

Late Quaternary aggradation and incision in the headwaters of the Yangtze River, eastern Tibet Plateau, China

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Abstract

River aggradation or incision at different spatial-temporal scales are governed by tectonics, climate change and surface processes which all adjust the ratio of sediment load to transport capacity of a channel. But how the river responds to differential tectonic and extreme climate events in a catchment is still poorly understood. Here, we address this issue by reconstructing the distribution, ages and sedimentary process of fluvial terraces in a tectonically active area and monsoonal environment in the headwaters of the Yangtze River in the eastern Tibet Plateau. Field observations, topographic analyses and optically stimulated luminescence (OSL) dating reveal a remarkable fluvial aggradation, followed by terraces formations at elevations of 62-55 m (T7), 42-46 m (T6), 38 m (T5), 22-36 m (T4), 18 m (T3), 11 m (T2), 2-6 m (T1) above the present floodplain. Gravelly fluvial accumulation more than 62 m thick has been dated prior to 24-19 ka. It is regarded as a response to cold climate during the Last Glacial Maximum. Subsequently, the strong monsoon precipitation contributed to cycles of rapid incision and lateral erosion, expressed as cut-in-fill terraces. The correlation of terraces suggests that specific tectonic activity controls the spatial scale and geomorphic characteristics of the terraces, while climate fluctuations determine the valley filling, river incision and terrace formation. Debris and colluvial sediments are frequently interbedded in fluvial sediment sequences, illustrating the episodic short-time blocking of the channel around 20 ka. This indicates the potential impact of extreme events on the geomorphic evolution in the rugged terrain.

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Yangtze River, eastern Tibet Plateau, China**

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Key Points:

- Fluvial terraces in the headwaters of Yangtze River in east Tibetan Plateau are mapped and dated by OSL method.
- Climate and monsoon fluctuations determine the valley filling and river incision, while tectonic controls the spatial scale of terraces.
- Extreme events show the potential impact on the geomorphic evolution along the high relief margin orogenic plateau in monsoon environment.

28 **Abstract** River aggradation or incision at different spatial-temporal scales are
29 governed by tectonics, climate change and surface processes which all adjust the ratio
30 of sediment load to transport capacity of a channel. But how the river responds to
31 differential tectonic and extreme climate events in a catchment is still poorly understood.
32 Here, we address this issue by reconstructing the distribution, ages and sedimentary
33 process of fluvial terraces in a tectonically active area and monsoonal environment in
34 the headwaters of the Yangtze River in the eastern Tibet Plateau. Field observations,
35 topographic analyses and optically stimulated luminescence (OSL) dating reveal a
36 remarkable fluvial aggradation, followed by terraces formations at elevations of 62-55
37 m (T7), 42-46 m (T6), 38 m (T5), 22-36 m (T4), 18 m (T3), 11 m (T2), 2-6 m (T1)
38 above the present floodplain. Gravelly fluvial accumulation more than 62 m thick has
39 been dated prior to 24-19 ka. It is regarded as a response to cold climate during the Last
40 Glacial Maximum. Subsequently, the strong monsoon precipitation contributed to
41 cycles of rapid incision and lateral erosion, expressed as cut-in-fill terraces. The
42 correlation of terraces suggests that specific tectonic activity controls the spatial scale
43 and geomorphic characteristics of the terraces, while climate fluctuations determine the
44 valley filling, river incision and terrace formation. Debris and colluvial sediments are
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56 **1. Introduction**

57 Rivers play the most active role in shaping the landscape either by erosion or deposition
58 in a source-to-sink system (e.g. [Allen, 2008](#); [Sommé and Jackson, 2013](#)). The river
59 incises or aggrades alternatively through varying discharge, sediment load and channel
60 slope as a response to tectonic activities and/or climatic fluctuations (e.g. [Stokes et al.,](#)
61 [2018](#); [Vandenberghe et al., 2018](#); [De Paula and Magalhães Jr., 2020](#)). In addition, rivers
62 in rugged mountains with high relief resulting from the interaction of tectonics and
63 climate, are generally vulnerable to extreme events, such as orographically enhanced
64 catastrophic precipitation that may initiate landslides, rock-falls and debris flows,
65 potentially leading to cascading dynamic processes and complex fluvial response (e.g.
66 [Molnar et al., 1993, 2013](#); [Srivastava et al., 2008](#)). In such prominent landforms, river
67 damming and dam failure may strongly influence aggradation and incision both in
68 upstream and downstream directions (e.g. [Korup et al., 2008](#); [Hewitt et al., 2008](#)). Such
69 accumulation of sediment load due to damming effects may abrade or protect the
70 underlying channel bedrock in orogenic mountains, which has profound effects on the
71 evolution of large rivers and regional landforms (e.g. [Korup et al., 2010](#)).

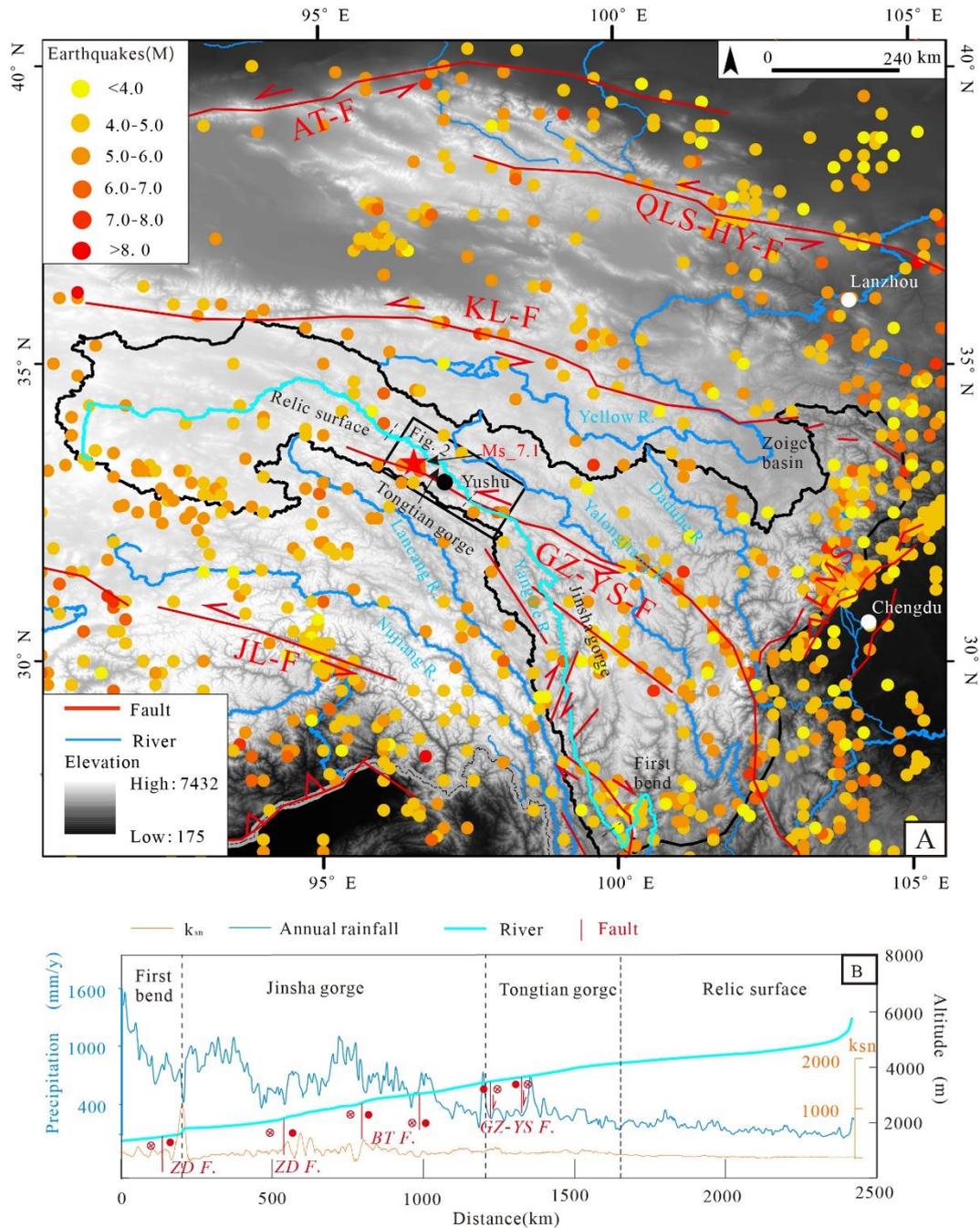
72 Earlier studies concluded that extreme events, such as earthquakes, extreme rainfall and
73 glacial activities, could lead to damming of rivers or breaking dams in high relief areas
74 ([Korup and Tweed, 2007](#); [Handwerger et al., 2019](#); [Fan et al., 2019](#)). Global warming
75 will probably increase the magnitude of climate fluctuations and extreme events, which
76 potentially may cause a series of natural hazards threatening the inhabitants (e.g. [Chug](#)
77 [et al., 2020](#)). There are plenty of reports about mega-floods or debris flows in the rivers
78 around the Tibet Plateau (e.g. [Chen et al., 2007](#); [Wu et al., 2016](#); [Cook et al., 2018](#); [Liu](#)
79 [et al., 2015, 2018, 2019](#)). But internal mechanisms and interplays between tectonic,
80 climate and extreme events (such as landslides, debris and rock-falls) in mountains are
81 still obscure and need to be researched at geological timescale.

82 The geomorphic evolution at the margins of the Tibet Plateau is controlled by rapid and
83 remarkable incision of large rivers, e.g. Jinsha, Mekong and Nujiang Rivers, and

84 intensive landslides, which could be produced by the intensified monsoonal rainfall (e.g.
85 [Chen et al., 2008](#); [Kong et al., 2009](#); [Henck et al., 2011](#); [Ferrier et al., 2013](#); [Schanz et](#)
86 [al., 2018](#); [Nie et al., 2018](#); [Tao et al., 2020](#); [Bao et al., 2020](#)) (Figure 1). The strong
87 tectonic activities with frequent earthquakes (such as Yushu Ms7.1 in 2010) (e.g. [Zhang](#)
88 [et al., 2013](#)) and the high relief indicate the upper Yangtze River is vulnerable to
89 extreme processes of landslides and debris flows which may block the valley, leading
90 to the breakage of channel connections in the headwaters of the Yangtze River (e.g.
91 [Chen et al., 2008](#); [Bao et al., 2020](#)) (Figure 1A). Thus, fluvial systems in this area with
92 intensive monsoonal precipitation and active tectonics could provide important
93 archives to assess the fluvial response to extreme events.

94 In this paper, field investigation with description of the sedimentary sequences have
95 been supplemented with OSL dating to establish the terrace sequence and incision rates
96 of the headwaters of the Yangtze River in the eastern Tibet Plateau (ETP) as an example
97 of fluvial response to tectonic movement, climate change and extreme events. More
98 specifically, we report the valley filling and the formation of cut-in-fill terraces during
99 the last deglaciation, as a response to geomorphic processes, climate fluctuations and
100 extreme events in a tectonically active setting.

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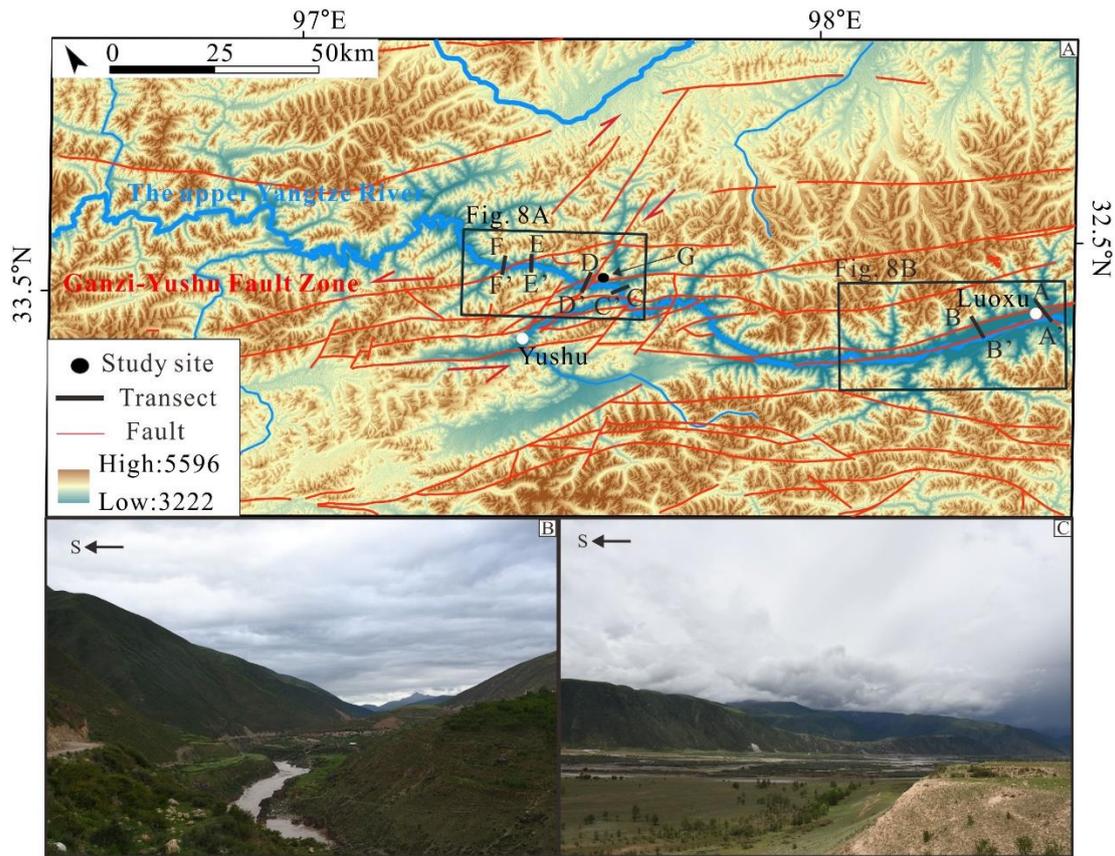
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103 **Figure 1.** (A) Topographic map of ETP based on the 90-m digital elevation model (DEM) from
 104 the Shuttle Radar Topography Mission (SRTM), showing the location of rivers, active faults, and
 105 historical earthquakes. The Yangtze River is highlighted by fluorescent-blue, while the other
 106 rivers are marked by vivid-blue lines. The black rectangle shows our study area in the headwaters
 107 of the Yangtze River. Main strike-slip faults with left-lateral movement are represented from
 108 Tapponnier et al. (2001), Deng et al. (2003) and Taylor and Yin (2009). AT-F: Altyn Tagh fault;
 109 QLS-HY-F: Qilianshan-Haiyuan fault; KL-F: Kunlun fault; GZ-YS-F: Ganzi-Yushu fault; LMS:

110 Longmenshan; JL-F: Jiali fault. Historical earthquakes from 780 B.C. to 2018 were collected from
111 China Earthquake Networks Center (<http://data.earthquake.cn/index.html>). (B) Longitudinal
112 profile of the Yangtze River (fluorescent-blue), TRMM (Tropical Rainfall Measuring Mission)-
113 derived average annual precipitation (vivid-blue, <http://www.geog.ucsb.edu/~bodo/TRMM/>) and
114 normalized channel steepness (k_{sn} , a geomorphic parameter proportional to incision rate (Kirby et
115 al., 2003)) (brownish-yellow) along the headwaters of the Yangtze River. Black dash lines divide
116 the river valley into broad valleys, Relic surface Tongtian gorge, Jinsha gorge and First bend of
117 Yangtze River. Left-lateral faults and right-lateral active faults intersecting with the Yangtze River
118 are indicated as GZ-YS-F: Ganzi-Yushu fault; BT-F: Batang fault; ZD-F: Zhongdian fault.

119 **2. Geological and Geographic setting**

120 The Ganzi-Yushu fault (GZ-YS-F) is a NW-SE strike-slip fault developed due to the
121 lateral extrusion related to the India-Eurasia collision (Figure 1A). It originates from
122 the Ganzi fault to the southeast and terminates against the Dangjiang fault to the
123 northwest; it extends over about 500 km, trends to the northeast with a dip angle of 70°-
124 85° and coordinates the tectonic activities between the tectonic Qiangtang, Bayankala
125 and Sichuan-Yunnan blocks (Wen et al., 2010; Chen et al., 2010; Wu et al., 2012). The
126 GZ-YS-F provides evidence of active transtensional deformation with stream offsets,
127 fault scarps, pull-apart basins, shutter ridges and earthquakes (Yushu Ms7.1) since the
128 late Quaternary (Figures 1A and 2) (e.g. Wen et al., 1985; Zhou et al., 1997; Wen et al.,
129 2003; Wang et al., 2008). Based on the geometry and historical earthquake data, the
130 GZ-YS-F is divided into Ganzi, Manigange, Dengke, Yushu and Dangjiang segments
131 (e.g. Zhou et al., 1996). This study mainly focuses on the northwestern part of the GZ-
132 YS-F with a series of secondary structures such as folds, normal faults and thrust faults
133 (Figure 2). The general slip movement between Qiangtang and Bayankala blocks led to
134 local fragmentation of the headwaters of the Yangtze River into small blocks of local
135 extent that have subsided and/or uplifted relatively to each other. Fluvial aggradation
136 in the subsiding blocks contrasts with incision and formation of gorges in the uplifted
137 blocks (Figures 2B, C).



138

139 **Figure 2.** (A) Topographic map of the study area in the headwaters of the Yangtze River, ETP.

140 Depicted faults are from the China Geological Archives (1:500000,

141 <http://www.ngac.org.cn/Map/List>). The rectangles illustrate the areas with fluvial terraces in the

142 Tongtian gorge and Luoxu basin, respectively. AA', BB', CC', DD', EE', FF' are seven studied

143 transects in the upper Yangtze River catchment, G point is a site with typical interbedded fluvial,

144 debris and colluvium deposits. (B) The landscape of the gorge with deep incision and slopes in

145 bare bedrock in the Yushu area. (C) Basin landscape with wide valley and slope with thick soil in

146 the Luoxu area.

147 The study area in the headwaters of the Yangtze River is situated in the alpine climate

148 zone with strong winds and low temperature. The average annual temperature is below

149 0 °C. Currently, a mild and humid climate dominates the lower valley at the eastern

150 edge of the Luoxu basin (Figure 2). The rainfall generally decreases from southeast to

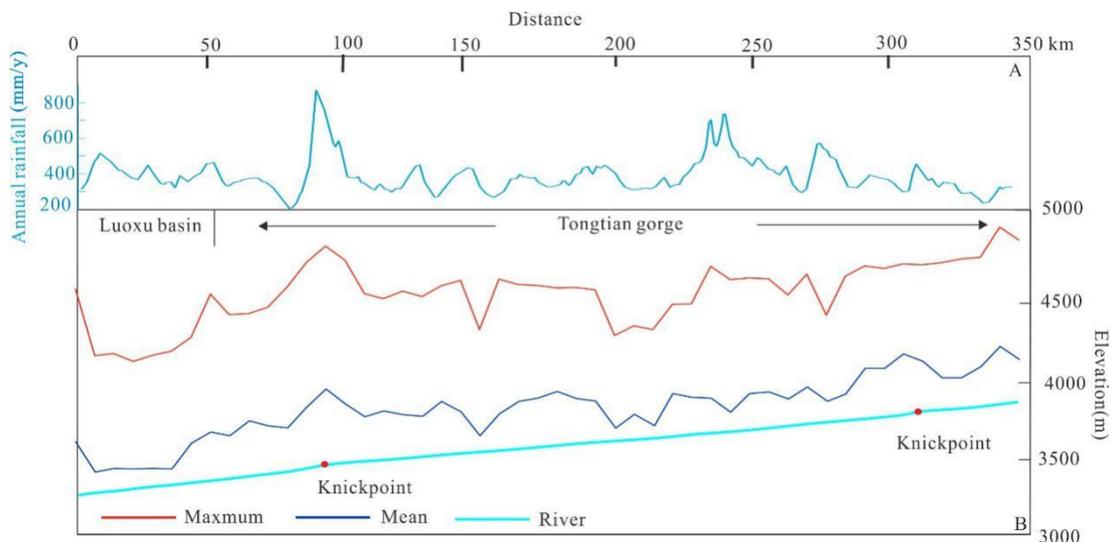
151 northwest, but increases significantly in the transitional area from the Luoxu basin to

152 the Tongtian gorge because of the topographic effects (Figure 3A).

153 The average elevation of the study area is ~4,500 m. The northeastern part is flat with

154 some wide glacial valleys, contrasting with the high relief with deep valleys and inter-
 155 montane basins which are due to intensive fluvial incision and the fault activities in the
 156 southwest (Figure 2). The headwaters of the Yangtze River flow over a distance of 350
 157 km in the study area, and present steep channels in a detachment limited condition
 158 (Rhoads, 2020) in the uplifted region (Yushu) (Figure 2B) and graded channels in a
 159 transport limited condition (Rhoads, 2020) in the subsidence region (Luoxu) (Figure
 160 2C). Because of the heterogeneous tectonic background, this area is dominated by a
 161 deep-canyon (e.g. Tongtian gorge) in the uplifted region and a wide valley in the rift
 162 basins (e.g. Luoxu basin) (Figure 3B) (Zhou et al., 2013). Two knickpoints are present
 163 along the Yangtze River in this region (Figure 3B).

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166 **Figure 3.** (A) The annual rainfall along the valley of the upper Yangtze River. (B) Maximum (red)
 167 and mean (blue) elevation of a swath profile (5 km×350 km) along the upper Yangtze River and
 168 the longitudinal profile of the Yangtze River (fluorescent-blue). Two knickpoints are present in
 169 this region.

170 3. Methods

171 3.1. Field Studies

172 River terraces have been well developed along the river valley in the headwaters of
 173 Yangtze River. Here, the terrace sequence was determined based on the height of a

174 terrace surface above present floodplain (apf) and the spatially continuous extension of
175 terrace outcrops. We mapped the sequence of fluvial terraces by the combination of
176 field investigations and remote-sensing images.

177 Six geomorphic transects were selected as a representative of the suite of fluvial terraces.
178 Two of those transects, AA' and BB' are located in the Luoxu basin (N32.55°-32.44°,
179 E97.69°-98.03°), a tectonically relatively subsided block (Figure 2), while other
180 transects CC' (at the site of Shaijingtai, N33.00°, E97.25°), DD'(at the site of Moluo,
181 N33.00°, E97.21°), EE' (at the site of Zhongda, E97.11°, N33.14°) and FF' (at the site
182 of Baliria, E97.06°, N33.17°) are distributed along the Tongtian gorge in a relatively
183 uplifted block (Figure 2). The site G (Zhimenda, N33.00°, E97.24°) shows a typical
184 sequence of inter-bedded fluvial sediments and mass-flow sediments such as debris
185 flows (see discussion) (Figure 2). The terrace elevations were accurately measured
186 using GPS with a maximum error of 5 m. Sedimentary structures were described
187 according to the facies codes of Miall (1996).

188 **3.2. OSL dating**

189 The OSL samples were taken from different terraces (Table 2) by hammering a steel
190 tube 25 cm long with a diameter of 5 cm into the sand layers of fresh sections. Pure
191 quartz was extracted from the middle part of the tubes using common methods (30%
192 H₂O₂, 10% HCl, wet sieving, 40% HF).

193 All the luminescence analyses were carried out on an automated Risø reader equipped
194 with blue (470 nm; ~80 mW cm²) LEDs and IR laser diode (870 nm, ~135 mW.cm²).
195 Quartz OSL signals were collected through a 7.5 mm Schott U-340 (UV) glass filter
196 (emission 330±35 nm). The quartz equivalent doses (De) were measured using a
197 standard single-aliquot regenerative dose (SAR) protocol (Murray and Wintle, 2000;
198 2003). Preheating of natural and regenerative doses was for 10 s at 240°C, and the
199 response to the test dose was measured after a cut-heat to 200°C. Optical stimulation
200 with the blue diodes was for 40 s at 125°C. The initial 0.16 s of the decay curve was

201 used in the calculations, minus a background evaluated from the following 0.16~0.32s.
202 After measurements of the response to the test dose, a high-temperature bleaching was
203 performed by stimulating with the blue diodes for 40 s at 280°C (Murray and Wintle,
204 2003). For each aliquot, the dose response was obtained by measurements of the
205 response to four regenerative doses. This was followed by three additional
206 measurements to obtain estimates of recuperation and recycling (Murray and Wintle,
207 2000) and purity test (OSL IR depletion ratio; Duller, 2003). All the above laboratory
208 measurements were carried out at the Luminescence dating Laboratory of Geomorphic
209 Process team, the School of Geography and Ocean Science, Nanjing University.

210 The sediments at both ends of the tubes were used for water content and radioactive
211 element analysis. The material (about 20 g) was first dried and then grounded to powder
212 to determine concentrations of U, Th, and K using Inductively Coupled Plasma Mass
213 Spectrometry (ICP-MS) and Inductively Coupled Plasma Optical Emission
214 Spectrometry (ICP-OES) at the Geochemistry Laboratory of the School of Earth
215 Sciences and Engineering, Nanjing University. Because the water content varied during
216 the long-term burial period, we assumed 50% of the saturated water content as the
217 average value during historical time with an uncertainty of 50% to this value to allow
218 for possible fluctuations. Based on applying conversion factors from Guérin (Guérin
219 and Adamiec, 2011) and beta attenuation factors from Mejdahl (Mejdahl, 1979), the
220 external beta and gamma dose rate were calculated using the radionuclide concentration.

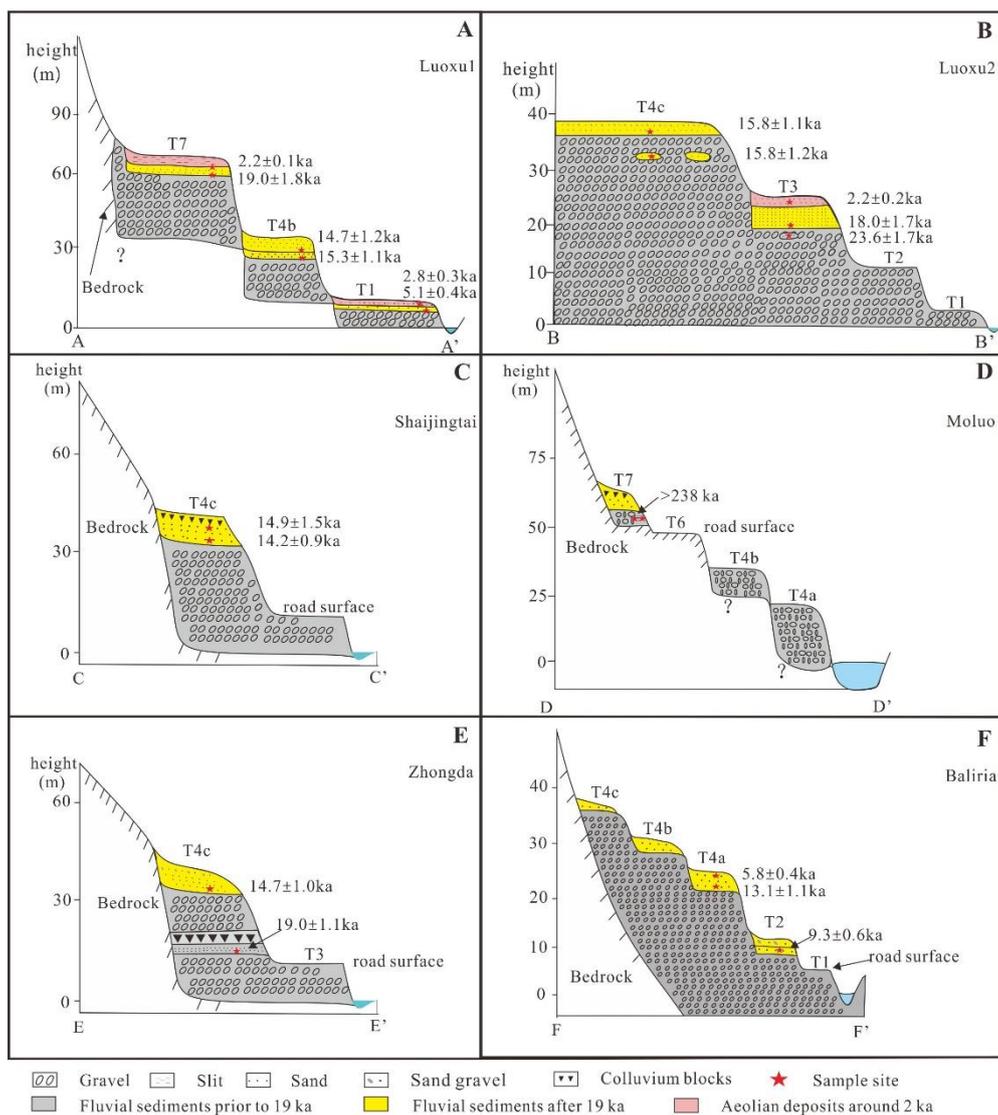
221 **4. Results and Interpretation**

222 **4.1. Terraces in the relatively subsiding Luoxu basin**

223 **4.1.1. The AA' section**

224 Three terraces correlate with T7, T4b and T1 (see terrace correlation below) in the
225 transect AA' (Figures 2 and 4A). Gravels in all terrace deposits consist of quartzite,
226 sandstone, granite, conglomerate and diabase. The sediment of T7 (62 m apf) was
227 divided in three units from the bottom to the top (Figure 5C). The basal unit (36 m thick)

228 is mainly composed of poorly sorted gravels and deposited as planar cross-bedded (Gp
 229 facies) and disorganized, clast-supported beds (Gcm facies) (Figure 5C). The base of
 230 the gravels is not exposed. The gravels are mainly rounded to sub-rounded, 10~20 cm
 231 in diameter. The middle unit (1.5 m thick) is fine sand with a massive structure (Sm
 232 facies). The top unit (0.5 m thick) is silt with small pebbles, showing a massive structure
 233 (Fm facies) (Figure 5C).



234
 235 **Figure 4.** Schematic cross sections and ages along the studied geomorphic transects (see their
 236 locations in Fig.2). (A), (B), (C), (D), (E) and (F) are the terraces at transects AA', BB', CC', DD',
 237 EE', FF', respectively.

238 T4b is at 28 m apf in transect AA' (Figure 4A). We divide the sediment in two units
 239 from the bottom to the top (Figure 4 and 5D). The basal unit (1 m thick) consists of

240 imbricated gravels with planar cross bedding (Gp facies) and occurs in organized, clast-
241 supported beds (Gcm facies) (base not exposed) (Figure 5D). The gravels are mainly
242 rounded, 10~20 cm in diameter. The top unit (1.6 m thick) is sand with small pebbles.
243 The lower part of that upper unit is coarse sand with horizontal lamination (Sh facies),
244 and the topmost part is fine sand with a massive structure (Sm facies) (Figure 5D).

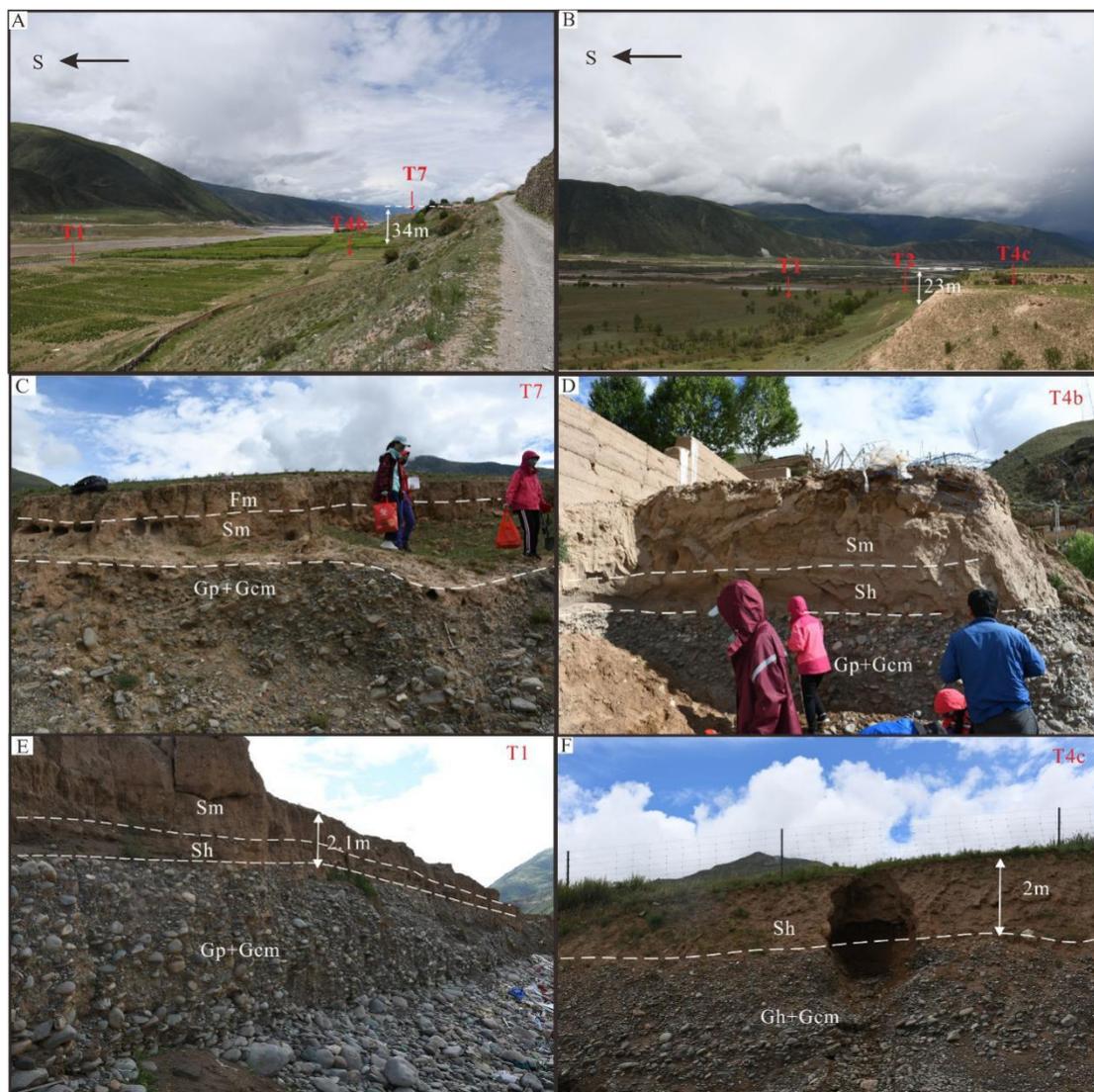
245 The lowest terrace (T1) is at 5 m apf. We divide the sediments in three units (Figures
246 4A and 5E). The 5 m thick imbricated gravels make up the bottom unit without exposed
247 base and are deposited as planar cross-bedded (Gp facies) and disorganized, clast-
248 supported layers (Gcm facies). The grain sizes of the gravels decrease upward from
249 10~30 cm to 5~8 cm in diameter. The middle unit (0.5 m thick) is coarse-grained sand
250 with horizontal lamination (Sh facies). The top unit (1.6 m thick) is reddish silt with a
251 massive structure (Sm facies) (Figure 5E).

252 All the sediments of T7, T4b and T1 show channel deposition of rounded and
253 imbricated gravels at the base, followed by overbank deposition (with laminated
254 structure) and/or aeolian sedimentation (with massive structure). The disorganized and
255 massive gravels in the Gcm facies indicate rapid deposition by high concentrated stream
256 flow, while the planar cross-beds in facies Gp are interpreted as the foresets of
257 transverse 2-D gravel bedforms (Miall, 1996; Einsele, 2000). The sand in Sh facies
258 suggests deposition by planar bed flows in channels, or sheet flood in upper-flow
259 regime, while the massive structure (Sm and Fm facies) is due to rapid deposition of
260 sand from the suspended load of waning flows in overbank or abandoned channels
261 (Miall, 1996; Einsele, 2000).

262 **4.1.2. The BB' section**

263 Four terraces in transect BB' correlate with T4c, T3, T2 and T1 (see terrace correlation
264 below) (Figures 2 and 4B). Gravel composition is similar in all terrace deposits,
265 dominated by sandstone, granite, conglomerate, diabase, quartzite. T4c at 34 m apf
266 contains two units (Figure 5F). The basal unit (4 m thick) is composed of imbricated
267 gravels, deposited in horizontal beds (Gh facies) with some sand lenses, and organized

268 in clast-supported beds (Gcm facies) (Figure 5F). The base of this unit is not exposed.
 269 The gravels are rounded with upward decreasing size from 10~20 cm to 5 cm diameter.
 270 The top unit (2.5 m thick) is sand with some pebbles, showing horizontal lamination
 271 (Sh facies).



272
 273 **Figure 5.** (A) and (B) are the distributions of terraces at transect AA' in Luoxu 1 and transect BB'
 274 in Luoxu 2. (C), (D), (E), (F) are the sedimentary structure of sediments at terrace T7, T4b, T1,
 275 T4c in the Luoxu Basin. Fm-massive silt, Sm-massive sand, Sh- horizontal laminated sand, Gh-
 276 horizontal gravels, Gp-gravels with planar cross bedding, Gcm-clast supported gravels. The
 277 dashed line marks the boundary between different units.

278 The T3 surface is underlain by a lower 18 m thick gravel layer and an upper 2.5 m thick
 279 bed of fine sand with small pebbles. The structure of the gravel unit is planar-cross

280 bedded (Gp facies) with some sand lenses, and occurring in disorganized, clast-
281 supported and matrix-supported beds (Gcm and Gmm facies). The base of this unit is
282 not exposed. The gravels are rounded, 30~50 cm and 10~20 cm in diameter. The top
283 unit (2.5 m thick) is mainly consisting of sand with some pebbles. The lower part of
284 this unit shows horizontal lamination (Sh facies), while the upper part is a fine silt with
285 massive structure (Fm facies).

286 T2 and T1 extend at 13 m and 2 m apf along the river, respectively. All the units consist
287 of imbricated gravels deposits with planar-cross bedding (Gp facies) and are organized
288 in clast-supported beds (Gcm facies). The gravels are round, 20~30 cm in diameter. In
289 contrast to the higher terraces, no fine-grained sediment covers the gravels of these
290 terraces.

291 The gravels of the terraces in transect BB' were deposited by channel traction flow as
292 indicated by the rounded shape and the imbricated traction structures (e.g. Gp facies).
293 The sedimentary structures of all outcrops are similar to those in transect AA',
294 indicating similar sedimentary processes and environments.

295 **4.2. Terraces from the gorges in relatively uplifted segments**

296 **4.2.1. The CC' section**

297 One terrace, T4c (see terrace correlation below), is identified in this section (Figures 2
298 and 4C) at Shaijingtai (SJT; N33.00°, E97.25°) at 34 m apf. It contains gravels, sand
299 and angular blocks from the bottom to the top (Figure 4). We divided the sequence in
300 three units according to the particle size and structural characteristics of the sediments.
301 The lowest unit is dominated by imbricated gravels, deposited as planar-cross (Gp
302 facies) and clast-supported beds (Gcm facies). The base of this unit is not exposed. The
303 gravels are sub-rounded to rounded, 20~40 cm in diameter, and consist of diabase,
304 sandstone, conglomerate, and granite. The middle unit (2.3 m thick) is composed of
305 sand in its lower part and silty sand in its upper part. The sand deposit shows mainly
306 horizontal lamination (Sh facies) with occasional small ripples (Sr facies) and massive

307 structure (Sm facies). The silty sand shows also small ripple structures (Fl facies). The
308 top unit is composed of chaotically structured, angular boulders (grey-green breccia,
309 10~15 cm in diameter).

310 The structure of sediments in transect CC' shows a fluvial origin, covered with some
311 sediments of mass-flow origin. Again, the poorly sorted, sub-rounded to round gravels
312 in the Gcm facies indicate rapid aggradation as a channel lag, while the planar-cross
313 beds (Gp facies) represent the foresets of low bars and dunes. The sand layers with
314 horizontal lamination, cross bedding and massive structure show an upward decrease
315 from coarse sand to fine sand, meaning a decline of transport energy. The small ripple
316 (Fl facies) in silt indicates abandoned channel fills, while the chaotically angular gravels
317 with oversized blocks are interpreted as debris flow sediments or landslide sediments.

318 **4.2.2. The DD' section**

319 Four terraces correlate with T7, T6, T4b and T4a (see terrace correlation below)
320 (Figures 2 and 4D). T7 at 55 m apf, is poorly preserved along the northern bank of the
321 Yangtze River in the site of Moluo (ML) (N33.00°, E97.21°) (Figures 4 and 6B). The
322 sediment sequence in that terrace comprises three units (Figure 6B). The lowest unit 1
323 (5 m thick) is composed of imbricated gravels with inter-fingering sand lenses. Towards
324 the base the gravels are rounded to subrounded, 10~50 cm in diameter, deposited as
325 planar-cross beds (Gp facies), and clast-supported (Gcm facies) (Figure 6B). Towards
326 the top of unit 1 the gravels are angular to sub-angular, 5~15 cm in diameter, and
327 matrix-supported (Gmm facies) (Figure 6B). All the gravels are composed of sandstone,
328 diabase, granodiorite, quartzite, conglomerate and limestone. Unit 2 (3 m thick) in the
329 middle part of the section is composed of sand layers with horizontally laminated
330 structure (Sh facies). Some centimeter-scale angular pebbles are present inside the sand
331 layer. The top unit 3 is consisting of disorganized grey-green angular blocks, 40~50 cm
332 in diameter.

333 T6 at 42~46 m apf shows multiple cycles of channels, debris and colluvial sediments.
334 The base of this sediment sequence is not exposed. T4b and T4a extend along the steep

335 slope with disorganized structure of gravel (Figure 4). Because of the deep incision
336 with steep slope, it was impossible to sample the sections and to describe the
337 sedimentary structure in detail.

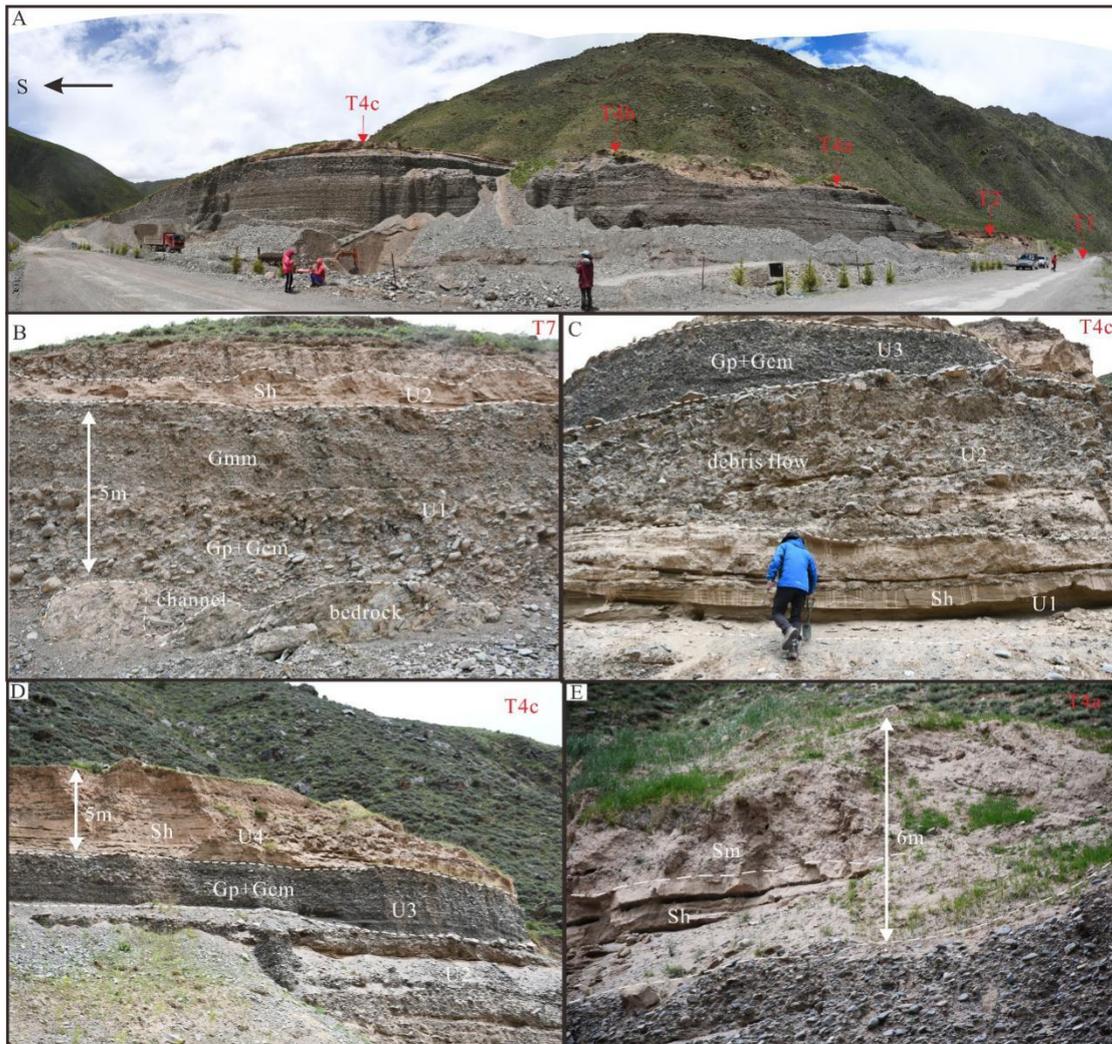
338 The sedimentary structures of Gp, Gcm, and Sh facies with imbricated gravels, rounded
339 and sub-rounded gravels in the layers of T7, shows stream channel flow (Miall, 1996).
340 In contrast, the disorganized angular gravels and matrix-supported gravels layers in unit
341 3 and the upper part of unit 1 suggest debris flow sediments or sediments due to mass
342 wasting process from the hillslope (e.g. Hewitt et al., 2008).

343 **4.2.3. The EE' section**

344 Two terraces correlate with T4c and T3 in Zhongda (ZD; E97.11°, N33.14°) (Figures
345 2 and 4E) (see terrace correlation below). The gravels are composed of sandstone,
346 diabase, granodiorite, quartzite, conglomerate and limestone. T4c and T3 occur at 34
347 m and 18 m af, respectively (Figure 4). The sedimentary sequence of T4c is subdivided
348 in four units (Figures 4 and 6C, D). The lowest unit 1 (3 m thick) is a horizontally
349 laminated sand layer that contains several thin layers of angular small pebbles (Figure
350 6C). The overlying unit 2 (5 m thick) is composed of disorganized blocks (Figure 6C)
351 which are angular with upward increasing size diameter (centimeter- to meter-scale;
352 Figure 6C). A 4-m-thick gravel layer (unit 3) covers unit 2. It shows an imbrication
353 structure, with planar-cross bedding and clast-supported beds (Gp and Gcm facies)
354 (Figures 6C, D). The gravels are sub-angular to sub-rounded, 20~30 cm in diameter.
355 Unit 4 (5 m thick) is composed of sand with some centimeter-scale pebbles in the upper
356 part, showing a horizontally laminated structure (Sh facies) (Figure 6D).

357 T3 is composed of gravels with unexposed base, on which a road was constructed
358 without outcrop. The structure of disorganized gravels with appearance of oversized
359 blocks (unit 1 and the bottom of unit 2) in T4c sediment sequence shows a debris flow
360 origin (e.g. Li et al., 2018) (Figure 6C). The multiple cycles of alternating fluvial sands
361 with their typical characteristics and angular debris blocks within unit 1 of the T4c
362 sediment sequence indicates a process of rapid succession of fluvial and mass-wasting

363 origin. This may be an expression of the frequent interruption of the fluvial process
 364 (imbricated rounded gravels in Gp and Gcm facies of unit 3 in T4c sediments) by the
 365 supply of large angular debris from small tributaries and hillsides in the form of alluvial
 366 cones or debris slopes. Lateral erosion of the river in the gorge resulted in sporadic
 367 bedrock exposure along the hillslope.



368
 369 **Figure 6.** Terraces and sediments in the Tongtian gorge. (A) the terraces at the transect FF'. (B)
 370 the sedimentary profile of T7 in transect DD'. (C) and (D) the sedimentary profiles of T4c in
 371 transect EE'. (E) the sedimentary profile of T4a in transect FF'. Sm-massive sand, Sh-horizontal
 372 laminated sand, Gp-planar cross bedding gravel, Gcm-clast-supported gravel beds, Gmm-matrix-
 373 supported gravel beds. The dashed line marks the boundary between units.

374 **4.2.4. The FF' section**

375 In contrast to the sections described above, the gravels of transect of FF' (see location
376 in Figures 2 and 4) accumulated in a 33 m thick layer. They were incised to form five
377 terraces, T4c, T4b, T4a, T2, T1, at 33, 28, 22, 12, 5~6 m apf, in Baliria (BLRA; E97.06°,
378 N33.17°), respectively (Figures 4 and 6A). The composition of gravels is similar to that
379 in the previous transects. The gravels show imbrication, planar-cross bedding (Gp
380 facies) and are clast-supported (Gcm facies), 20~30 cm in diameter. The base of the
381 sediment sequence is not exposed.

382 T4c and T4b are covered with sand, but the outcrop, as a cliff, was not accessible for
383 description of the sedimentary characteristics.

384 T4a has two sediment units covering the underlying gravel fillings. The lower unit1 (4
385 m thick) is composed of sand with horizontally laminated beds (Sh facies) (Figure 6E).
386 The upper unit 2 (2 m thick) is a massive sand bed (Sm facies) with pebbles (Figure
387 6E).

388 The sediment of T2 shows two units covering the underlying gravels. The lower unit 1
389 (1.5 m thick) is a sand layer with small ripple cross-lamination (Sr facies) in the lower
390 part and horizontal laminated structure (Sh facies) in the upper part. The upper unit 2
391 (2 m thick) is a massive sand (Sm facies) layer with centimeter-scale pebbles. T1 is
392 located on the road surface without outcrop.

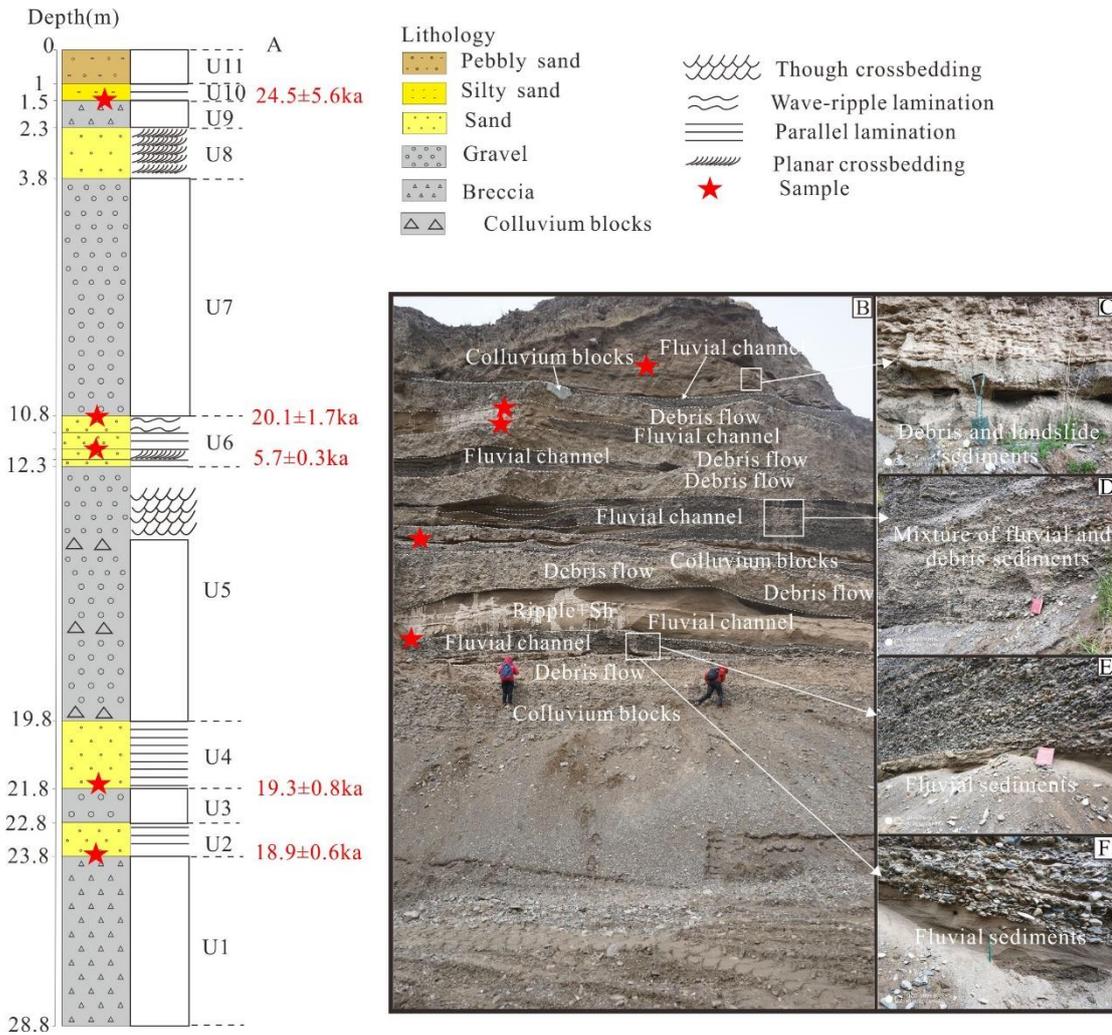
393 The gravels and sands in this cut-in-fill terraces show thick fluvial sediments. The lower
394 gravels with Gcm and Gp facies and the upper cross-laminated, horizontally laminated
395 and massive sands (Sr, Sh, Sm facies) point to variable energy in the fluvial sediments.

396 **4.3. A typical sequence of alternating fluvial and mass waste sedimentation**

397 The interbedded fluvial, debris and colluvium deposits are widespread in the gorge; one
398 typical sequence was described at the site of Zhimengda (ZMD, N33.00°, E97.24°) (site
399 G in Figure 2). The structure of the sedimentary section ZMD shows a sequence of
400 alternating layers of rounded gravels, sands and angular gravels and boulders, which
401 may indicate alternating phases of fluvial and debris or colluvium deposition (Figure

402 7). The top of the sediment sequence is ~53 m apf, which correlates with T7. The upper
403 ~30 m sediments may be subdivided in eleven units (Figure 7 A). From bottom to top,
404 unit 1 (5 m thick) is composed of disorganized breccia, 5~10 cm in diameter. Unit 2 (1
405 m thick) is composed of sand with horizontally laminated structure (Sh facies). Unit 3
406 (1 m thick) contains imbricated gravels with planar cross-bedding, and clast-supported
407 beds (Gcm facies). The gravels are rounded, 10~20 cm in diameter, and consist of
408 sandstone, diabase, quartz, conglomerate and limestone. Unit 4 (2 m thick) is a
409 horizontally laminated, fine-grained sand bed (Sh facies). Unit 5 (7.5 m thick) is
410 composed of rounded gravels with planar cross bedding (Gp facies), trough cross-
411 bedding (Gt facies) and clast-supported beds (Gcm facies), containing three layers of
412 angular boulders (0.5-1m in diameter). Unit 6 (1.5 m thick) is composed of sand with
413 planar cross-bedding (Sp), horizontal lamination (Sh) and ripple cross-bedding (Sr)
414 from bottom to top. Unit 7 (7 m thick) is composed of rounded gravels (5-10 cm in
415 diameter) with planar cross-bedding (Gp facies) and gravel sheets with imbrication.
416 The 1.5 m thick coarse sand layer of unit 8 is a deposit with planar cross-bedding (Sp
417 facies) containing some angular pebbles (~1 cm in diameter). The overlying unit 9 (0.8
418 m thick) is a breccia (pebbles are 1-3 cm in diameter) with crude imbrication containing
419 sand lenses with planar cross-bedded structure (Sp facies). Unit 10 (0.5 m thick) is
420 composed of horizontally laminated, silty sand (Fl facies) and sand (Sh facies). The
421 topmost unit 11 (1 m thick) is consisting of angular gravels (2-6 cm in diameter)
422 contained in a silt matrix.

423 The disorganized breccia in units 1 and 9 and the angular boulders in unit 5 are
424 interpreted as debris flow or colluvium deposits. The rounded and sub-rounded gravels
425 and sand with imbrication structures, planar or trough cross-bedding, horizontal
426 lamination and ripples in other units indicate a fluvial origin. The interbedded
427 deposition of fluvial and debris and colluvium sediments points to a striking change in
428 deposition conditions and provenance (e.g., [Gao et al., 2018](#)). They are the expression
429 of the interplay between fluvial processes and mass-wasting events that characterizes
430 the evolution in the gorge.



431
 432 **Figure 7.** (A) Stratigraphic column, OSL ages and location of samples at ZMD (units 1-11). (B)
 433 Typical sediments with alternating fluvial, debris and colluvium beds at the ZMD site. White
 434 dashed line marks the boundary between units. (C-D) Mixture of fluvial and debris-flow
 435 sediments in Fig. 7B. (E) and (F) are fluvial sediments in Fig. 7B.

436 **4.4. OSL ages**

437 The luminescence decay curves (Figures 8A and C) show a rapid decrease, implying
 438 dominance of a fast component. The dose response curves are well-fitted with a single
 439 saturating exponential function (Figures 8A and C). The histograms of the equivalent
 440 dose from the samples such as LX-E-OSL-220 and LX-E-OSL-100, show a normal
 441 distribution (Figures 8B and D), indicating that the quartz is compatible with a well-
 442 bleached nature and the chronologic result is reliable. Table 1 summarizes the analytical
 443 data and OSL ages.

444

Table 1

445

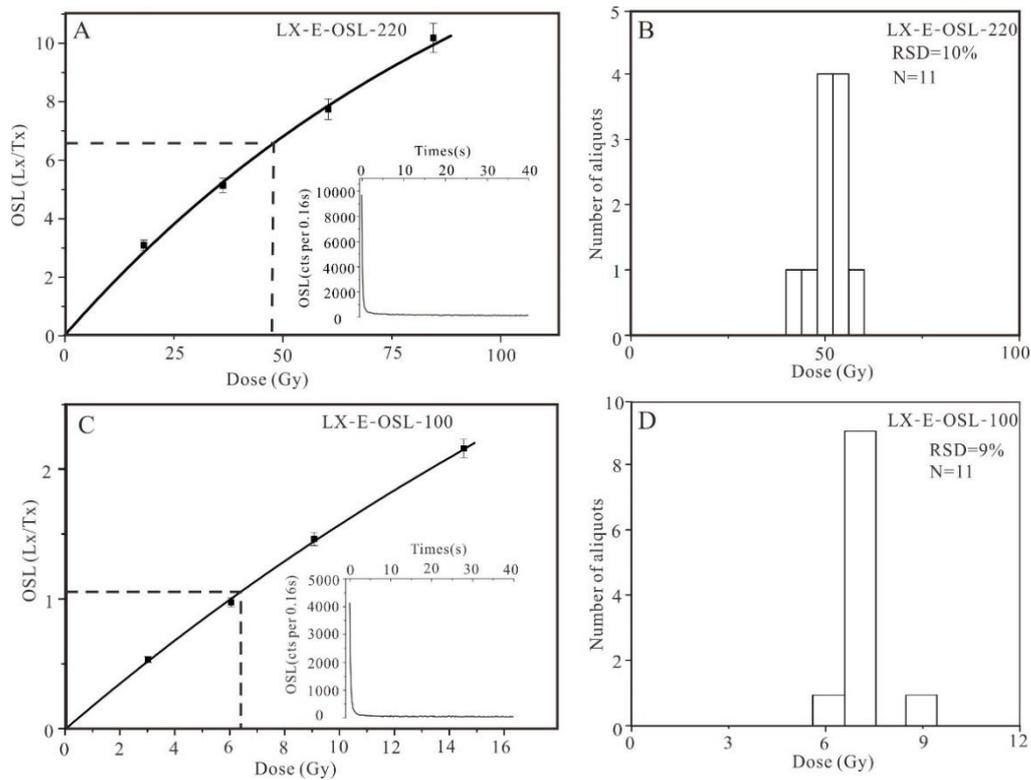
Summary of sample code; U, Th, and K concentrations; estimates of past water content (W.C.); dose rates; equivalent doses (De); overdispersion and age for fluvial

446

sediments for headwaters of the Yangtze River, China.

Field code	Grain size	Depth(m)	U (ppm)	Th (ppm)	K (%)	W.C (%)	Dose rate(Gy/ka)	De(Gy)	OD(%)	Age(ka)
LX-OSL-110	63-90	1.1	1.43±0.07	7.44±0.37	1.26±0.06	14±7	2.32±0.35	6.6±0.6	28±7	2.8±0.3
LX-OSL-210	63-90	2.1	1.15±0.06	5.43±0.27	1.19±0.06	16±8	2.06±0.3	10.5±0.7	19±4	5.1±0.4
LX-B-OSL-100	63-90	1	2.31±0.12	10.79±0.54	1.67±0.08	26±13	2.79±0.39	41.0±1.5	9±3	14.7±1.2
LX-B-OSL-150	63-90	1.5	1.63±0.08	7.02±0.35	1.19±0.06	15±8	2.26±0.34	34.6±1.7	12±4	15.3±1.1
LX-C-OSL-60	63-90	0.6	2.26±0.11	11.16±0.56	1.56±0.08	17±8	2.93±0.45	6.4±0.2	4±2	2.2±0.1
LX-C-OSL-160	63-90	1.6	2.43±0.12	9.72±0.49	1.44±0.07	32±16	2.46±0.32	46.9±2.0	10±4	19.0±1.8
LX-D-OSL200	63-90	2	2.00±0.10	8.69±0.43	1.36±0.07	18±9	2.54±0.38	40.2±1.5	8±3	15.8±1.1
LX-D-OSL450	63-90	4.5	1.36±0.07	6.57±0.33	1.27±0.06	13±7	2.25±0.34	35.6±2.1	9±6	15.8±1.2
LX-E-OSL-100	63-90	1	2.06±0.10	11.38±0.57	1.74±0.09	21±10	2.95±0.44	6.6±0.2	6±2	2.2±0.2
LX-E-OSL-220	63-90	2.2	2.11±0.11	11.18±0.56	1.74±0.09	34±17	2.66±0.35	48.0±1.5	7±3	18.0±1.7
LX-E-OSL-650	63-150	6.5	1.29±0.06	6.71±0.34	1.38±0.07	16±8	2.30±0.34	54.2±3.0	17±6	23.6±1.7
SJT-OSL-1	63-90	4	1.59±0.08	8.16±0.41	1.49±0.07	35±17	2.26±0.68	42.3±1.7	7±3	14.9±1.5
SJY-OSL-2	63-90	5.5	1.41±0.07	7.10±0.35	1.28±0.06	13±7	2.36±0.36	33.5±1.3	7±5	14.2±0.9
ZD-OSL-1	63-90	5	2.18±0.11	8.74±0.44	1.44±0.07	17±8	2.69±0.40	39.5±1.4	8±4	14.7±1.0
ZD-OSL-2	63-90	37	1.94±0.10	10.46±0.52	1.54±0.07	12±6	2.94±0.47	55.9±1.7	3±6	19.0±1.1
BLRA-OSL-1	63-90	3	1.12±0.06	5.52±0.28	1.00±0.05	15±8	1.93±0.27	11.3±0.6	16±4	5.8±0.4
BLRA-OSL-2	63-90	5	1.42±0.07	6.55±0.33	1.17±0.06	16±8	2.20±0.32	28.8±1.9	16±5	13.1±1.1
BLRA-OSL-3	63-90	2	1.33±0.07	6.72±0.34	1.21±0.06	11±5	2.32±0.36	21.5±1.0	12±3	9.3±0.6
ML-OSL-2	90-150	6.5	1.19±0.06	7.64±0.38	1.37±0.07	14±7	2.39±0.36	570.3±64.9	23±10	238.2±30.0
ZMD-A-OSL-1	63-90	1.5	2.27±0.11	11.11±0.56	2.21±0.11	20±10	3.41±0.53	83.6	29±10	24.5±5.6
ZMD-A-OSL-2	90-150	11.5	1.53±0.08	7.78±0.39	1.61±0.08	23±11	2.48±0.35	49.8±2.2	9±4	20.1±1.7
ZMD-A-OSL-3	63-90	12	1.32±0.07	6.95±0.35	1.38±0.07	16±8	2.35±0.35	13.5±0.2	4±2	5.7±0.3
ZMD-1	63-90	30	2.03±0.10	9.92±0.50	1.44±0.03	0.6±0.3	2.67±0.58	51.5±1.9	6±3	19.3±0.8
ZMD-2	63-90	35	2.13±0.11	10.88±0.54	1.59±0.03	1.2±0.6	2.87±0.61	54.5±1.6	4±4	18.9±0.6

447



448

449 **Figure 8.** (A) and (C) are dose response curves for aliquots of samples LX-E-OSL-220 and LX-E-
 450 OSL-100 with inset figures showing the natural decay curves. (B) and (D) are histogram of De
 451 distribution of the samples LX-E-OSL-220 and LX-E-OSL-100.

452 OSL dating results of fluvial, debris and colluvium deposits in this region yield 25 ages
 453 ranging from 2.2 ka to 24.5 ka, except the sample ML-OSL-2 (Table 1). In the
 454 subsidence region (Luoxu basin), T7, T4c, T4b, T3, are dated around 14-19 ka within
 455 the error margins, and T1 at c. 5 ka (Table 2 and Figure 4). The sand lens from the
 456 accumulation series below T3 is dated around 24 ka, which indicates the 62 m thick
 457 fluvial sediments accumulated prior to 24 ka. The samples from the massive silty layers
 458 of top units with ages of 2.2 ka in T7, 2.8 ka in T4b and 2.2 ka in T3 reflect reworked
 459 aeolian sediments covering these terraces (Figure 4).

460 In the uplifted region (Tongtian gorge), the terraces T4c and T4a are dated around 12-
 461 17 ka, and T2 at c. 9 ka (Table 2; Figure 4). The sand lens in site ZD is dated at 19 ka
 462 and demonstrates debris-flow sediment (T4c in transect EE') were deposited during the
 463 period 14.7-19.0 ka (Figure 6C). The sand lens in the sediment sequence of ML is
 464 dated >238 ka, indicating former aggradation before 238 ka (Figure 6B).

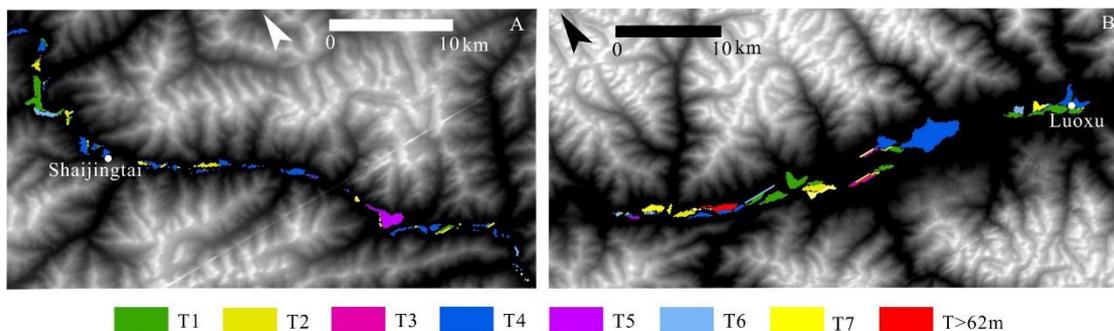
465 According to the definition of terrace ages (Vandenbergh, 2015), the age of a terrace
 466 is defined as the age of abandonment of the channels on their floodplain before incision,
 467 in other words lithologically corresponding with the boundary between gravel deposits

468 and fine-grained floodplain deposits. It means that in this study the terrace age is just
 469 after the youngest age in the gravels (Table 2). The valley in the headwaters of the
 470 Yangtze River has been filled with c. 60 m thick sediments before 19 ka. Subsequently,
 471 the river transformed from aggradation to generally continuous incision, episodically
 472 interrupted by phases of stability or lateral erosion. The latter interruptions initiated the
 473 formation of terraces at 62-38 m (T7-T5), 35-18 m (T4-T3), 13-11 m (T2), and 5 m (T1)
 474 above present floodplain, with ages of ~19 ka, ~17-13 ka, ~9 ka, and ~5 ka, respectively
 475 (Table 2).

476 As for the interbedded deposition of fluvial, debris and colluvium sediments in ZMD,
 477 the OSL ages of units 2, 4, 6, 10 center around 20 ka, except the age of 5.7 ka of unit 6
 478 (Figure 7). Thus, the interaction between fluvial, debris flow and colluvium processes
 479 happened around 20 ka. The age of 5.7 ka is to be considered as an outlier and should
 480 be disregarded.

481 4.5. Correlation of the terraces

482 Seven terraces were mapped along the river (labelled as T1 to T7 from young to old)
 483 (Figure 4 and Table 2). They are correlated on the base of elevation above the floodplain
 484 and age of deposits. In the Luoxu basin, they are typified by the shape of the wide valley
 485 and the low gradient of the riverbed, show similar sedimentary properties: fluvial
 486 gravels of various thickness are interbedded with sand lenses, silts, and ultimately
 487 capped by pebbly sand (Figure 6). In contrast, the gorge area (i.e. Yushu area) is
 488 characterized by its narrow transversal profile and steep valley sides, while the boulders
 489 and breccia between fluvial gravels and sands in the gorge terraces illustrate a
 490 provenance from the hillside or small tributaries (Figure 5). Terraces in the gorge, for
 491 example at Baliria, are relatively narrow and spatially discontinuous (Figures 6A and
 492 9A), but they are wide and flat in the Luoxu basin (Figures 5A, B and 9B).



493
 494 **Figure 9.** Terrace distribution in the Tongtian gorge (A) and the Luoxu Basin (B) (see locations in
 495 Fig.2). Arrows show north direction.

496 **Table 2**
 497 *The elevations apf, ages and incision rates (elevation/age) after terrace formation in the Luoxu*
 498 *basin and Tongtian gorge (headwaters of the Yangtze River, ETP).*

Terrace sequence	Luoxu basin			Tongtian gorge		
	apf (m)	Terrace age (ka)	Incision rate (mm/yr)	apf (m)	Terrace age (ka)	Incision rate (mm/yr)
T7	62	19.0±1.8	<3.3	55		
T6				42-46		
T5				38		
T4c	35	15.8±1.1	2.2	34	17-13	2-2.6
T4b	28	15.3±1.1	1.8			
T4a				22	13.1±1.1	1.7
T3	18	<18.0±1.7		18		
T2	13			11	9.3±0.6	1.2
T1	5	5.1±0.4	1.0	5		

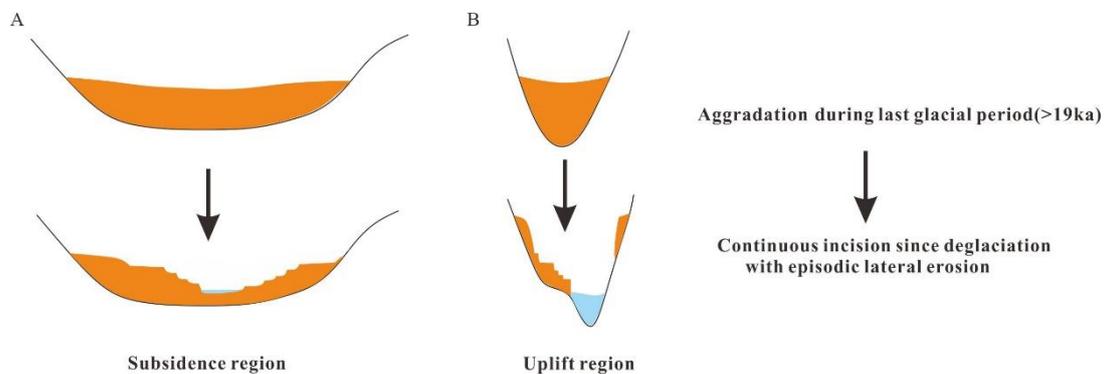
499 **5. Discussion**

500 **5.1. Response of terrace morphology to tectonic activities**

501 Heterogeneous tectonic activities may result in relative uplift and subsidence, leading
 502 to different patterns of fluvial sedimentation and valley evolution in different parts of
 503 the drainage system (Whipple et al., 1999; Bridgland et al., 2008; Vandenberghe et al.,
 504 2011; Wang et al., 2014; Duvall et al., 2015). Indeed, the diverse tectonic activities in
 505 one catchment could cause considerable changes of local channel slope, which may
 506 lead to local changes in stream transport capacity and further fluvial responses in
 507 different tectonic blocks of the catchment. For example, the Huangshui River (NE
 508 Tibetan Plateau) incised and an erosion terrace developed in the uplifted areas (creating
 509 deep gorges), and meanwhile thick deposits formed an accumulation terrace in the
 510 subsiding areas (Wang et al., 2010, 2014; Vandenberghe et al., 2011).

511 In contrast to such a succession, the headwaters of the Yangtze River show similar
 512 sedimentary processes (a single thick valley filling followed by continuous incision)
 513 and terrace patterns (cut-in-fill terrace) both in the relatively uplifted (Tongtian gorge)
 514 and subsiding (Luoxu basin) areas during the late Quaternary (Figure 10). Compared to
 515 the Huangshui River catchment, the headwaters of the Yangtze River occur at higher
 516 altitude and are characterized by stronger freeze-thaw processes, especially during the
 517 last ice age (Heyman et al., 2011; Ou et al., 2013), high relief and frequent slope failures

518 (Korup et al., 2010). Large amounts of sediments supplied to the valleys in the
 519 headwaters of the Yangtze River during the LGM, may have resulted in the transition
 520 from detachment-limited to transport-limited conditions of the drainage system, and
 521 extremely thick valley aggradation at the maximum cold conditions during the last
 522 glacial maximum (LGM). This exclusive aggradation may have restrained the effects
 523 of changing local valley slopes in the catchment caused by relative tectonic uplift and
 524 subsidence. In addition, similar incision rates in both uplifted and subsided areas reflect
 525 the negligible effects of tectonic movements on the terrace formation (Table 2). Thus,
 526 if tectonic differentiation between the basins and uplifted regions may be excluded as a
 527 cause for the different kinds of terrace formation, we suggest that the immense amount
 528 of sediment input into the drainage system may be the primary steering factor for fluvial
 529 reaction.



530
 531 **Figure 10.** Conceptual model of different terrace morphology with mainly accumulation in the
 532 relatively subsided basins (Luoxu basin) (A) and formation of gorges in the relatively uplifted
 533 regions (Tongtian gorge) (B) in the headwaters of the Yangtze River during the late Quaternary.

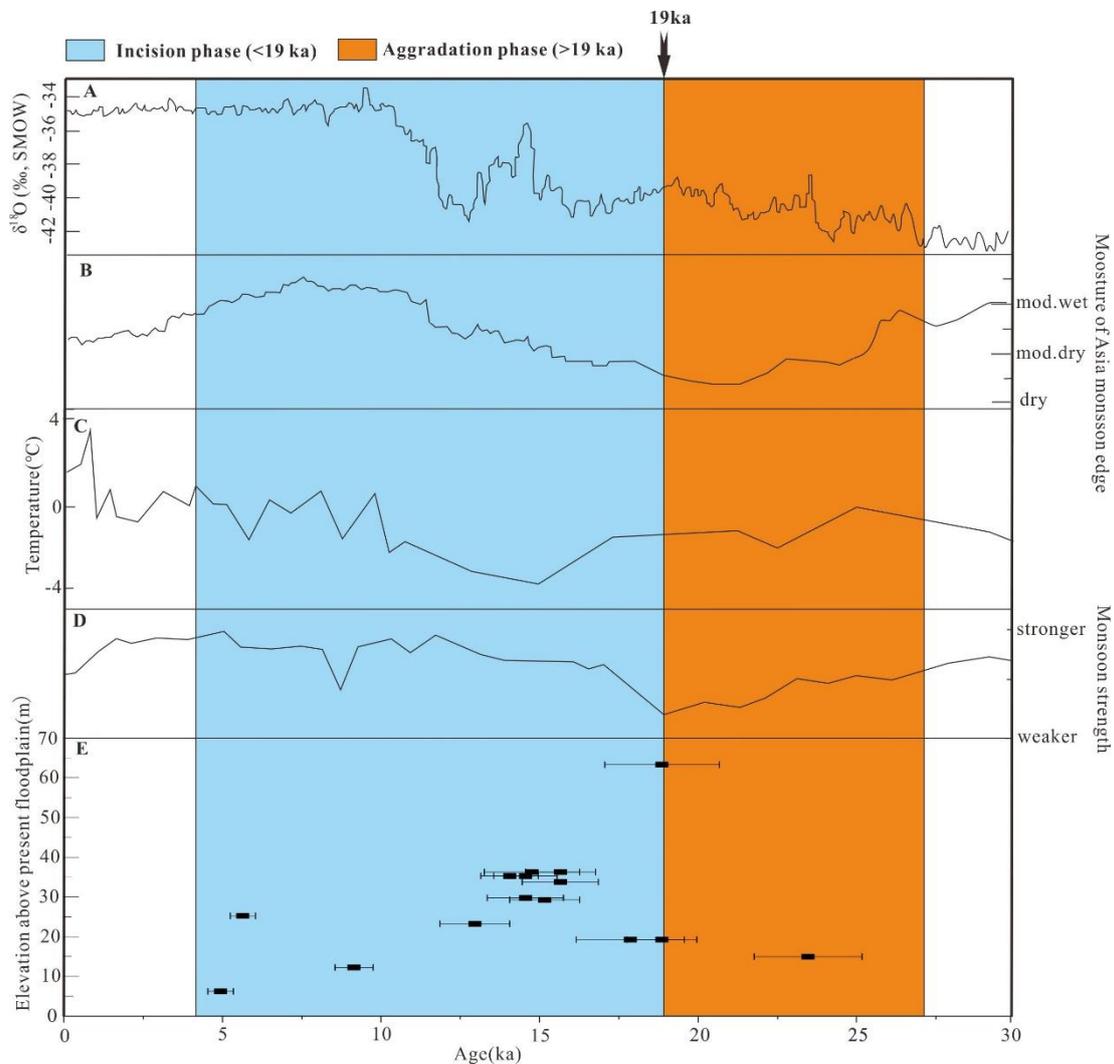
534 In spite of the similar terrace pattern and sedimentary processes in the subsided and
 535 uplifted areas, the spatial distribution and morphological outlook of the terraces are
 536 different in the individual tectonic blocks. The subsided area, the Luoxu basin, provides
 537 large storage space for lateral channel erosion and is characterized by wide and flat
 538 terraces in the center of the valley (Figure 10A). In contrast, in the uplifted region,
 539 spaces are limited for lateral erosion, and narrow terraces extend stepwise along the
 540 valley sides. In the gorge, bedrock is sometimes exposed in spite of the cut-in-fill terrace
 541 style (Figure 10B). This observation confirms that the uplift causes mainly downward
 542 erosion without terraces or with only narrow terraces along the river channel, while
 543 lateral erosion contributes to the formation of wide terraces in the case of subsidence
 544 (e.g. Wang et al., 2015; Bender et al., 2016, 2019).

545 **5.2. Response of terrace formation to climate change**

546 During LGM, low temperature and humidity and weak monsoon activity (Figures 11 C
547 and D) were favorable for low vegetation density (Zhao et al., 2020) and strong freeze-
548 thaw processes, which induced frequent and extreme mass movement and even glacial
549 processes in the east Tibetan Plateau (Ou et al., 2013; Heyman et al., 2011). Those
550 processes resulted in the supply of large amounts of sediments to the river channels and
551 thick valley aggradation. This aggradation phase is consistent with fluvial aggradation
552 around the Tibet Plateau during the last glacial periods (e.g. Ray and Srivastava., 2010;
553 Vandenberghe et al., 2011; Kothyari et al., 2016; Chahal et al., 2019). During the phase
554 of deglaciation, monsoon activity became stronger with increased precipitation and
555 denser vegetation cover (Figures 11 C and D). This resulted in higher discharges and
556 reduced sediment input, causing river incision and stepped terrace formation from c. 19
557 to 11 ka. Thus, episodic weak aggradation resumed during the phase of general river
558 degradation after 19 ka, developing terraces T6 to T3 (Figure11). After that,
559 temperature increased with small fluctuations while monsoon precipitation remained
560 relatively stable (Figure 11). As a result vegetation recovered steadily (Zhao et al.,
561 2020), leading to continued incision. Small fluctuations of precipitation and
562 temperature during the Holocene (Figure 11), and related changes of vegetation cover
563 (Zhao et al., 2020), may have resulted in episodic interruptions of the general incision
564 and the formation of terraces T2 and T1 at 9 ka and 5 ka, respectively (Figure 11C).
565 However, internal dynamic factors or episodic tectonic movements cannot be excluded
566 for these Holocene terrace formations (Schumm, 1993).

567 Fluvial aggradation during the cold LGM and incision during the next deglacial phase
568 occur widely in the surrounding areas. The Lancang River near the study area
569 experienced aggradation at 25-15 ka and incised afterwards (Zhang et al., 2018). In the
570 Himalaya, dry climate conditions during cold periods led to valley filling, while rivers
571 incised and formed terraces at wetter episodes during the late Quaternary (Ray and
572 Srivastava, 2010). In addition, in the Central Kumaun Himalaya, the major phase of
573 Saryu River valley filling was dated with the results between 22 and 14 ka (Kothyari et
574 al, 2016). The Zanskar valley (NW Himalaya) aggraded during the climatic transition
575 from the dry LGM to the wet early Holocene (20-12 ka) and followed by rapid incision
576 due to the strong India Monsoon (Chahal et al., 2019). The effective moisture
577 availability in the Asia monsoon edge was relatively low during LGM and high during

578 the Holocene (Figure 11B). Thus, we hypothesize that the glaciation and freezing
 579 processes during the LGM in high mountains could provide plenty of sediments to the
 580 valley. But, melting of glacier ice (Heyman et al., 2011) and intensified monsoon
 581 precipitation since deglaciation (Zhao et al., 2020) might contribute to increased river
 582 discharge and river incision in this high relief area.



583
 584 **Figure 11.** (A) Oxygen isotope records from the Greenland ice sheet (GRIP) (Johnsen et al.,
 585 2001). (B) The mean effective moisture from the Asian monsoon edge (Berger and Loutre, 1991).
 586 (C) and (D) are mean annual temperature and monsoon strength in Zoige basin in the ETP (Zhao et
 587 al., 2020). (E) OSL- ages of valley fill vs. elevation apf for fluvial terraces in this study.

588 **5.3. The potential effects of extreme events in the fluvial evolution of the upper** 589 **Yangtze River**

590 The fact that mass-flow and slope deposits did not occur continuously in the sections
 591 but rather episodically, especially in the gorge terraces and in the ZMD section, points

592 to occasional interruption of the fluvial process. In addition, the spatially irregular
593 occurrence of thick gravel deposits of >19 ka age (Figure 4) points to the local presence
594 of mass-flow and slope processes. Therefore, it is suggested that the latter deposits may
595 be attributed to local occurrence of slope failures or alluvial fans. Considering the
596 combined evidence of local and temporary presence of those deposits suggests local
597 and temporary favorable conditions to initiate this kind of slope processes, it means
598 rather exceptional or extreme conditions.

599 In the headwaters of the Yangtze River, the rugged terrain with frequent fault activities
600 is episodically vulnerable to extreme mass wasting and strong local orographic
601 precipitation, which may lead to extreme geomorphological processes such as
602 landslides and debris flows (e.g. Bao et al., 2020). This chain of successive extreme
603 events has produced abundant sediments to the valleys, and resulted in the repeatedly
604 short time blocking of the channel (such as the landslides in Baiyu in October 2018; e.g.
605 Liu et al., 2020), recorded as episodic debris and slope deposit interbedded in the fluvial
606 sediment sequence around 20 ka at the site of the ZMD site in the gorge area.

607 The multiple cycles of fluvial, debris flows and colluvium layers around 20 ka at the
608 sites of ZD and ZMD indicate that the change from cold-dry to warm-wet (Figure 11)
609 at c. 20 ka in combination with the delayed re-vegetation of the hillslopes (e.g. Sewell
610 et al., 2015), may have promoted a higher frequency of mass movement and debris flow
611 and block the river (Figures 6C, D and 7). This kind of geomorphic processes was also
612 found in the Minjiang and Jinsha Rivers at the margin of the Tibet Plateau (Wang et al.,
613 2007; Chen et al., 2008; Luo et al., 2019; Bao et al., 2020).

614 The angular boulders at site of ZMD may also indicate earthquakes that shocked and
615 fractured the bedrock at high elevations and triggered a large number of deep-seated
616 bedrock landslides (e.g. Hovius and Stark 2006). Indeed, seven paleo-earthquakes have
617 been identified along the Batang fault (near Yushu) at <22 ka, >14 ka, 14-9.5 ka, 8.0-
618 7.8 ka, >6.7 ka, 4.3-4.0 ka, and <2.7 ka (Huang et al., 2015), which may have produced
619 extreme event deposit (Figure 7). Glacier activities could also have formed glacial dams
620 and block the river in high mountains (e.g. Korup and Tweed, 2007). But it is debated
621 whether there was a large ice sheet during the late Pleistocene in the central and eastern
622 Tibet Plateau, although large numbers of glaciers in high mountains and upstream
623 valleys (such as Queer shan and Bayan Har Shan) have been reported (Kuhle et al.,

624 2004; Stroeven et al., 2009; Shi, 2004). Thus, until now, it is impossible to exclude
625 effects of glacial processes on the extreme events. However, these extreme events could
626 have had high potential contributions to the incision of the more than 1,000 m deep
627 canyon in this area and in other regions, which deserves further study.

628 **6. Conclusion**

629 Sedimentary facies analysis with OSL dating of depositional sequences at seven
630 transects with different relative tectonic activity background along the upper Yangtze
631 River identified terraces of T7-T3 (~19-13 ka), T2 (~9 ka), T1 (~5 ka), respectively.
632 The headwaters of the Yangtze River experienced aggradation from the valley base to
633 up to 62 m apf during the LGM; subsequently, the river transformed to continuous
634 incision with episodic lateral erosion and stability. A set of cut-in-fill terraces has
635 formed as a response to improved climatic conditions with increasing monsoon
636 precipitation and improved vegetation since deglaciation. The relative tectonic
637 activities dominated the distribution pattern and morphologic features of terraces, while
638 the drainage sediment input, directly related to climate change, acted as a primary
639 controlling factor on fluvial processes. In addition, the interbedded debris flows
640 deposits, fluvial deposits and colluvial sediments indicate that climate transformation
641 around 20 ka resulted in alternations of fluvial and slope sediments especially in the
642 gorge area. The latter deposits were episodic and possibly related to earthquakes,
643 climatic transitions, and/or glacial activities. As a result, ephemeral dams could be
644 created with later on occasionally spillovers and outbreaks, and even mega-floods.
645 These geomorphologic processes might lead to extreme fluvial incision and denudation
646 which are characteristic for the geomorphic change and landscape evolution on the
647 Tibet Plateau.

648

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656 elevation along the upper Yangtze River, De values of each disc for all OSL dating samples in this
657 study and the information of terrace distribution) could be free downloaded from the Zenodo data
658 repository (<https://doi.org/10.5281/zenodo.4264700>).

659

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