending on location,
449 environment, substrate, water release, and sediment load (Brandt, 2000). According to Grant (2012;
450 p.177): “Every river is different, every dam is unique, and understanding the impact of the latter on
451 the former will always have an element of art to complemented the science”. Thus, each evaluation
452 delivers somewhat different results. We verify that the construction and operation of the Rapel Dam
453 disrupted the continuity of flow and sediment transport downstream, affecting the morphology of
454 the channels and its dynamics. The hydromorphological consequences of altering these flows have
455 been smaller than expected, possibly in part because of the small longitudinal slope of the river.
456 Although these impacts were not particularly severe, they were sufficient to ensure that the river
457 does not longer holds a “Very Good” hydromorphological quality status, meaning that its behavior
458 does not correspond to a natural fluvial system.

459

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756

FIGURE CAPTIONS

757 **Figure 1.** (a) Location of the Rapel Basin along the Chilean geographic context; (b) the Rapel River
758 Basin and Rapel Dam location also indicate the complete reach under study; and (c) river study
759 reach.

760 **Figures 2.** Comparison between (a) the daily average water discharges for undisturbed (1966) and
761 disturbed conditions (2016), and (b) comparison between the daily flow duration curves for
762 undisturbed (1940-1966) and disturbed time series (2000-2016).

763 **Figure 3.** Records of discharge at LIM station and water levels at TLC1 and TLC2 stations

764 **Figure 4.** Grain size distribution downstream trends for d_{16} , d_{50} and d_{84} .

765 **Figure 5.** Bankfull stages (XS) and 1D hydraulic model cross sections. XSs for the bankfull stages
766 are presented in the upper right graphs, where L and R indicate the left and the right banks,
767 respectively. The results for the 1D hydraulic model are presented in terms of water depth for the
768 average bankfull discharge ($482 \text{ m}^3/\text{s}$).

769 **Figure 6.** (a) Planform evolution of the Rapel River between 1924 and 2015, and (b) a five detail
770 graphics for those places where the lateral movement was significant.

771 **Figure 7.** Average rates of lateral displacement for the left and the right riverbanks.

772 **Figure 8.** Average river widths variations in space (a) and time (b). In the box-and-whiskers plots
773 the extreme values are the minimum and maximum widths (whiskers), the extremes values of the

774 box are lower quartile (Q1) and upper quartile (Q3), the box division line represent the median
775 value (Q2), whereas the point marker corresponds to the mean value.

776 **Figure 9.** Spatial (a) and temporal (b) variations of average sinuosity index.

777 **Figure 10.** Spatial (a) and temporal (b) variations of average braiding index.

778 **Figure 11.** Typical geologic context in the mountain coastal range, with limited coarse sediments
779 sources (this photo correspond to the river portion R3 for Fig.1c).

780

781

TABLES

782 **Table 1.** Results for IAHRIS method, partial index

783 **Table 2.** Results for IAHRIS method, global index

784 **Table 3.** Results for MQI method per year, river portion, and a global quality index

785 **Table 4.** Armour Ratio Index (ARI)

786 **Table 5.** d_{90} for surface and sub-surface samplers

787 **Table 6.** Bankfull stage, discharges associated and recurrence interval

788 **Table 7.** Spatial and temporal morphological configuration in terms of observed sinuosity (S),
789 average width (W) and braiding index (B) separated by river portion.

790

791

APPENDIX I.

792 **Table I.** Required transformation to compared surface with subsurface samples.

793

Sample	Surface	Sub-surface
1	Conversion of area-by-weight to volume-by-weight (conversion factor 1/D)	Volume-by-weight
2	Conversion of area-by-weight to volume-by-weight (conversion factor 1/D)	Volume-by-weight
3	Volume-by-weight	Volume-by-weight
4	Conversion of area-by-weight to volume-by-weight (conversion factor 1/D)	Volume-by-weight
5	Conversion of area-by-weight to volume-by-weight (conversion factor 1/D)	Volume-by-weight
6	Conversion of area-by-weight to volume-by-weight (conversion factor 1/D)	Volume-by-weight
7	Volume-by-weight	Volume-by-weight
8	Volume-by-weight	Volume-by-weight

	IAHRIS Codes	Index name	Index value	Status Classification
Habitual flow values	M1	Magnitude of annual volumes	0.85	High
	M2	Magnitude of monthly volumes	0.33	Poor
	M3	Magnitude of volume for each month	0.33	Poor
	V1	Variability of annual volumes	0.93	High
	V2	Variability of monthly volumes	0.37	Poor
	V3	Variability of volume for each month	0.37	Poor
	V4	Extreme variability index	0.28	Poor
	E1	Maximum seasonality	0.83	High
	E2	Minimum seasonality	1.00	High
Floods	IAH7	Magnitude of large floods	0.38	Poor
	IHA8	Magnitude of bankfull discharges	0.55	Moderate
	IHA9	Magnitude of connectivity discharges	0.31	Poor
	IHA10	Magnitude of flushing discharges	0.77	Good
	IHA11	Variability of large floods	0.35	Poor
	IHA12	Variability of ordinary floods	0.07	Bad
	IHA13	Flood duration	0.93	High
	IHA14	Flood seasonality	0.90	High
Droughts	IHA15	Magnitude of extreme drought	0.17	Bad
	IHA16	Magnitude of ordinary drought	0.21	Poor
	IHA17	Variability of extreme drought	0.35	Poor
	IHA18	Variability of ordinary drought	0.00	Bad
	IHA19	Drought duration	0.54	Poor
	IHA21	Drought seasonality	0.74	good

IAHRIS Codes	Index name	Global value	Status Classification
IAG _H	Global Habitual flow Index	0.34	Moderate
IAG _F	Global Floods Index	0.27	Moderate
IAG _D	Global Droughts Index	0.10	Poor
IAG	Global Alteration Index	0.25	Moderate

Year	River segments									Global quality
	R1	R2	R3	R4	R5	R6	R7	R8	R9	
1924	VG(0.92)	VG(0.95)	VG(0.93)	VG(0.92)	VG(0.93)	VG(0.92)	VG(0.97)	VG(0.92)	VG(0.93)	VG(0.93)
1955	VG(0.91)	VG(0.92)	VG(0.91)	VG(0.95)	VG(0.93)	VG(0.90)	VG(0.95)	VG(0.90)	VG(0.93)	VG(0.92)
1978	G(0.76)	G(0.76)	G(0.71)	G(0.80)	G(0.78)	G(0.80)	G(0.78)	G(0.78)	G(0.73)	G(0.77)
1991	G(0.76)	G(0.73)	G(0.81)	G(0.78)	G(0.81)	G(0.80)	G(0.79)	G(0.74)	G(0.78)	G(0.78)
2004	G(0.73)	G(0.78)	G(0.78)	G(0.75)	G(0.76)	G(0.78)	G(0.82)	G(0.74)	G(0.78)	G(0.77)
2015	M(0.68)	G(0.76)	G(0.73)	G(0.72)	G(0.73)	G(0.72)	G(0.77)	G(0.70)	G(0.76)	G(0.73)

VG: Very Good quality, G: Good quality, and M: Moderate quality.

	d_{50} surface	d_{50} sub-surface	ARI
C1	23.2	20.3	1.1
C2	20.8	12.5	1.7
C3	41.7	16.3	2.6
C4	13.8	11.7	1.2
C5	35.3	13.8	2.6
C6	22.3	14.6	1.5
C7	37.4	20.1	1.9
C8	23.7	13.0	1.8

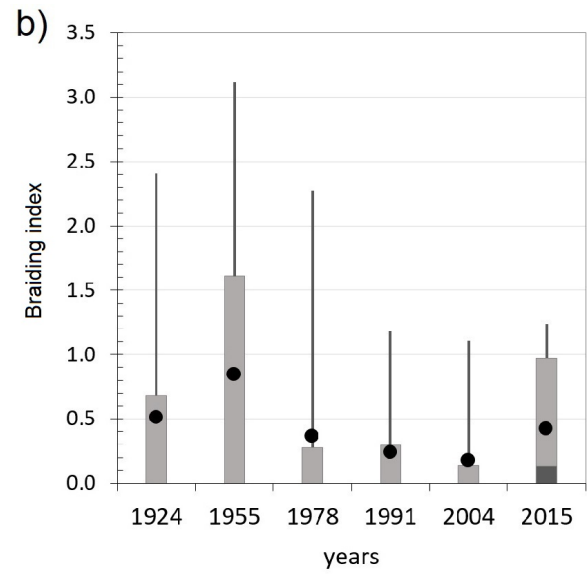
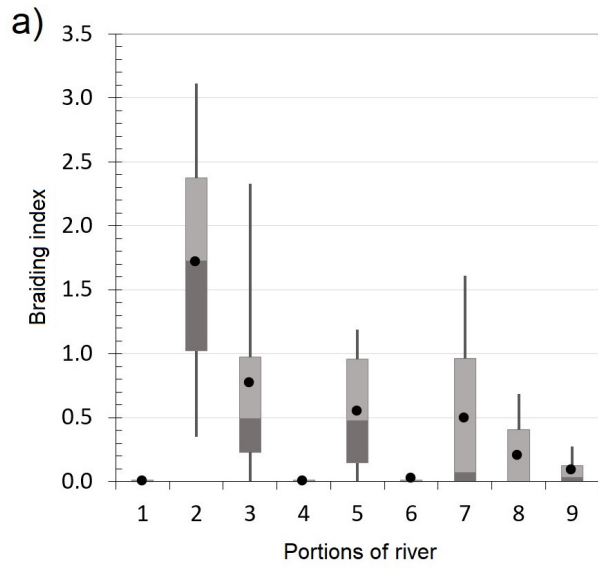
D90	1	2	3	4	5	6	7	8
Surface	55.89	34.73	57.36	46.70	58.73	43.90	69.00	53.15
Sub-surface	47.69	24.22	24.90	53.42	29.62	30.55	47.61	30.25

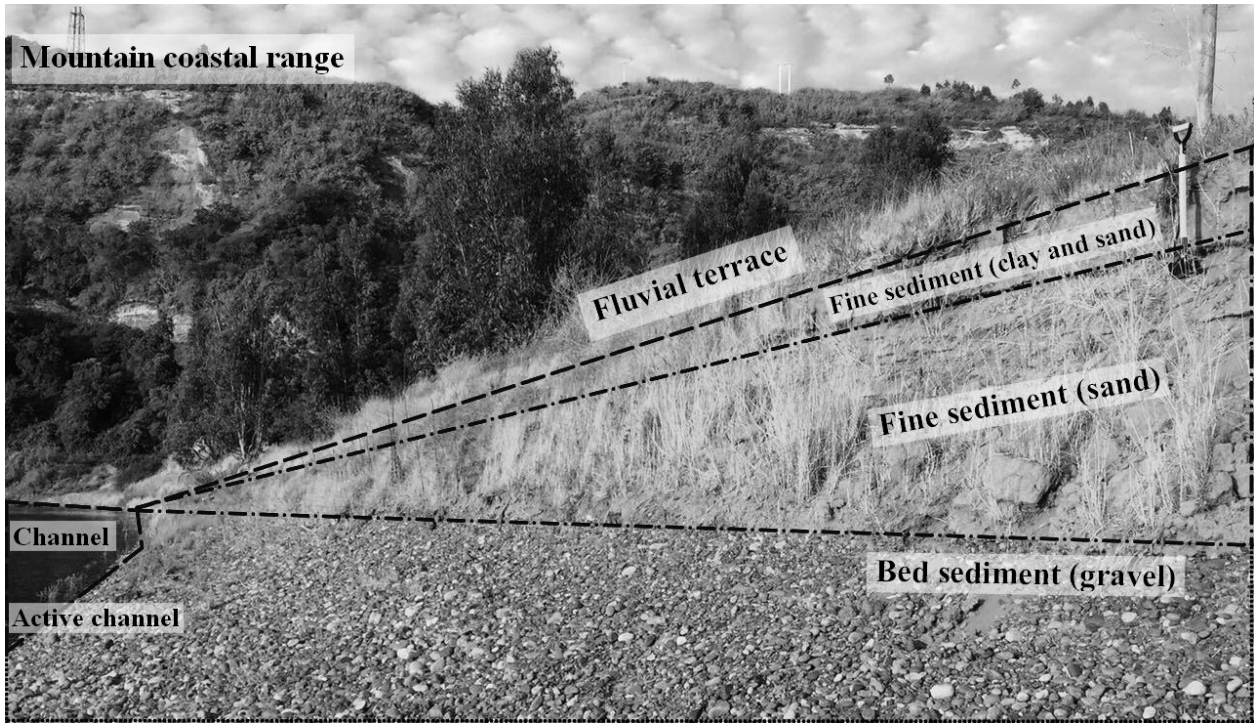
XS	Criteria for bankfull stage identification				Results		
	River Bank	Topography	Aerial photos	Field observation	Bankfull stage (m)	Bankfull discharge (m^3s^{-1})	Recurrence interval (yr)
1	L	N	N	N	7.17	417	1.02
	R	N	Y	Y			
2	L	Y	Y	Y	6.27	322	1.00
	R	N	Y	Y			
3	L	Y	Y	N	5.50	400	1.01
	R	N	Y	N			
4	L	N	Y	Y	5.15	469	1.05
	R	N	Y	Y			
5	L	Y	Y	N	4.44	413	1.02
	R	N	Y	N			
6	L	Y	N	Y	3.24	470	1.05
	R	N	N	N			
7	L	N	N	N	2.50	579	1.31
	R	Y	Y	Y			
8	L	Y	Y	N	2.89	598	1.41
	R	Y	Y	N			
9	L	Y	Y	N	2.60	662	1.99
	R	N	N	N			

XS: control cross section for bankfull stage identification; L: left bank; R: right bank; N: It was not possible to identify the bankfull stage with this criteria; Y: it was possible to identify the bankfull station with this criteria

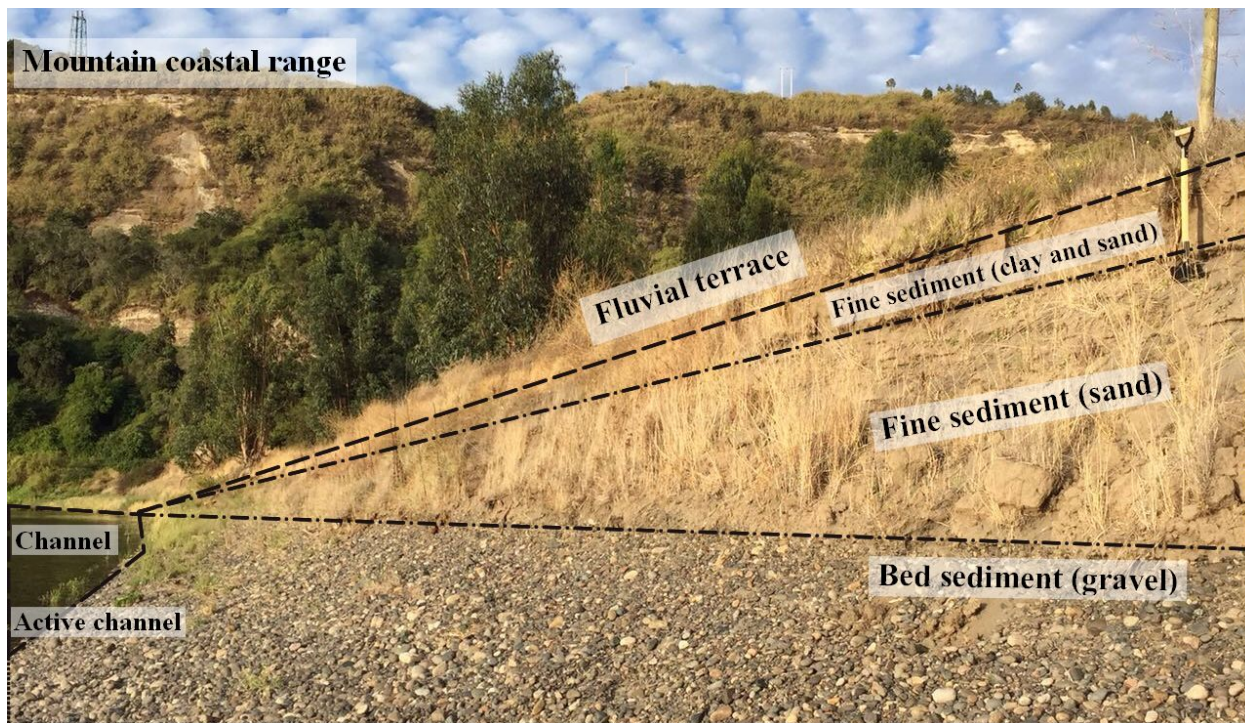
Portions of river	1924			1955			1978			1991			2004			2015		
	S	W	B	S	W	B	S	W	B	S	W	B	S	W	B	S	W	B
R1	1,0	141,8	0,0	1,0	139,8	0,0	1,0	144,0	0,0	1,0	159,5	0,0	1,0	157,3	0,0	1,0	85,3	0,0
R2	1,2	142,9	2,4	1,6	102,4	3,1	1,4	132,3	2,3	1,5	133,5	1,2	1,6	131,0	0,4	1,6	86,7	1,0
R3	2,3	99,8	1,1	2,2	132,9	2,3	2,1	122,0	0,7	2,2	105,3	0,3	2,2	118,0	0,0	2,2	74,9	0,2
R4	1,0	123,3	0,0	1,0	106,0	0,0	1,0	107,0	0,0	1,0	124,8	0,0	1,1	160,0	0,0	1,0	85,2	0,0
R5	1,3	128,8	0,4	1,2	92,5	0,0	1,3	121,2	0,0	1,2	118,0	0,5	1,2	136,8	1,1	1,3	65,1	1,2
R6	1,0	197,0	0,0	1,1	113,0	0,0	1,0	120,7	0,0	1,0	105,0	0,0	1,1	115,3	0,0	1,0	61,8	0,1
R7	1,1	140,5	0,0	1,5	72,3	1,6	1,5	126,0	0,0	1,2	100,7	0,0	1,2	114,5	0,1	1,3	60,7	1,2
R8	1,0	149,7	0,7	1,1	125,0	0,5	1,1	186,9	0,0	1,2	115,3	0,0	1,2	132,3	0,0	1,2	74,4	0,0
R9	1,3	131,6	0,0	1,1	139,1	0,0	1,2	223,9	0,3	1,2	156,8	0,1	1,3	156,3	0,0	1,3	132,3	0,1

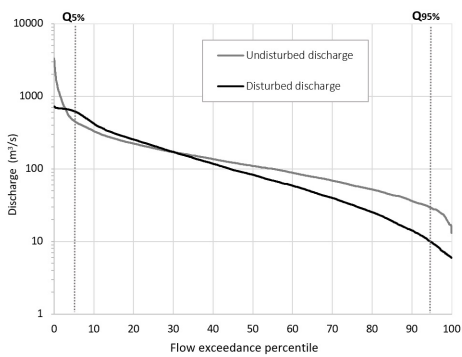
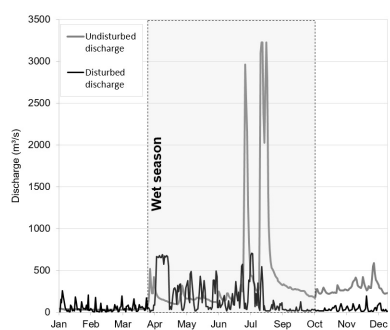
S: Sinuosity; W: average width (m) and B: Braiding index

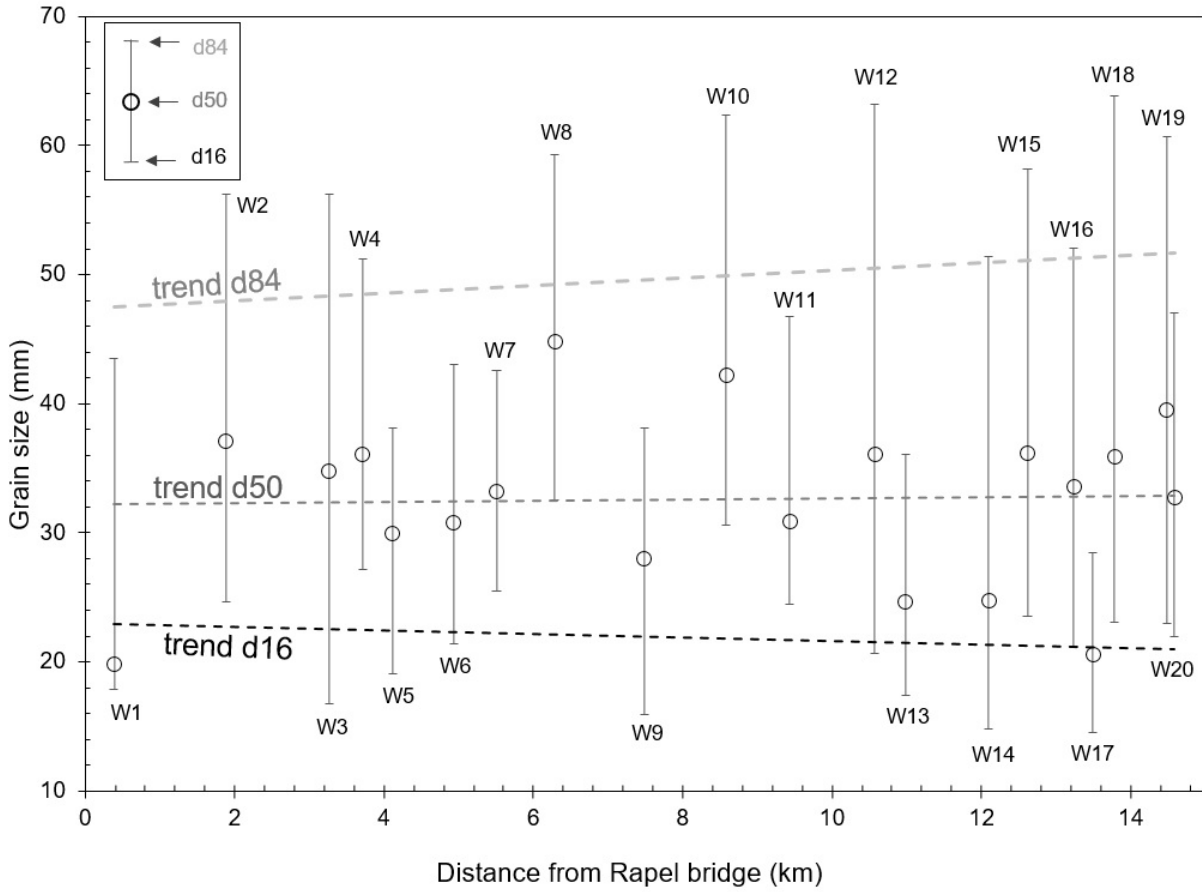


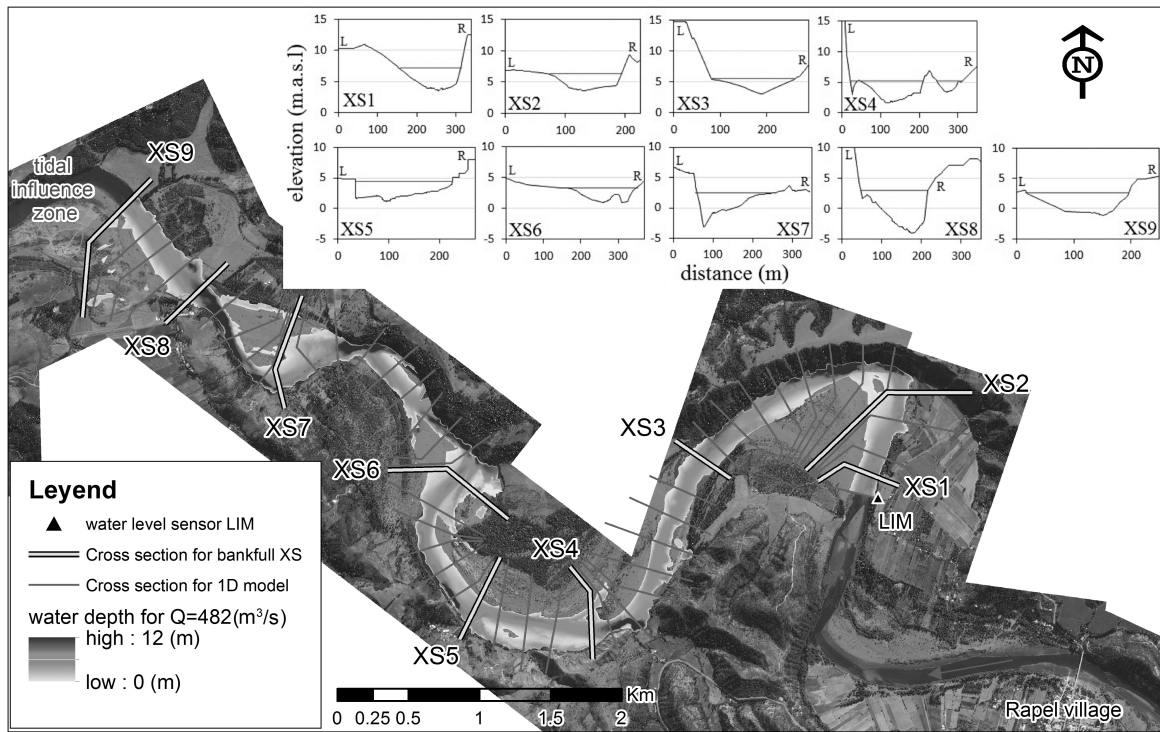


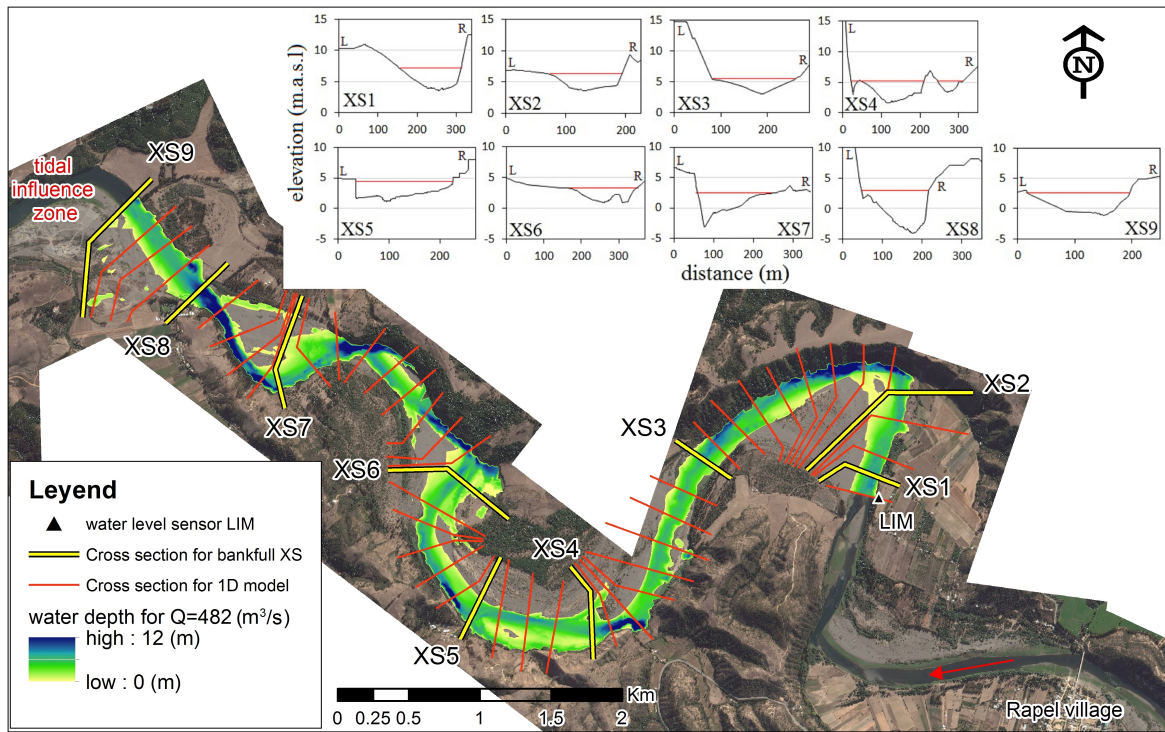
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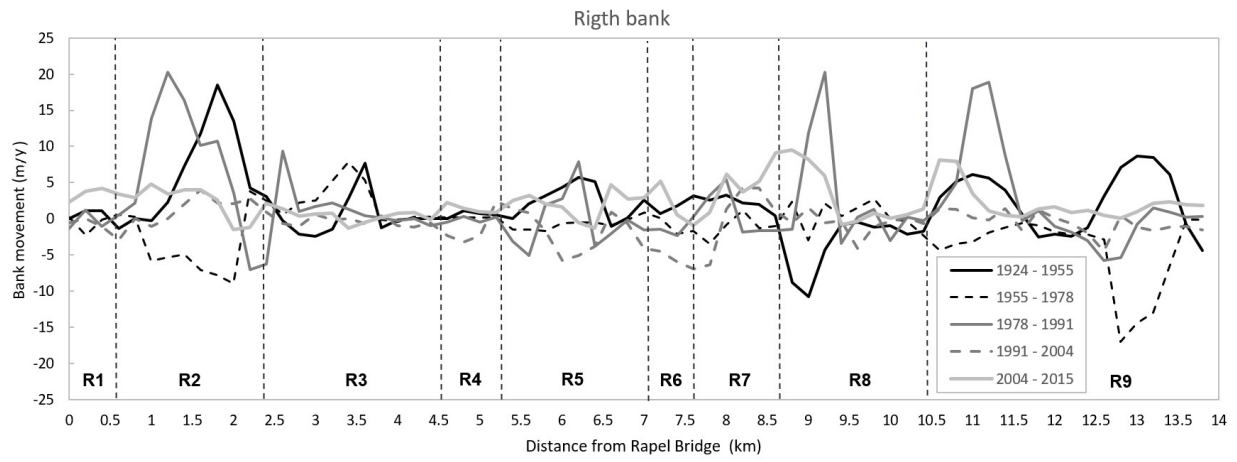
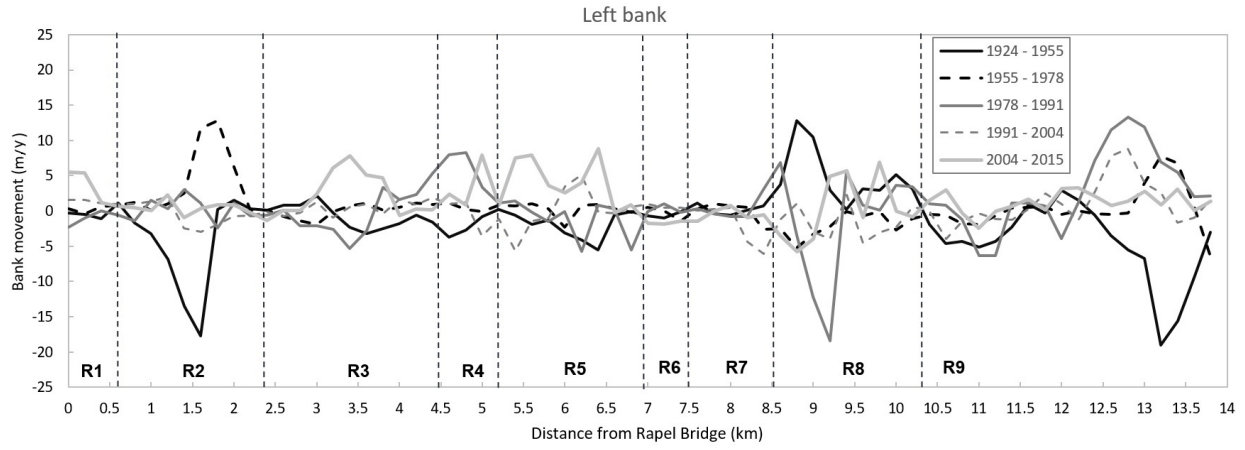


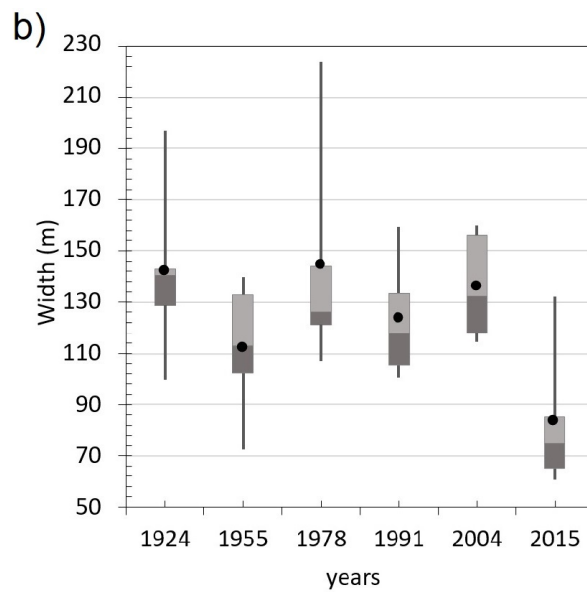
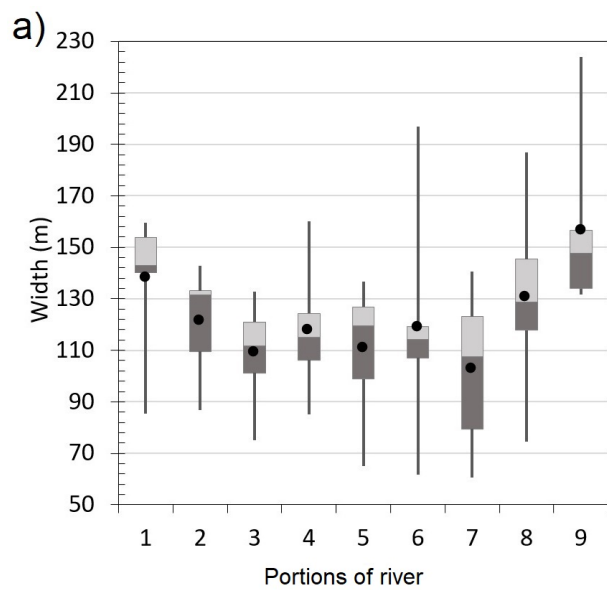


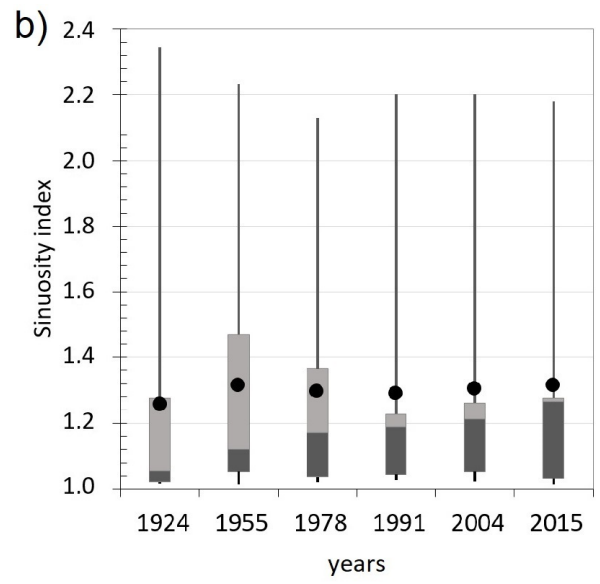
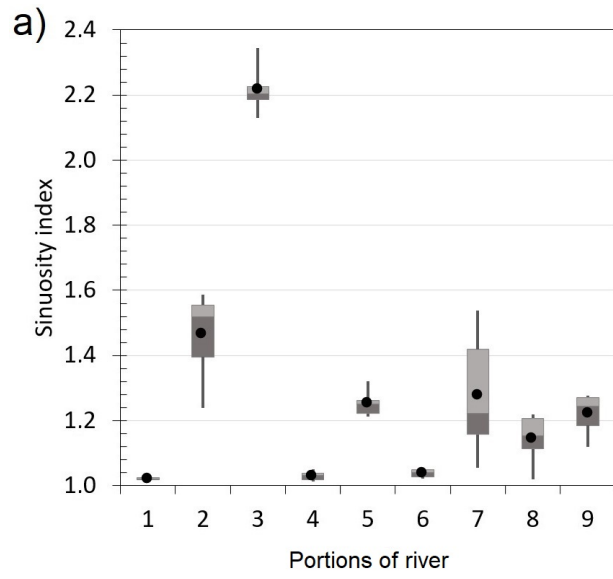


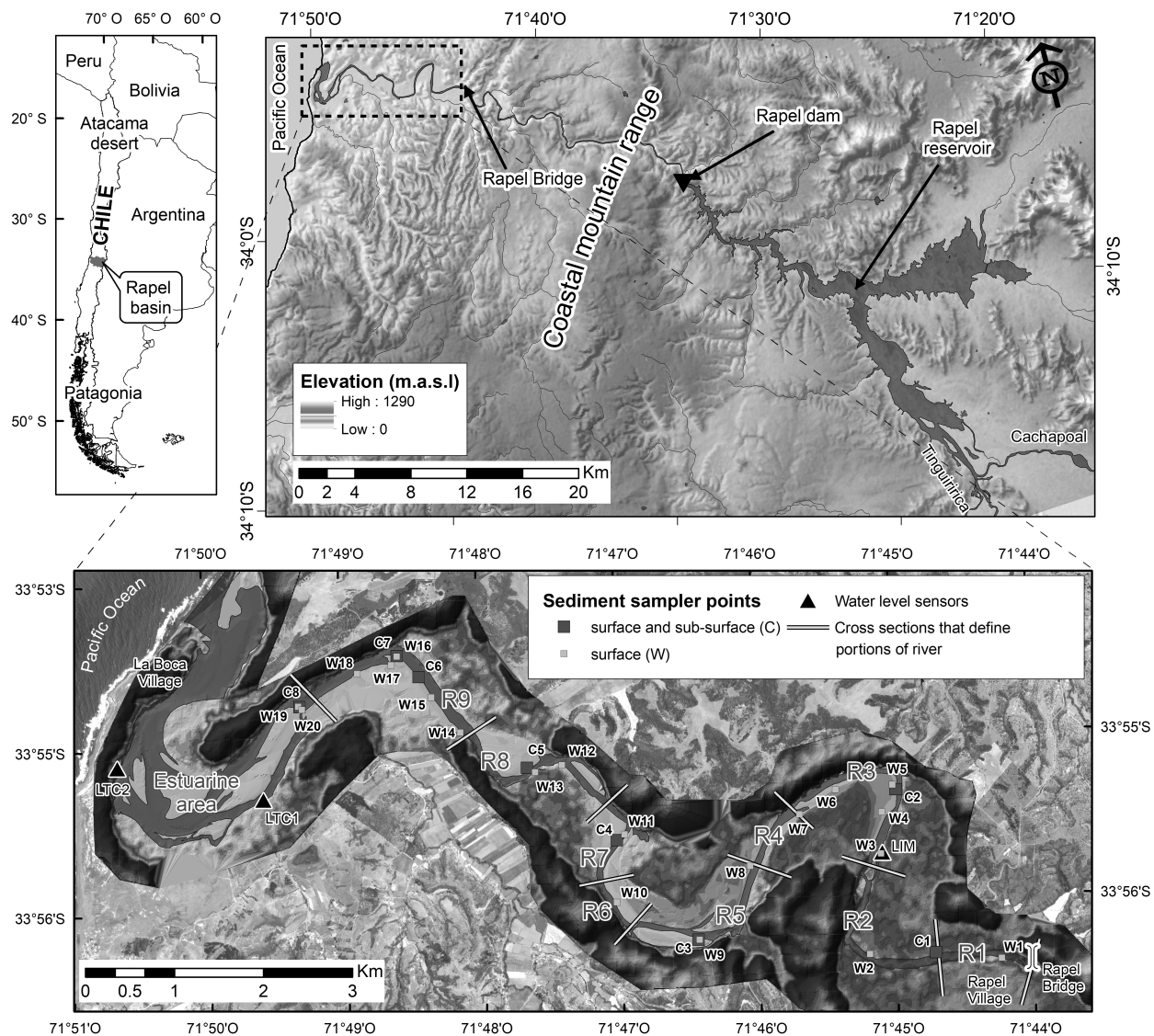


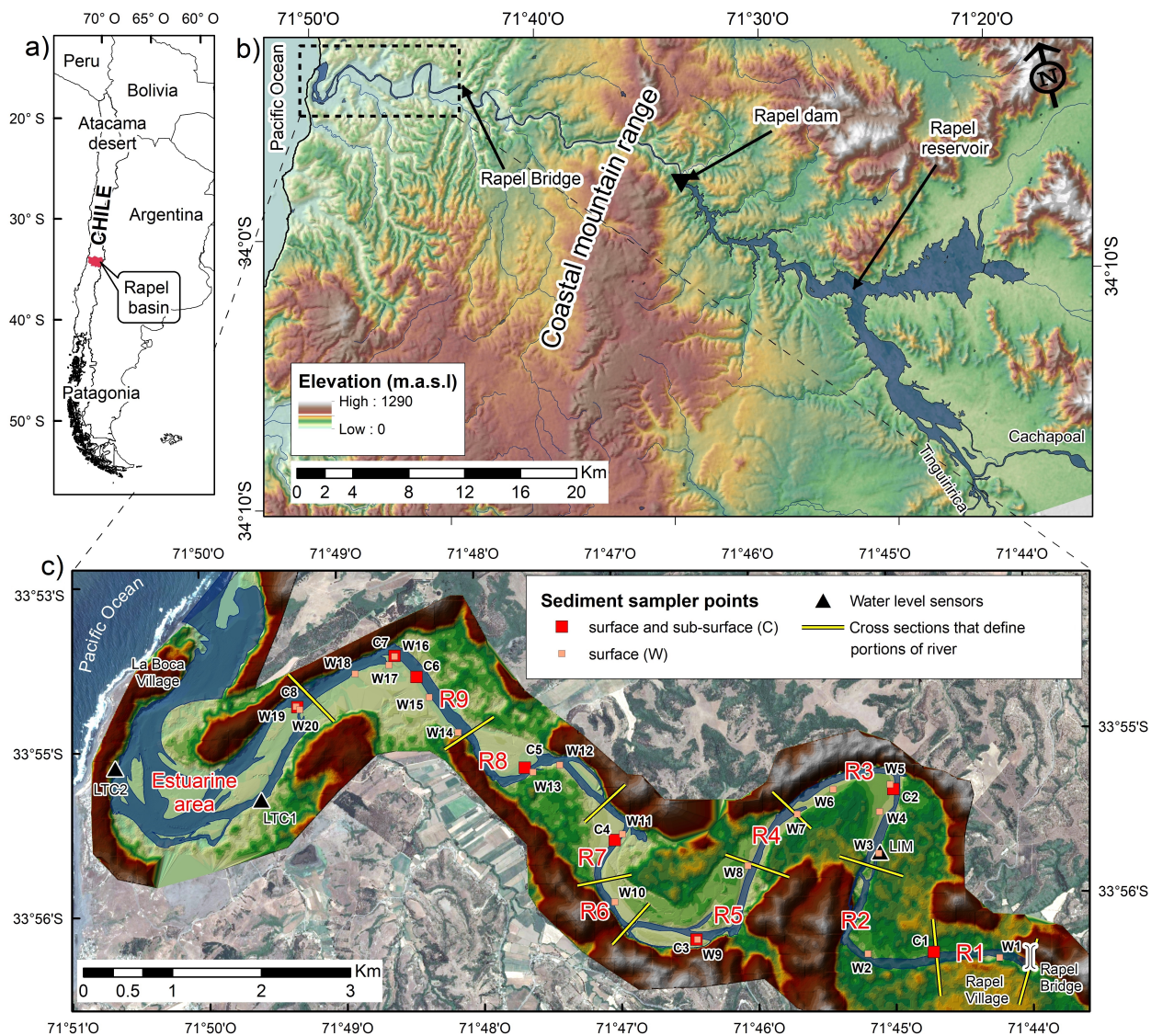


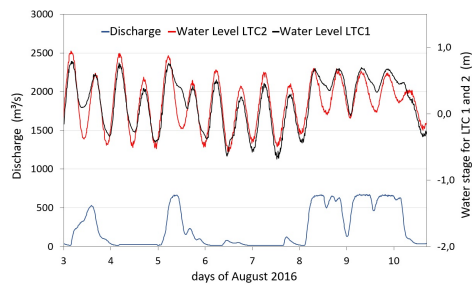


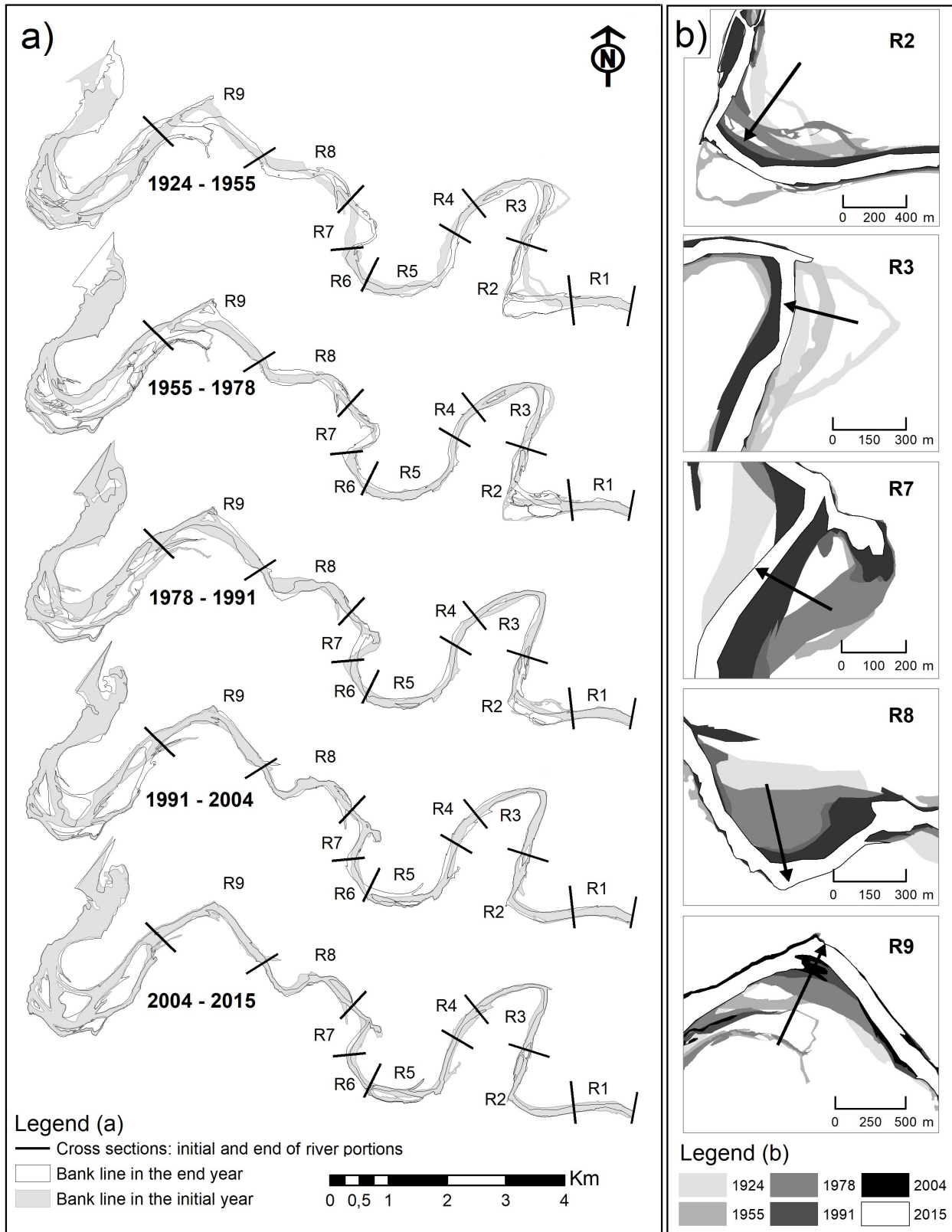












Highlights

- Hydromorphological diagnostic to assess changes on the hydrological flow regime, bed-sediments, and fluvial morphology
- Identifies and characterizes the hydromorphological changes produced along the Rapel River downstream by the first large dam built in Chile
- Morphological changes smaller than expected and stabilization of the channel