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Assessing soil erosion risk at national scale in developing countries: The technical challenges, a proposed methodology, and a case history

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Abstract

Through an extensive bibliographic review, this contribution underlines the urgency and challenges to quantify soil erosion rates (ERs) in developing countries. It subsequently elaborates on the combined application of GIS-based RUSLE, generalized likelihood uncertainty estimation (GLUE) principles and sediment delivery ratio functions (SDR) to quantify ERs at country scale for these countries, as they commonly have limited measurements to that purpose. The methodology, termed RUSLE-GGS (RUSLE-GIS-GLUE-SDR) herein, comprises the following sequence: (1) construction of ER samples using RUSLE-GIS based on freely available local/global geoenvironmental observations and field relations, (2) construction of area-specific sediment yield samples utilizing SDR transfer functions, and (3) assessment of the most behavioral samples by means of bias analysis and cross validation. Its application to Peru allows obtaining 5-km resolution ER and potential erosion maps for the years 1990, 2000, and 2010. RUSLE-GGS is highly replicable and could potentially be used as an initial standard and systematic method to estimate ERs in developing countries through the active participation of local scientists. Thus, it potentially can contribute to improve the capacity building in such countries and set an initial frame to compare the evolution of soil erosion in their territories towards attaining Goal 15 of the UN 2030 Agenda for Sustainable Development.

Keywords: Soil erosion, uncertainty, RUSLE, land use change, developing countries

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1. Introduction

Soil erosion is a natural phenomenon mainly induced by site meteorological, topographical, geological, land cover conditions (e.g., soil disturbances related to deforestation, mining, agriculture, construction, urbanization, population growth, etc.), and underlying geomorphological processes such as hill slope erosion, mass movement, and channel erosion. Soil erosion will very likely be intensified by large scale anthropogenic controls such as global warming (Nearing et al., 2004; Lal et al., 2011). As a consequence, soil erosion represents a global societal concern because: (1) it often degrades soil and water resources and triggers economic losses in several countries all around the World (Ribaud, 2009; Ayele et al., 2015), and (2) plays an important role in the global carbon cycle (Yang et al., 2003; Van Oost et al., 2007; Ito, 2007).

Some initiatives have been launched in recent years to improve World's social, economic, environmental conditions. The UN 2030 Agenda for Sustainable Development (United Nations, 2015) has set 17 goals for the year 2030 to that end. In specific, Goal 15 - life on land ("by 2030 governments need to protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss") is closely related to soil erosion. Lu et al. (2015) identified the following 5 priorities to accomplish these goals: (1) devising metrics so that the goals can be measurable, comparable and achievable; (2) establishing monitoring mechanisms to decide which values need to be tracked, and set up systems to acquire the data; (3) evaluating progress; (4) enhancing infrastructure, i.e. expanding Earth observation, ground-based monitoring and information processing capabilities; and (5) standardizing and verifying data, e.g. presenting the data as open access information.

Soil erosion rates (ERs) have been profusely estimated in developed countries through field, experimental and numerical modeling approaches, and at a wide range of spatio-temporal scales (Kirkby and Cox, 1995; Dedkov and Gusarov, 2006; Bellin et al., 2011; Morgan and Nearing, 2011; Cerdà et al., 2013). Conversely, a very limited number of such studies have been conducted in developing countries (Onyando et al., 2005; Shamshad et al., 2008; Labrière et al., 2015), even though there is a large suite of scientific evidence that (1) ERs are steadily increasing in their territories and likely reaching dramatic levels (Pimentel et al., 1995; Pham et al., 2001; Ananda and Herath, 2003; Boardman, 2006; Labrière et al., 2015; Borrelli et al., 2017), and (2) soil erosion is currently

30 one of the major environmental and geomorphic hazards exhibiting higher impacts in these countries
31 (Alcantara-Ayala, 2002; Mondal et al., 2017). Thus, to attain Goal 15, the quantification of ERs in
32 developing countries probably needs to be addressed with particular urgency.

33 Developing countries are mostly located in humid tropical regions (Sachs, 2001) and commonly
34 face technical, financial, regulatory, and capacity-building challenges to improve the availability of:
35 (1) spatio-temporal measurements and field relations to estimate ERs (Millward and Mersey, 1999;
36 Labrière et al., 2015); and (2) soil erosion observations (e.g., ERs, frequency and extent of erosion,
37 sediment yield) to calibrate or validate erosion models. In particular, sediment yield data is usually
38 only available for large rivers, and, in many instances is insufficient in length, consistency, and con-
39 tinuity; and moreover, it is rarely publicly available (Labrière et al., 2015).

40 Several models to estimate ERs exist. They have been characterized as follows: (1) empirical or
41 statistical models (e.g., SEDD, PSIAC) which are mainly based on the Revised Universal Soil Loss
42 Equation, RUSLE; (2) conceptual models (e.g., SEDNET, SWAT), which commonly describe catch-
43 ment processes without providing specific details of their interactions; and (3) physically based models
44 (e.g., WEPP, PESERA, EUROSEM) which are based on the equations of conservation of mass and
45 momentum for flow and the equations of conservation of mass for sediment (de Vente et al., 2013;
46 Hajigholizadeh et al., 2018). The distinction between models is however diffuse for they couple mod-
47 ules from each of these categories (Ranzi et al., 2012; de Vente et al., 2013). Likewise, past research
48 has highlighted the strong dependency of empirical, conceptual and physically based models on the
49 availability of high resolution spatio-temporal input and calibration data, and the critical need of
50 long and continuous simulations to reliably predict soil erosion (Merritt et al., 2003; Nearing, 2004;
51 Ranzi et al., 2012; de Vente et al., 2013; Borrelli et al., 2017). Therefore, the selection of the most
52 suitable model is subjected to the intended use and available data.

53 RUSLE was basically developed to estimate long-term average soil loss (i.e. gross erosion) and has
54 been applied not only at small scales, but also at large scales, i.e. national, continental, and global
55 scales (de Vente et al., 2005, 2008; Jetten and Maneta, 2011; Naipal et al., 2015; Panagos et al.,
56 2015; Martin-Fernandez and Martinez-Nuñez, 2011). Typically, the main purpose of national scale
57 estimations has been showing historical average erosion risk information to be used by policy-makers
58 and territorial planning authorities, and to identify critical soil erosion prone areas that might need

59 institutional attention and/or require finer spatio-temporal assessment (Van der Knijff et al., 2000;
60 Šúri et al., 2002; Terranova et al., 2009). Some of these estimates (Šúri et al., 2002; Terranova et al.,
61 2009; Ranzi et al., 2012) were obtained by adopting Geographical Information System (GIS) tech-
62 niques to treat data for the application to the RUSLE model.

63 In order to achieve Goal 15 of the UN 2030 Agenda for Sustainable Development, developing coun-
64 tries must firstly concentrate their efforts in the first and fifth priorities proposed by Lu et al. (2015).

65 We posit that the studies to that end should be gradually conducted by local scientists to improve
66 their capacity-building in these countries as well. Thus, it is reasonable to state that on the basis of
67 Priority 1, there is a need to: (1) estimate soil erosion rates at both national scale and annual scale
68 by following a standard method, (2) set a standard base line year for future comparison. The appli-
69 cation of the RUSLE-GIS model based on publicly available local and satellite observations appears
70 to be the most accessible mean to meet this necessity. That nevertheless demands generalizing detail
71 in data and coping with the structural paucity of soil erosion measurements, which makes model
72 validation challenging and imposes higher uncertainty into the model outputs.

73 Several studies have tackled RUSLE uncertainty. For instance, at global scale RUSLE-based ERs
74 were validated using spatial extrapolation of plot experiments data from the NRI database for the
75 USA and erosion estimates for Europe, and subsequently they were compared with global sediment
76 yield observations from the World's major rivers (Pham et al., 2001; Van Oost et al., 2007; Ito, 2007;
77 Naipal et al., 2015). Borrelli et al. (2017), meanwhile, used Markov Chain Monte Carlo approach.
78 At catchment scale, RUSLE-based ERs have been validated using sediment delivery ratio (SDR)
79 equations, in which SDR was used as a proxy parameter to estimate catchment sediment yield from
80 gross erosion (Catari Yujra and Saurí i Pujol, 2010; Lee et al., 2014; Swarnkar et al., 2017). Like-
81 wise, Swarnkar et al. (2017) coupled Monte Carlo, RUSLE and SDR at catchment scale in India and
82 obtained ER estimates with acceptable level of uncertainty.

83 In recent years Generalized Likelihood Uncertainty Estimation (GLUE) principles have been adopted
84 to estimate the uncertainty of erosion models. For example de Vente et al. (2008); Jetten and Maneta
85 (2011) coupled GLUE and SDR estimates to validate physically based erosion models at regional
86 scale. GLUE considers that in field applications it is very difficult to specify a consistent model
87 of the output errors due to our imperfect knowledge of the system and the associated uncertainty

88 of the input data, and by virtue of that, different parameter sets can produce acceptable results
89 (Freer et al., 1996; Brazier et al., 2000, 2001; Aronica et al., 2002; Wei et al., 2008; Beven et al.,
90 2008; Quinton et al., 2011). Far from the prevalent approach that parametrizes the RUSLE fun-
91 damental parameters and calibrate the outputs with local observations, an application of GLUE
92 into RUSLE-based models would estimate the likelihood of a given set of models, parameters and
93 variables. That would also agree with a body of evidence that suggests that model predictions that
94 are produced through the random generation of parameter values can perform better than those
95 produced by classical calibration (Brazier et al., 2000; Beven and Brazier, 2011).

96 This contribution aims to present a novel method termed RUSLE-GGS (RUSLE-GIS-GLUE-SDR)
97 and has the following specific objectives: (1) describing the technical details of RUSLE-GGS, which
98 unlike previous methodologies can potentially provide reliable ERs estimates at country scale to
99 address the urgency to quantify the dynamics of soil erosion in developing countries in accordance
100 to Goal 15 from the UN 2030 Agenda for Sustainable Development; and (2) elaborating on the
101 application of RUSLE-GGS to Peru for the years 1990, 2000 and 2010.

102 2. Data and methods

103 2.1. Study area

104 2.1.1. Geoenvironmental conditions

105 Peru is located on the Neotropic ecoregion (Fig. 1-a). It occupies 1.29×10^6 km² and traditionally
106 has been divided into three main natural regions (Fig. 1-b and 1-c), namely: coastal (western),
107 andean (central), and amazonian (eastern), which occupy 12%, 28%, and 60% of the Peruvian
108 territory, respectively. The main biomes in Peru (Fig. 1-c) are deserts and xeric shrublands (coastal
109 region), montane grasslands and shrublands (andean region), and tropical and subtropical moist
110 broadleaf forests (amazonian region) based on Olson et al. (2001).

111 According to the Köppen-Geiger climate classification scheme (Fig. 1-d): (1) the amazonian region
112 mostly comprises types *Af* (tropical rainforest) in the Northern portion and *Am* (tropical monsoon)
113 in the central and Southern portions; (2) the andean region mainly encompasses type *Aw* (tropical
114 savannah) in the Northern portion and *BSk* (arid cold steppe) in the central and Southern portions;
115 and (3) the coastal region mostly comprises type *BWh* (arid hot desert) in the Northern and central

116 portions and *BWk* (arid cold desert) in the Southern portion (Peel et al., 2007). Two global scale
117 weather patterns control the climatic conditions of Peru, namely: (1) the tropical climate that
118 affects 60.1% of South America (Peel et al., 2007); and (2) the occurrence of severe rainstorms when
119 El Niño Southern Oscillation (ENSO) hits the arid coastal region (e.g., in 1972, 1983, 1987, 1998,
120 2015) causing dramatic changes in sediment fluxes at a multidecadal time scale (Quinn et al., 1987;
121 Takahashi et al., 2011; Laraque et al., 2009). Global models also suggest that global warming could
122 induce considerable precipitation variations in the Peruvian territory (Vuille et al., 2008).

123 *2.1.2. Socio-economic conditions*

124 From the 70's on Peruvian society has been transformed by the sustained growth of coastal urban
125 centers as a result of massive migration of people from the andean region (Skeldon, 1977; Matos,
126 2012). Thus, in 2015, most of the Peruvian population lived in the coastal region (56.3%), followed by
127 the andean region (29.7%), and the amazonian region (14%) (INEI, 2016). Peruvian economy chiefly
128 relies on its natural resources such as mining in the andean region, and petroleum and gas in the
129 amazonian region (Vuohelainen et al., 2012; OXFAM, 2014). Likewise, in 2012, the total cultivated
130 land area was 0.07×10^6 km², which was distributed as follows: 46.3% in andean region, 30.1% in
131 the amazonian region, and 23.7% in the coastal region (INEI, 2012). Peru is also steadily increasing
132 its infrastructure portfolio.

133 *2.1.3. Soil erosion features*

134 Soil erosion in Peru is highly variable geographically and regarded as a very serious problem
135 (World Bank, 2009). This high spatial variability is explained by particular topographic and climate
136 controls such as: (1) the central Andes which is considered one of the global erosion hotspots on ac-
137 count of the convective storms it prompts in the dry highlands (Morera et al., 2013; Espinoza et al.,
138 2012; Boardman, 2006; Borrelli et al., 2017); and (2) the Amazon rainforest that occupies a large
139 portion of its territory. However, despite this critical condition there is not an specific erosion control
140 regulatory framework in this country, and to the best of our knowledge, no quantitative study of
141 soil erosion at national scale has been conducted for its territory. The last official map by INRENA
142 (1996) solely presents qualitative information on the matter.

143 Peru has insufficient hydrometeorological observations to estimate sediment yield and ERs (Morera et al.,

Figure 1: (a) country location on terrestrial ecoregions; (b) main natural regions (limited by white dotted lines): coastal (western), andean (central), and amazonian (eastern); (c) Peru's main biomes after Olson et al. (2001); and (d) main climates after Peel et al. (2007): *Af* (tropical rainforest), *Am* (tropical monsoon), *Aw* (tropical savannah), *BSh* (arid hot steppe), *BSk* (arid cold steppe), *BWh* (arid hot desert), *BWk* (arid cold desert) *Cfa* (temperate, without dry season, hot Summer), *Cfb* (temperate, without dry season, warm Summer), and *Cwb* (temperate, dry Winter, warm Summer).

144 2013; Latrubesse and Restrepo, 2014). For instance, global estimates of suspended sediment fluxes
145 by Peucker-Ehrenbrink (2009) were based on annual suspended sediment flux data from 599 rivers
146 only covering 4.7% of rivers from western South America, yet no one represented the Peruvian

territory. Similarly, a small number of studies at field plot/hillslope scale (Alegre and Rao, 1996; Alegre and Cassel, 1996; Inbar and Llerena, 2000; Romero et al., 2007), and basin scale (Harden, 2006; Laraque et al., 2009; Tote et al., 2011; Morera et al., 2013; Pepin et al., 2013) were performed in Peru.

2.2. Data

Conducting temporal assessments of ERs at national scale in developing countries will possibly need setting a benchmark in the year 1990. That stems from resolution restrictions from satellite measurements and poor technical quality of information from local agencies prior to that year. Thus, for Peru such assessment is performed for the years 1990, 2000 and 2010 and is based on raw data described in Table 1, which can also be accessed from Rosas and Gutierrez (2017).

The raw data structure and data flow is depicted in Figure 1, which shows that the raw data was mainly used to obtain the fundamental parameters of RUSLE-GIS. The procedure to that end is detailed in the Supplementary Material.

Table 1: Input data used for the assessment of soil erosion in Peru for the years 1990, 2000 and 2010

Description	Source	Resolution	Year	Reference
1 Global precipitation climatology project (GPCP)	NOAA	2.5°	1979-2009	Adler et al. (2003)
2 Tropical rainfall measuring mission (TRMM)	NASA	0.25°	1998-2010	Huffman et al. (2007)
3 Rainfall data	ANA ¹	Monthly	Varies	
4 Sand, silt and clay content maps	ISRIC - WSI ²	1 km	2013	ISRIC (2013)
5 Organic carbon content map	ISRIC - WSI ²	1 km	2013	ISRIC (2013)
6 ASTER digital elevation model	JSS ³ - NASA	30 m	2009-2011	METI and NASA (2011)
7 Global forest canopy height	ORNL-DAAC (NASA)	1 km	2011	ORNL-DAAC (2011)
8 Global land use/land cover images (15 classes)	USGS EROS	0.1°	1992-1993	Loveland et al. (2000)
9 The Global land cover facility (17 classes)	MODIS	0.25'	2001	Channan et al. (2011)
10 Global land cover share database (10 classes)	FAO	1km	2014	Latham et al. (2014)
11 Ecological Peruvian map (shapefiles, 106 classes)	ONERN ⁴		1997	
12 Vegetative cover Peruvian map (shapefiles, 39 classes)	MINAM ⁵		2010	

¹ Autoridad Nacional del Agua (Peru)

² World soil information

³ Japan Space System

⁴ Oficina Nacional de Evaluación de Recursos Naturales (Peru)

⁵ Ministerio del Ambiente (Peru)

A set of stations (Table 2) were selected to obtain are-specific sediment yield (SSY) observations

161 from stream flow-sediment sampling stations and sediment reservoir surveys. They were chosen based
 162 on their free availability, and are spatially distributed to try to best represent Peru's meteorological
 163 and topographical characteristics. These stations encompass two watersheds running towards the
 164 Pacific Ocean (Jequetepeque, Chira, and Santa) and two watersheds running to Amazon tributaries
 165 (Urubamba, and Marañon). Additionally, we used the SSY estimate for the whole Eastern Peruvian
 166 Andes (average $1,113 \times 10^6$ t/y for the year 2005) by Latrubesse and Restrepo (2014), which was
 167 assumed to be valid for both the years 2000 and 2010, and later corroborated by our results.

Table 2: Area-specific sediment yield measurements ($SSY_{i,j,y}$) used in this study¹

Station	Station name	Station coordinates	Type ²	Area (km^2)	Available data for	Res. ³	y	Reference	
1	Chira	Poechos	04°40'S, 80°30'W	RES	6,344	1976-2009	Y	1990, 2000, 2010	ANA (2010)
2	Jequetepeque	Gallito Ciego	07°06'S, 78°30'W	RES	3,317	1976-2009	M	1990, 2000, 2010	Technical report
3	Santa	Condorcerro	08°40'S, 78°16'W	SSS	10,415	1999-2009	M	2000, 2010	Morera et al. (2013)
4	Urubamba	Atalaya	10°44'S, 73°47'W	SSS	55,757	2004-2015	M	2010	Hybam ⁴
5	Marañon	Borja	04°27'S, 77°27'W	SSS	42,561	2003-2016	M	2010	Hybam ⁴
6	EPA ⁵			REG	298,530	2004-2006	Y	2000	Latrubesse and Restrepo (2014)

¹ All the data is presented in Rosas and Gutierrez (2017)

² RES=reservoir, SSS=streamflow sediment sampling station, REG=region

³ Resolution: Y=yearly, M=monthly

⁴ Hybam website: <http://www.ore-hybam.org/>

⁵ EPA=Eastern Peruvian Andes

168 2.3. Methods

169 RUSLE-GGS is aimed to assess the uncertainty in using the RUSLE-GIS model to estimate
 170 soil ERs at national scales in developing countries. It tackles such uncertainty by using the GLUE
 171 method, which is adapted in this study in the following sequence:

- 172 (i) *Construction of ER samples*: a set of RUSLE-GIS samples are built from realizations of the
 173 fundamental model parameters (see the Supplementary Material on RUSLE-GIS). These real-
 174 izations are constituted by available local and global geoenvironmental data and field relations.
- 175 (ii) *Construction of area specific sediment yield samples (SSY^*)*: SDR equations are utilized as
 176 transfer functions to create SSY^* samples from ER samples.
- 177 (iii) *Assessment of the most behavioral ER samples*: past research standards are applied to define the
 178 likelihood bound of SSY^* . Subsequently, behavioral SSY^* samples are identified by performing
 179 cross validation of the ER parameters transferability to select the behavioral ER sample for a
 180 given year. Additionally, behavioral ER samples are compared with results from global models.

181 The main building blocks of the application of RUSLE-GIS to Peru are displayed in Fig. 2 and
182 are fully described as follows. The reader can access to all the information to build *ER* and *SSY**
samples from Rosas and Gutierrez (2017).

Figure 2: Flow diagram of the main building blocks of RUSLE-GGS. See the Supplementary Material for technical details on RUSLE-GIS.

183

184 *2.3.1. Construction of RUSLE-GIS-GLUE based ER samples*

185 A matrix $\{E_y^{[1]}, E_y^{[2]}, \dots, E_y^{[24]}\}$ of 24 $E_y^{[k]}$ ER samples using Eq. A.1 were built for each year of
 186 study y , where $y \in \{1990, 2000, 2010\}$. Each $E_y^{[k]}$ was based on the following N realizations of the
 187 five fundamental parameters of RUSLE which are presented in detail in the supporting information
 188 by Rosas and Gutierrez (2017):

- 189 (i) Six realizations ($N = 6$) of the rainfall erosivity factor obtained by using satellite precipitation
 190 data ($\{R_y^{[1]}, \dots, R_y^{[3]}\}$) and ground precipitation measurements ($\{R_y^{[4]}, \dots, R_y^{[6]}\}$) as input pa-
 191 rameters for Eqs. A.2a-A.2d. The equation by (Renard and Freimund, 1994), which is only
 192 applicable to regions exhibiting low precipitation rates, was used solely in regions having less
 193 than 200 mm of annual precipitation, i.e., mainly in the coastal region that comprises class
 194 *Ea23* and *Aa22* arid land areas.
- 195 (ii) One realization ($N = 1$) for the soil erodibility factor (K) defined by Eq. A.3 which remains
 196 static for each year y .
- 197 (iii) Two realizations ($N = 2$) for the cover and management factor based on the data source from
 198 which were obtained, namely: $C_y^{[1]}$ from global data, and $C_y^{[2]}$ from data published by local
 199 agencies.
- 200 (iv) Two realizations ($N = 2$) of the slope length/steepness (LS) factor, namely, $LS^{[1]}$ from Eqs.
 201 A.4a-A.4d, and $LS^{[2]}$ based on the LS-TOOL output, which remain static for each year y .
- 202 (v) One realization ($N = 1$) for the support practice factor P (Eq. A.5).

203 *2.3.2. Construction of area-specific sediment yield samples (SSY*)*

204 Sediment production can be described by: (1) SY and area-specific sediment yield (SSY) measured
 205 at either streamflow-sediment sampling stations or sediment reservoir surveys; and (2) sediment
 206 delivery ratio (SDR) representing the fraction of soil erosion supply from the catchment to the
 207 streams, i.e. the ratio between SY and ER (Alatorre et al., 2010; Vigiak et al., 2012). Thus, by
 208 using bulk area-specific ER ($\bar{E}_y^{[k]}$ in $t/h/y$ in Eq. 1) from j specific locations and a set of SDR
 209 transfer functions (Table 3), proxy area-specific sediment yield samples ($SSY_{i,j,y}^*$ in Eq. 1) were

Table 3: SDR transfer functions utilized to obtain SSY* samples

Equation	Parameters description	Area (km^2)	Source
$SDR_1 = 0.627 \times (SLP)^{0.403}$	SLP : slope of the main stream channel in %	0.5-18	Williams and Berndt (1972)
$SDR_2 = 1.817 \times A^{-0.132}$	A: catchment area in km^2	6.6-800	Sharda and Ojasvi (2016)
$SDR_3 = exp\{1.7935 - 0.14191 \times \log A\}$	A: catchment area in km^2	1-262	Renfro (1975)
$SDR_4 = 0.42 \times A^{-0.125}$	A: catchment area in mi^2	1-500	Vanoni (1975)
$SDR_5 = 0.51 \times A^{-0.110}$	A: catchment area in mi^2	0.5-150	USDA-NRCS (1979)
$SDR_6 = 1.366 \times 10^{-11} \times A^{-0.00998} \times (ZL)^{0.3629} \times (CN)^{5.444}$	A: catchment area in km^2 ZL: relief-length ratio in m/km CN: long-term average US Soil Conservation Service curve number that is used to estimate runoff	200	Williams (1977)

210 obtained.

$$SSY_{i,j,y}^* = SDR_i \times \bar{E}_y^{[k]}; \text{ for } i = 1, 2, \dots, j \quad (1)$$

211 SDR_i is a dimensionless parameter expressed in decimal form and $SSY_{i,j,y}^*$ is expressed in $m^3/h/y$
 212 after assuming an average sediment specific weight of $1.2 t/m^3$ (Montgomery, 2007; Ito, 2007).

213 2.3.3. Assessment of the most behavioral ER samples

214 GLUE requires determining a likelihood measure to assess the goodness of fit between SSY* and
 215 SSY observations (Table 2). However, since in most of environmental modeling it is difficult to define
 216 a likelihood measure to that purpose, the choice of likelihood based on GLUE is in general subjective,
 217 the only formal requirement is that it should be zero for all non-behavioral outputs (Brazier et al.,
 218 2000). In this study, two likelihood functions were employed: the bias and the Nash-Sutcliffe index.
 219 Past GLUE applications in soil erosion and hydrologic modeling (Kim and Gilley, 2008; Houska et al.,
 220 2014) have used the bias function (Eq. 2) to quantify the model tendency to over or under estimate
 221 the measurements. Other soil erosion studies (Bingner et al., 1989; Hui et al., 2010) have accepted
 222 SY rates results differing less than 20% from SY measurements. RUSLE-GGS hence assumes an a
 223 priori bias of $\pm 20\%$ respect to SSY measurements (dotted horizontal lines in Figure 3).

$$Bias = \frac{SSY - SSY^*}{SSY} \times 100 \quad (2)$$

224 After selecting the scenarios falling inside the bias acceptable bounds, a full cross validation for
 225 all the stations was performed. It basically implied testing the parameter settings of a behavioral
 226 sample $E_y^{[k]}$ on another site and vice versa. The Nash-Sutcliffe index (NSE in Eq. 3) was subsequently
 227 used to quantify the model's sensitivity to outliers. In Eq. 3 \overline{SSY} represents the mean SSY from
 228 j observations for a given year y . $NSE=1$ when the model predicts the observations perfectly and
 229 $NSE=0$ when the model has the same goodness of fit as the observations average (de Vente et al.,
 230 2013). Samples having $NSE < 0$ imply that the cross validation produces more variation than the
 231 observations (Betrie et al., 2011; Haregeweyn et al., 2013; Houska et al., 2014).

$$NSE = 1 - \frac{\sum_{m=1}^j (SSY_m - SSY_m^*)^2}{\sum_{m=1}^j (SSY_m - \overline{SSY})^2} \quad (3)$$

232 A second-stage assessment was performed by comparing RUSLE-GGS outputs with those from
 233 global erosion models by Kirkby and Cox (1995); Van Oost et al. (2007); Doetterl et al. (2012);
 234 Naipal et al. (2015). The assessment mainly consisted on comparing the orders of magnitude of bulk
 235 erosion rates and potential soil erosion (PE in Eq. 4 expressed in $t/h/y$) at the coastal ($176, 117 km^2$),
 236 andean ($361, 929 km^2$), and amazonian ($751, 075 km^2$) regions based on the regional limits displayed
 237 in Fig. 1-b. PE is defined as the product of the R , K , L , and S RUSLE factors. PE maps reflect
 238 the soil vulnerability to erosion when it does not have any vegetative cover and any erosion con-
 239 trol practice is implemented, and thereby provides information on the most critical scenario for soil
 240 erosion hazard (Šúri et al., 2002).

$$PE = R \times K \times L \times S \quad (4)$$

241 3. Results

242 3.1. RUSLE-GGS efficiency

243 Equations A.1 through A.5 were used to build 24 ER samples ($\{E_y^{[1]}, \dots, E_y^{[24]}\}$), and subse-
 244 quently, by using 6 SDR transfer functions (Table 3), 144 area-specific sediment yield samples
 245 (SSY^*) were obtained for each year $y \in \{1990, 2000, 2010\}$, and for each station in Table 2. Thus,
 246 this study is based on 1,728 SSY^* samples whose likelihood were evaluated by using the Bias func-

Figure 3: Assessment of the behavioral SSY^* samples for the years 1990, 2000 and 2010. Black dotted lines represent the Bias function upper and lower 20% limits. Red circles depict non-behavioral samples, and blue filled squares depict behavioral samples laying inside the Bias function acceptable area. Black triangular marks represent the behavioral samples having $NSE > 0$.

247 tion (Eq. 2) and the Nash-Sutcliffe index (Eq. 3).

248 A custom computer program was built to analyze the spatio-temporal likelihood distributions of
249 the SSY^* samples. Figure 3 shows the results from both the streams flowing to the Pacific Ocean
250 (Stations 1, 2, and 3) and to the Amazon River (Stations 4, 5, and 6). In Fig. 3, the bias bounds

251 of $\pm 20\%$ are represented by horizontal dotted lines which allowed for identifying 131 out of 1,728
 252 behavioral SSY^* samples. The assessment of the behavioral SSY^* samples through cross-validation
 253 indicates that 6 out of 131 present $NSE > 0$.

254 The behavioral samples are predominantly obtained by using the SDR_1 transfer function (Fig. 4-a),
 255 rainfall erosivity factor $R^{[1]}$ (Eq. A.2a using satellite precipitation input data), cover and manage-
 256 ment factor $C^{[1]}$ (based on global data) and slope length/steepness factor $LS^{[2]}$ (LS-TOOL output),
 257 which together constitute $E^{[13]}$ (Fig. 4-b). These samples are spatially distributed as follows: 51
 258 correspond to Pacific streams (Fig. 4-c-d) and 80 to Amazonian streams (Fig. 4-e-f). They are
 259 temporally distributed in this fashion: 20 (1990), 65 (2000), and 46 (2010).

260 The accuracy of RUSLE-GGS outputs is described herein in terms of the average of the behavioral
 261 samples ($\overline{SSY^*}$), which as anticipated, exhibits strong spatio-temporal variability. In 1990, $\overline{SSY^*} =$
 262 $0.37 \times 10^6 \text{ m}^3/\text{h}/\text{y}$ at Gallito Ciego station (Jequetepeque basin), and $\overline{SY^*} = 3.35 \times 10^6 \text{ m}^3/\text{h}/\text{y}$ at
 263 Poechos station (Chira basin). Similarly, for the year 2000, $\overline{SSY^*}$ rates of 2.96 and $28.3 \times 10^6 \text{ m}^3/\text{h}/\text{y}$
 264 were obtained at these stations. Interestingly enough, no behavioral sample exists for the Condorcerro
 265 gauging station (Santa basin).

266 In the whole Eastern Peruvian Andes we estimated an average SY of $984 \times 10^6 \text{ t}/\text{y}$, which lays very
 267 close to that obtained in that study ($1,113 \times 10^6 \text{ t}/\text{y}$). RUSLE-GGS exhibits a low performance
 268 for the year 2000. It nevertheless best performs in 2010, in which $\overline{SY^*}$ estimates of 4.7, 3.1, 3.7,
 269 99.4, and $219.7 \times 10^6 \text{ m}^3/\text{h}/\text{y}$ were obtained for the Condorcerro, Gallito Ciego, Poechos, Borja, and
 270 Atalaya stations, respectively (Fig. 5-i). Our results also indicate that SSY^* rates in Santa, Chira,
 271 Urubamba, Marañón, and Jequetepeque rivers are proportional to the basin area.

272

273 After assessing the behavioral samples, PE maps (Fig. 5a-c) and ER maps (Fig. 5d-f) were
 274 developed for the years 1990, 2000, and 2010. They show that RUSLE-GGS provides estimates that
 275 have the same order of magnitude as those from global soil erosion models for the years 1990 and
 276 2000, and for the coastal and amazonian regions (Fig. 1-b), although it is not always the case for the
 277 andean region.

Figure 4: Probability of: (a) SDR transfer functions, (b) ER samples based on the *SSY** behavioral samples, (c-d) SDR transfer functions and ER samples for streams flowing to Eastern Andes, and Western Andes (e-f). From 1990 to 2010, the most probable ER sample is $E^{[13]}$ which is constituted by $R^{[1]}$, $C^{[1]}$, $LS^{[2]}$.

278 3.2. Spatio-temporal evolution of ERs in Peru

279 For the period 1990-2010, ER maps evince that the mean highest ERs ($> 50 t/h/y$) are found in
 280 the andean (31%) and coastal (11%) regions. Conversely, for the same period, low ERs ($< 10 t/h/y$)
 281 persistently covers $\sim 60\%$ of the amazonian region. As expected, the andean region presents the
 282 highest PE ($> 500 t/h/y$), which covers $\sim 39\%$ of its territory.

283 A spatio-temporal analysis of ERs emphasizes that moderate rates ($10 - 50 t/h/y$) have notably in-
 284 creased in the the western Peruvian Andes and the coastal region for the periods 1990-2000 (Fig. 5.d)
 285 and 2000-2010 (Fig. 5.e).

286 The average national ER shows the following evolution: $\sim 24 t/h/y$ (1990), $\sim 12 t/h/y$ (2000) and
 287 $\sim 33 t/h/y$ (2010). For the period 1990-2000 the highest ERs in the country increased 3% in average;
 288 similarly, for 2000-2010 it increased 10%. The highest increase is observed in the andean region, as
 289 follows: 10% (1990-2000) and 30% (2000-2010).

290 As shown in Figure 6, for the year 2010, Moquegua and Apurimac provinces (southern Peru, Fig. 5-
 291 f), which are mostly located in the andean region, feature the highest proportion of their territories
 292 with severe erosion.

Figure 5: RUSLE-GGS output for Peru at 5-km resolution. (a)-(c) PE rates maps for 1990, 2000 and 2010, respectively. (d)-(f) ER maps for the same years. (g) ER gradients maps for period 1990-2000 and 2000-2010 (h). (i) locations of the SSY gauging stations and the limits of the Eastern Peruvian Andes region after Latrubesse and Restrepo (2014).

293 4. Discussion

294 4.1. RUSLE-GGS, the proposed methodology

295 The critical affectation of many developing countries by soil erosion has been reported in several
296 studies (Pimentel et al., 1995; Pham et al., 2001; Alcantara-Ayala, 2002; Ananda and Herath, 2003;
297 Boardman, 2006; Labrière et al., 2015; Mondal et al., 2017; Borrelli et al., 2017). As described in
298 Section 2.1, Peru, an upper-middle-income economy, epitomizes such situation. It is therefore rea-
299 sonable arguing that it might be much worse in poorer countries.

300 Soil erosion studies require quantifying uncertainties associated to the complexity of the physical pro-

cesses and the scarcity of accurate field observations for calibration (Cea et al., 2016). Even though developed countries have considerable SY and ER field datasets, still several researchers believe that they are not long enough to apply and calibrate sophisticated soil erosion models (Ferro and Porto, 2000; Nearing, 2004). As highlighted in this contribution, developing countries feature insufficient input data and restricted observations to calibrate erosion models. For example, water discharge and SY are poorly characterized at the western South America (Peucker-Ehrenbrink, 2009), possibly because collecting SY measurements is expensive (Hudson, 1993; McCool and Busacca, 1998; Onyando et al., 2005). As a consequence, sophisticated models only can be applied to a very limited number of watersheds.

Empirical models such as RUSLE are relatively simple, robust in structure and thereby, have been widely used in the assessment of soil erosion under scarcity of field data, and when integrated with GIS on grid-cell basis, it allows for analyzing spatially distributed soil erosion potential effectively (Terranova et al., 2009; Ganasri and Ramesh, 2016; Singh and Panda, 2017). The accuracy of RUSLE also results in some cases is approximately similar as that for the WEPP model which nevertheless needs finer resolution data (Nearing, 2004). RUSLE does not quantify sediment yield at the outlet of the watershed; nonetheless, a reliable assessment of SDR can be performed by using observed sediment yield at a watershed section or reservoir from RUSLE outputs. That is the case reported by Lee et al. (2014), who obtained relative errors between 6.4% and 13.5% for the Gyeongan River (561 km^2), Korea.

As shown in this study, in the context of developing countries, and under the urgent challenge of estimating erosion rates at country scales, the combined application of RUSLE-GIS, GLUE, and SDR transfer functions (RUSLE-GGS) can provide estimates with quantitatively-known uncertainties.

Most studies at large scales rarely have used spatial output for verification (Jetten and Maneta, 2011). Our results are yet quantitatively assessed by following the GLUE methodology and SSY field data. GLUE and Bayesian approaches have been criticized for having limitations in quantifying model output uncertainty (Beven et al., 2008), recent studies however suggest that even imprecise historical data can markedly decrease a model uncertainty (Salinas et al., 2016). Therefore, we believe that although ER field data and observations of RUSLE factors are limited/nonexistent in developing countries, it is highly probable finding even "fuzzy" data from sediment loads of rivers

330 and siltation of dams and reservoirs that could improve the efficiency of RUSLE-GGS. That being
331 so, it is reasonable stating that that RUSLE-GGS can potentially be applied in most developing
332 countries, yet its results should be regarded as preliminary. This stems from the fact that RUSLE
333 estimates are regarded as broad scale erosion surveys for assessing ER spatio-temporal evolution,
334 but are not useful as storm-response design tools (Nearing, 2004).

335 Recently, some members of the scientific and intergovernmental communities have underscored the
336 need to adopt open-science data practices, and promote the use of steadily increasing Earth ob-
337 servations (Showstack, 2015). We believe that RUSLE-GGS could contribute to these ends if it is
338 adopted as an initial standard frame to quantify ERs for developing countries. These ERs could
339 subsequently become freely accessible to guide the decisions and actions to efficiently manage soil
340 resources in such countries, this information could also be assimilated into physically-based models
341 to improve the scientific understanding of the mechanisms that describe soil erosion in the tropics.
342 Likewise, RUSLE-GGS can provide information to implement metrics of sediment connectivity (e.g.,
343 Heckmann et al., 2018; Grauso et al., 2018) to quantify the vulnerability to the offsite effect of soil
344 erosion. For these reasons, we believe that a systematic and standardized application of RUSLE-
345 GGS may contribute to accomplish with the soil-erosion-related Goal 15 of the UN 2030 Agenda for
346 Sustainable Development which requires using: (1) geographical information systems to host and
347 share data from the observing networks; and (2) simulation and decision-making tools to support
348 sustainability planning, management and enforcement (Lu et al., 2015).

349 *4.2. Application of RUSLE-GGS to Peru*

350 The application of RUSLE-GGS over Peru was performed using input data consisting on satellite
351 measurements and, to a lesser extent, observations provided by local public agencies. However, all
352 the aforementioned information does not allow to discern which of these controls are more predomi-
353 nant in inducing such evolution. That certainly deserves further research.

354 Apparently, SRTM performs better than other digital elevation models in improving the efficiency
355 of RUSLE (Mondal et al., 2017). Such evidence was not evaluated in this contribution, yet two
356 realizations of the slope length/steepness factor (LS) were built from the ASTER DEM. RUSLE
357 typically shows high sensitivity to the rainfall erosivity (R) and cover and management (C) factors

Figure 6: Territorial categorical distribution of ERs in Peru for the year 2010.

358 (Jetten and Maneta, 2011). When the latter is calculated on an annual basis, apparently the main
359 source of uncertainty is the temporal variability of precipitation at wider spatial scales (Catari et al.,
360 2011). Even though six realizations of the R factor were obtained for this study, we hypothesize
361 that the efficiency of RUSLE-GGS could be improved if R is estimated from the direct analysis of
362 hourly/sub-hourly precipitation measurements. That would require quantifying the average annual
363 summation of individual storm erosivities (Nearing, 2004). Unfortunately, only monthly precipita-
364 tion data was freely available for our study.

365 Peru exhibits an insufficient density of SSY gauging stations (Latrubesse and Restrepo, 2014), even
366 though it is an upper-middle-income-economy. For instance, Syvitski and Milliman (2007) used two
367 global datasets containing information from large and small rivers. Even so, none of them included
368 Peruvian rivers draining to the Pacific Ocean because such information was not available.

369 Our results show a positive correlation between SSY^* and catchment area, although past studies
370 indicate that it may increase or decrease as a function of drainage area (Cerdà et al., 2013). The
371 identification of behavioral SSY^* samples were based on six watersheds, which represent the data
372 solely available from technical reports, past studies, and reliable institutions (e.g. Hybam) for Peru.
373 A relaxed threshold for the Nash-Sutcliffe index was assumed (i.e., $NSE > 0$), as formulated by

374 Houska et al. (2014). No one of the behavioral samples belongs to the year 2000, which suggests
375 that such year is an outlier. Most behavioral samples were obtained per unit reservoir than that per
376 unit stream flow sediment sampling station. For instance, no behavioral sample was obtained for
377 the Cordorcerro gauging station. This might stem from the fact that (1) generally small rivers are
378 more responsive to episodic events (Syvitski and Milliman, 2007), or (2) reservoir surveys commonly
379 provide more reliable SSY measurements than gauging stations (de Vente et al., 2013).

380 RUSLE-GGS' performance in somewhat low in the year 2000, probably triggered by the 1998 ENSO
381 event as ENSO plays an important role in the erosion processes in the Peruvian northern coastal area
382 (Quinn et al., 1987). However, the model performance markedly improves in the year 2010, may be
383 because there were more freely accessible observations for that year.

384 The model outputs have the same order of magnitude as some global models. For instance, the ER
385 1990 map (Fig. 5.d) shows that in the amazonian region, the mean ER was $\sim 2 t/h/y$, similar to
386 that obtained by Pham et al. (2001) ($0 - 10 t/h/y$). Our result for the coastal region ($\sim 85 t/h/y$)
387 is also comparable to that by Pham et al. (2001) ($10 - 50 t/h/y$), it is however slightly higher in
388 areas having poor density of rainfall ground stations (see the Supplementary Material). For the year
389 2000, the RUSLE-GGS outputs differ from the global model by Doetterl et al. (2012), though it has
390 same order of magnitude. Our results for the the year 2010 can only be comparable with the conti-
391 nental ER obtained by Doetterl et al. (2012) ($12 - 18 t/h/y$) and that for the average country ER
392 ($\sim 33 t/h/y$). Our ER estimates for the andean region are: 39 (1990), 32 (2000), 101 $t/h/y$ (2010)
393 which are in the ER range ($0.3 - 151 t/h/y$) obtained by Molina et al. (2008) for a central Andean
394 region.

395 Over all, our results exhibit the same pattern observed in most of erosion models: they tend to
396 overestimate erosion rates during years when little erosion occurs (e.g. when no ENSO events occur)
397 and underestimates it during years when erosion is significant (e.g. during the strong 1998 ENSO) as
398 reported by Beven and Brazier (2011). Despite these restrictions RUSLE-GGS allowed for obtaining
399 both ER and PE maps for Peru which, to the best of our knowledge, would be the first publicly
400 available quantitative maps.

401 The aforementioned maps suggest that moderate ERs in Peru are rapidly increasing in the coastal
402 and andean regions. This pattern is similar to the global trend reported by Pham et al. (2001);

403 Van Oost et al. (2007); Ramankutty et al. (2008); Doetterl et al. (2012). The highest ERs are also
404 located in these regions. This may stem from the fact that the andean region presents steep hills
405 and periods of high rainfall that play an essential role in the production of *SY* and soil erosion
406 (Michaelides and Martin, 2012). It is unclear nevertheless whether soil erosion is predominantly de-
407 termined by natural or anthropogenic controls. The same conclusion was draw in a catchment-scale
408 study by (Vanacker et al., 2007) in an andean area from Ecuador.

409 Highest ERs in the coastal region are possibly controlled by variations in the *C* factor due to land
410 development as the population grew from 54.6% to 63.4% of the country's population for the pe-
411 riod 2007-2014 (Paulet and Amat, 1999; World Bank, 2015; MINAR, 2015; INEI, 2014). Since this
412 region is seismically highly active, soil erosion and landslides may also be positively correlated with
413 earthquakes as past research (Scheidegger, 1992; Scheidegger and Ai, 1986) suggests.

414 The amazonian region exhibits the lower ERs in Peru and the lowest increase on it. This corroborated
415 our assumption that the ER in the Eastern Peruvian Andes by Latrubesse and Restrepo (2014) was
416 somewhat invariant for both the years 2000 and 2010.

417 The average national ER exhibits an increasing trend, similarly to that reported by Borrelli et al.
418 (2017), that might persist due to the steady growth of the Peruvian population and the increase of
419 the extension of areas granted to the extractive industry (OXFAM, 2014). Mining is intensive in the
420 andean region where the dry-land hills prompt significant *SY* rates even during relatively low rainfall
421 intensities (Michaelides and Martin, 2012).

422 We argue that the RUSLE-GGS performance for Peru can be improved if engineers/scientists from
423 public agencies use the data they may have access to and set the year 1990 as long-term bench-
424 mark to assess ER spatio-temporal gradients. A long-term benchmark would allow for consistent
425 cost-benefit analyses of erosion mitigation strategies (Vanacker et al., 2007). In our opinion, these
426 strategies should include (1) the establishment of a freely available *SY* database for larger areas in
427 the Peruvian territory, and (2) a consistent program to document sediment fluxes triggered by ENSO
428 events that currently are poorly documented even though they can increase 11 times the fluxes from
429 normal years (Tote et al., 2011). Finally, it is worth to point out that our results suggest that Peru
430 urgently needs regulatory standards to manage its territorial erosion control challenges.

5. Conclusions and implications

The profuse literature review presented in this study indicates that soil erosion in developing countries is a matter of serious concern and that Peru, an upper-middle-income economy, presents erosion features that exemplify such situation. Thus, it is reasonably grounded to state that the quantification of soil erosion rates (ERs) in developing countries needs to be addressed with particular urgency. This is however challenging because they commonly suffer from an inherent paucity of conventional ground-based observations and field relations to obtain ERs.

The Generalized Likelihood Uncertainty Estimation (GLUE) principles have been extensively used to identify behavioral model outputs under conditions where there is an incomplete knowledge of the modeled system and the input data is, at some degree, uncertain. RUSLE-GGS results from the combined application of RUSLE-GIS, GLUE, and sediment delivery ratio (SDR) functions in the following sequence: (1) ER samples are constructed using RUSLE-GIS based on available local/global geoenvironmental observations and field relations, (2) area-specific sediment yield samples are constructed utilizing SDR transfer functions, and (3) the most behavioral samples are assessed by means of bias analysis and cross validation. It is aimed to cope with the technical challenges related to estimating ERs in developing countries at country scale.

RUSLE-GGS is successfully applied to obtain ER and potential erosion maps for Peru at 5-km resolution for the years 1990, 2000 and 2010. For this period, Peru exhibits erosion rates in the order of $24 - 33 \text{ t/h/y}$ which are triggered by natural (e.g., ENSO, the Andes) and anthropogenic controls (e.g., changes in land use as its economy relies mainly on extractive industries, expansion of its infrastructure portfolio, urban population growth). Determining which of them is the predominant control certainly deserves further attention. ERs for the year 2000 are possibly underestimated as they include a 1989 strong ENSO event.

Despite its limitations, RUSLE-GGS accounts the model uncertainty. Consequently, we believe that (1) it has the potential to provide the initial standard and systematic frame to quantify erosion rates in developing countries, which can subsequently be used to make institutional decisions to efficiently control soil erosion, and (2) the year 1990 could be set as a benchmark to track the regional evolution of soil erosion in such countries. We also believe that these steps would represent active measures to meet Goal 15 of the UN 2030 agenda.

Supplementary Material

Input data for the creation of ER samples and output of RUSLE-GGS is presented in Rosas and Gutierrez (2017) (<https://doi.pangaea.de/10.1594/PANGAEA.884460>). A file that details the RUSLE-GIS model also accompanies this contribution.

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Figure 1

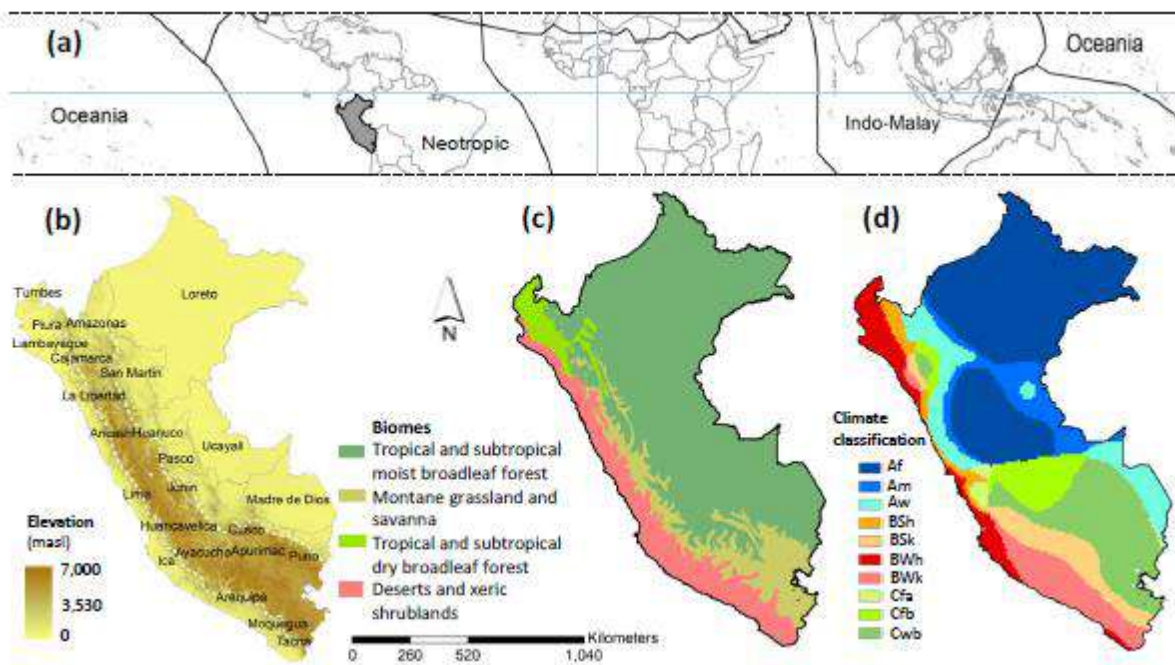


Figure 2

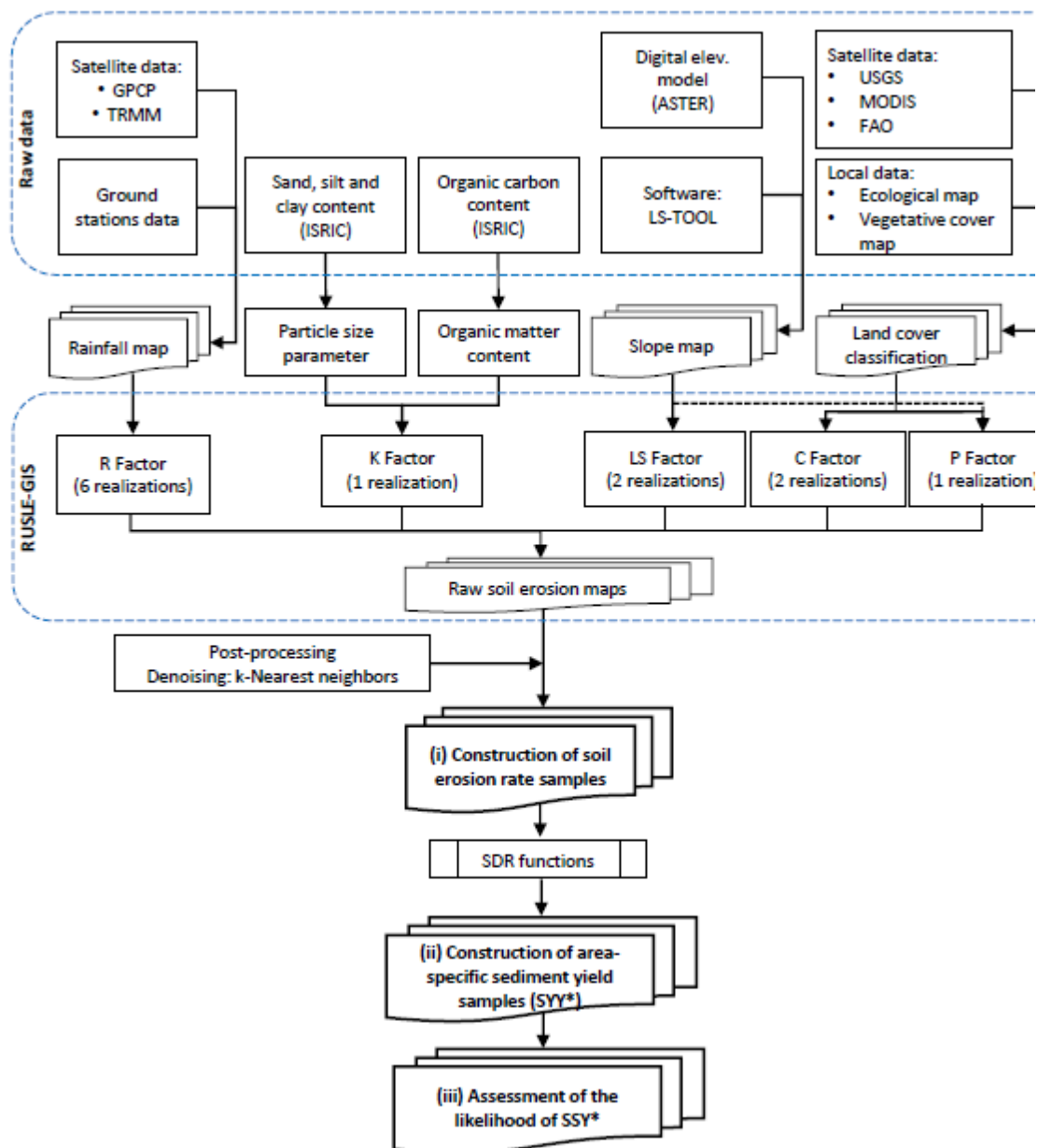


Figure 3

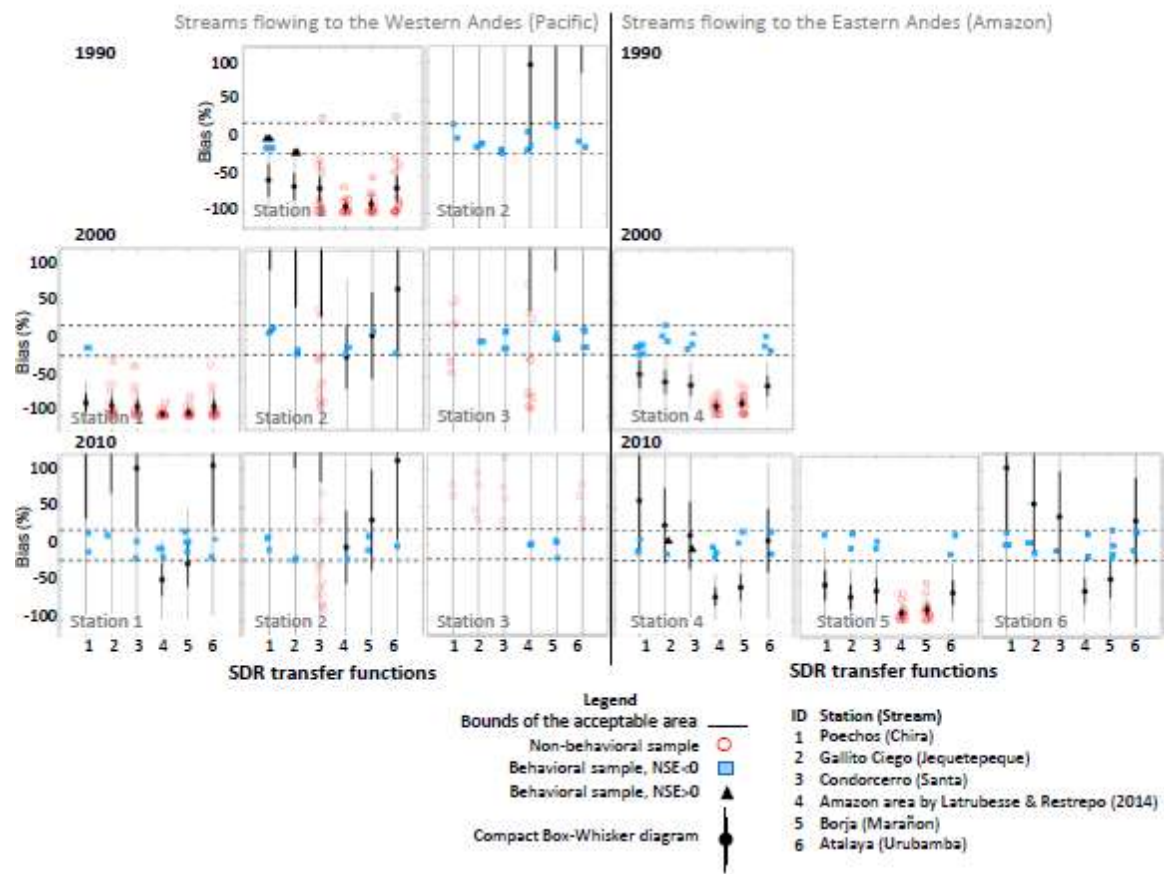


Figure 4

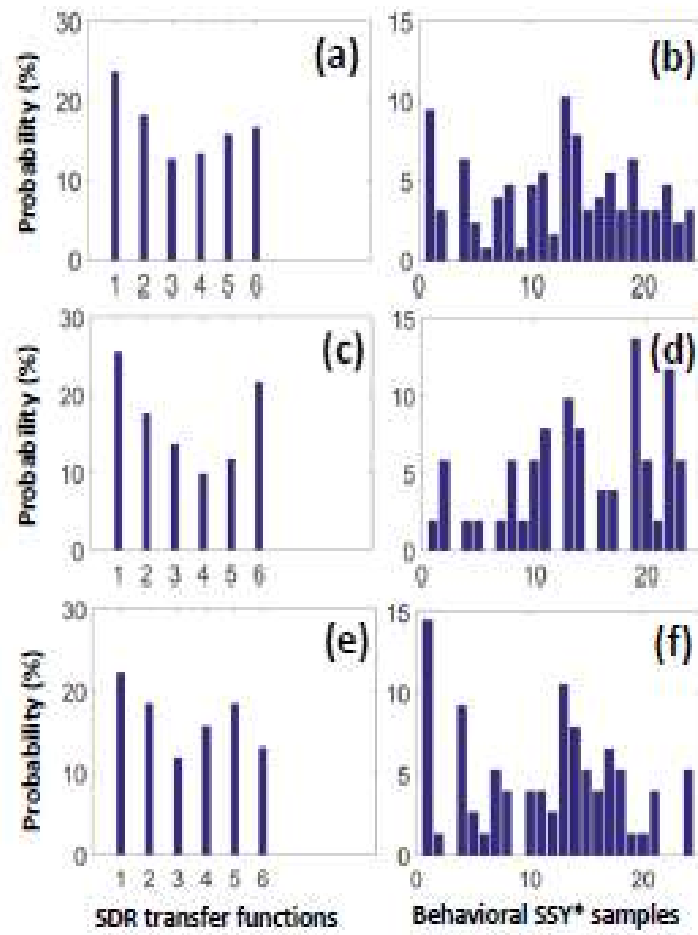


Figure 5

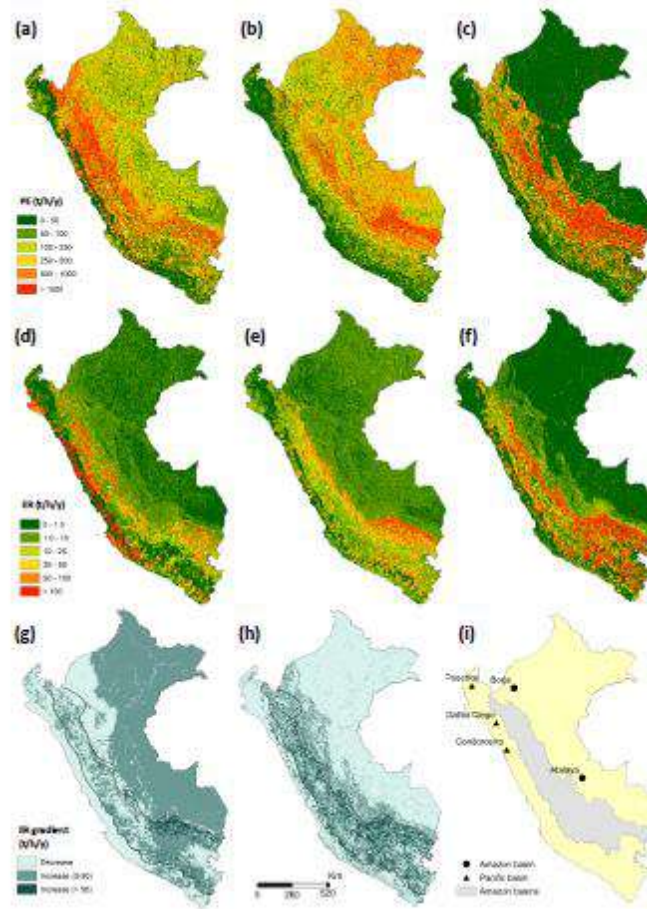
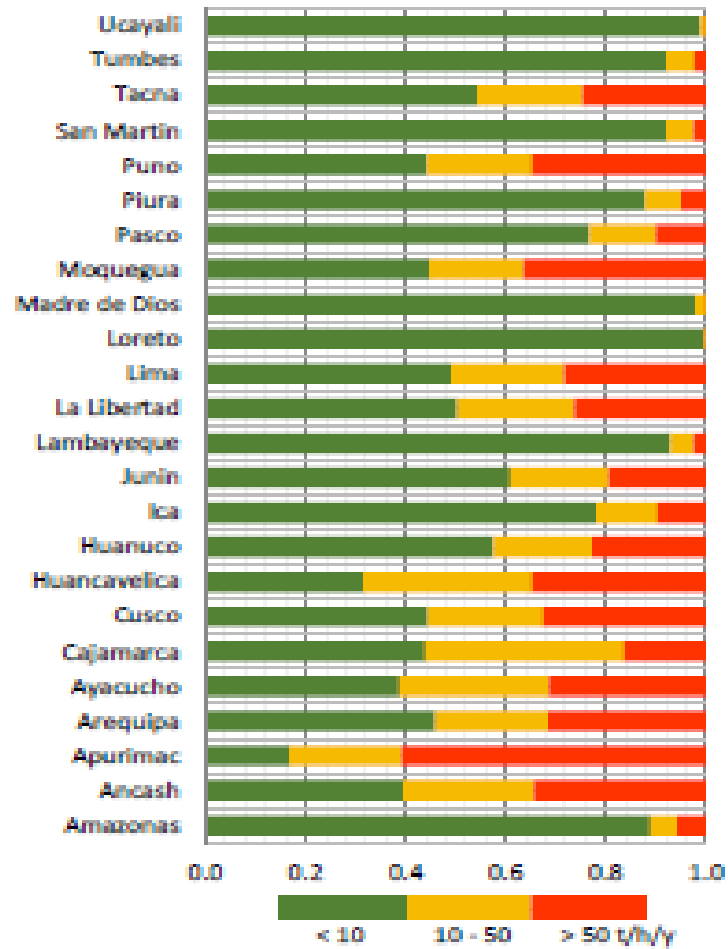
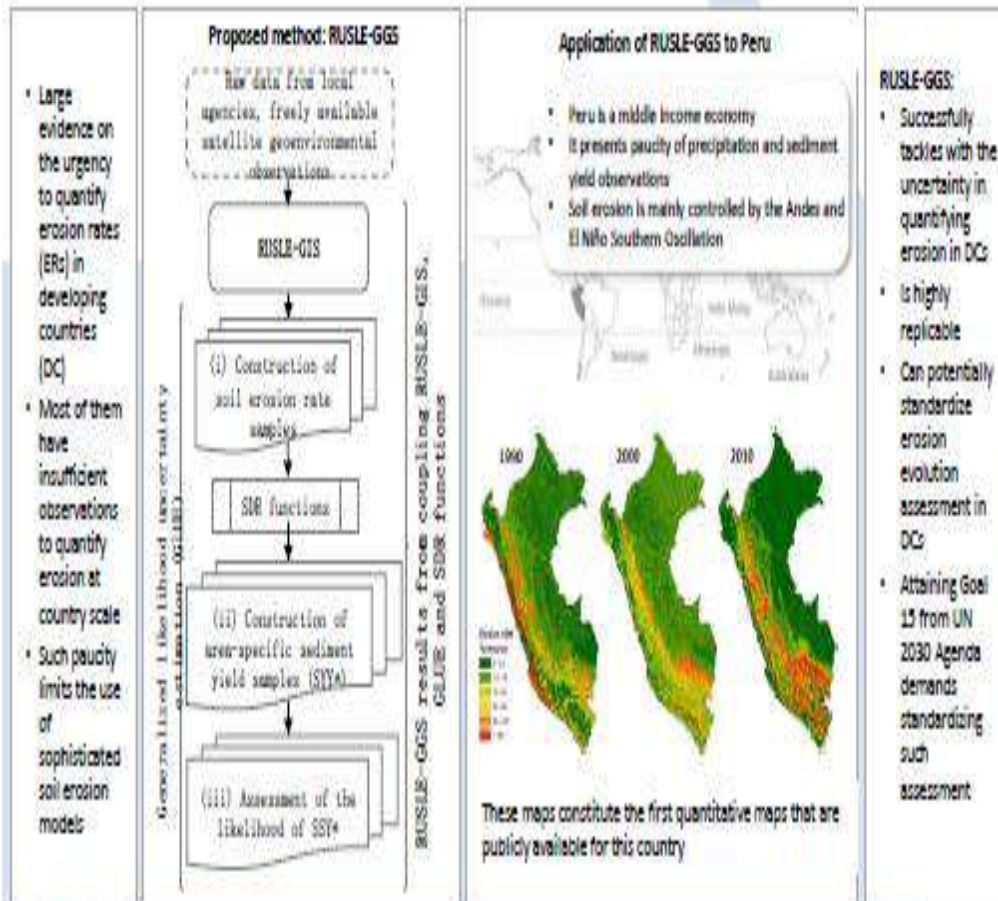


Figure 6



GRAPHICAL ABSTRACT



HIGHLIGHTS

- Large evidence on the urgency to assess soil erosion in developing countries (DC)
- Most DC have insufficient observations to quantify erosion at country scale
- RUSLE-GGS successfully tackles with the uncertainty in quantifying erosion in DC
- RUSLE-GGS can potentially standardize erosion evolution assessment in DC
- Attaining Goal 15 from UN 2030 Agenda demands standardizing such assessment

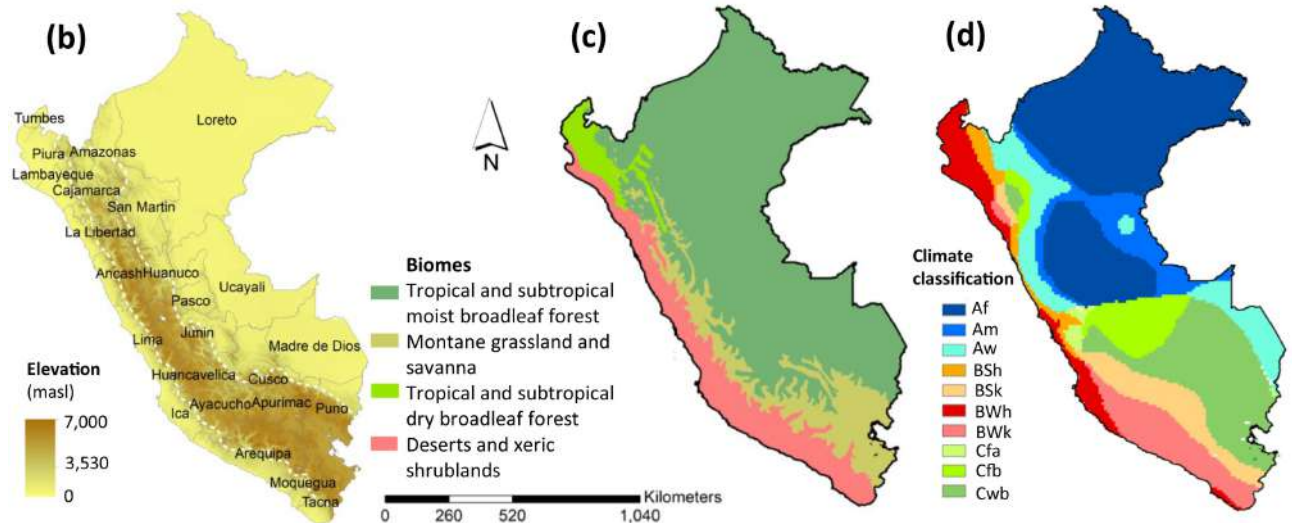


Figure 1

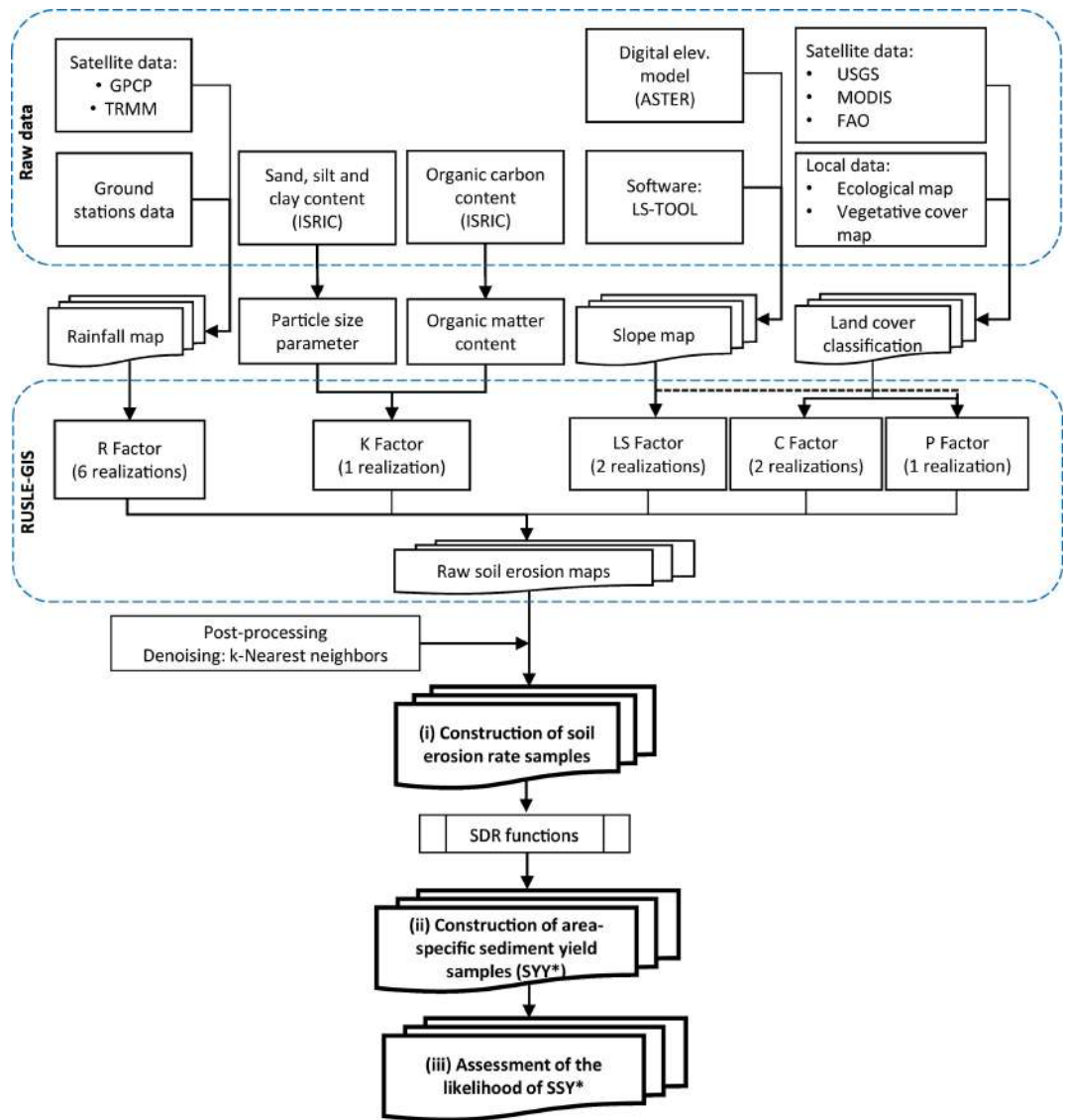


Figure 2

Streams flowing to the Western Andes (Pacific)

Streams flowing to the Eastern Andes (Amazon)

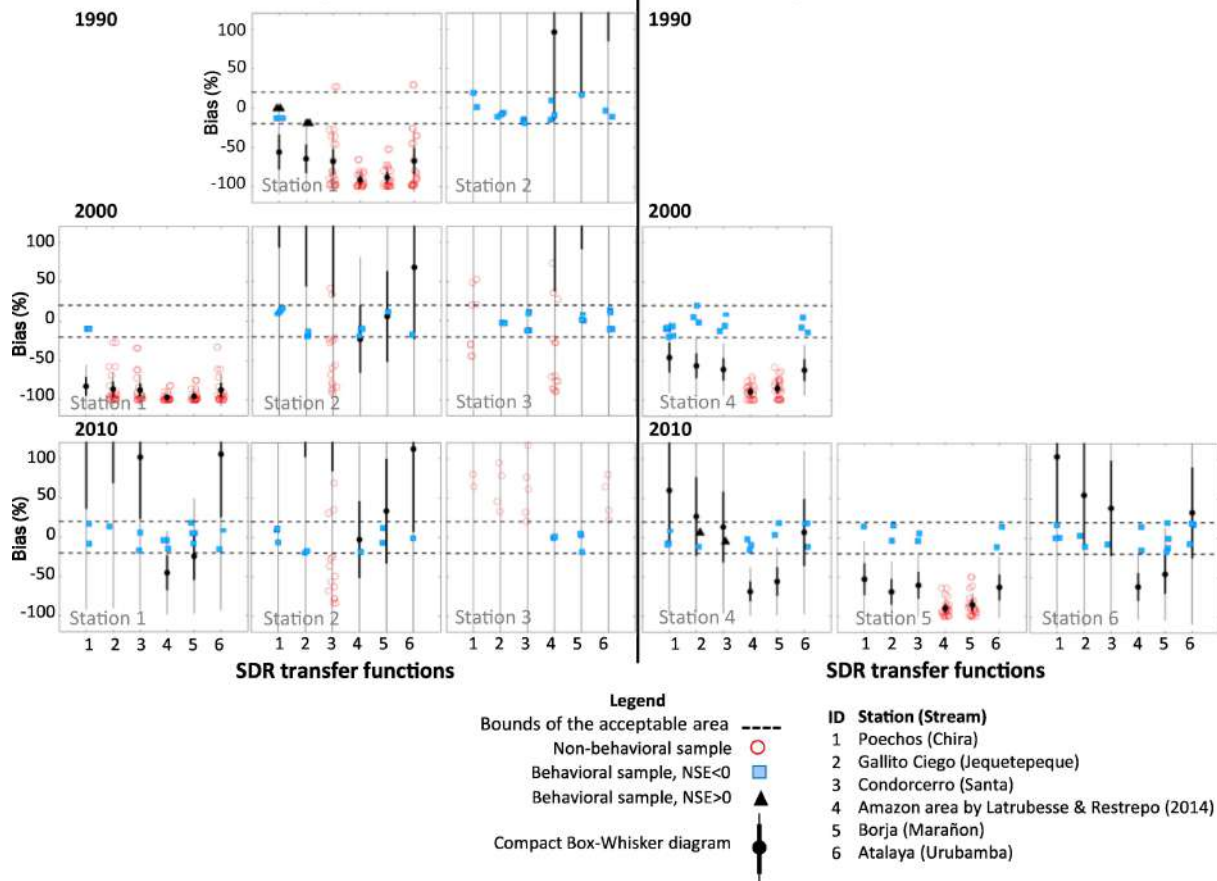


Figure 3

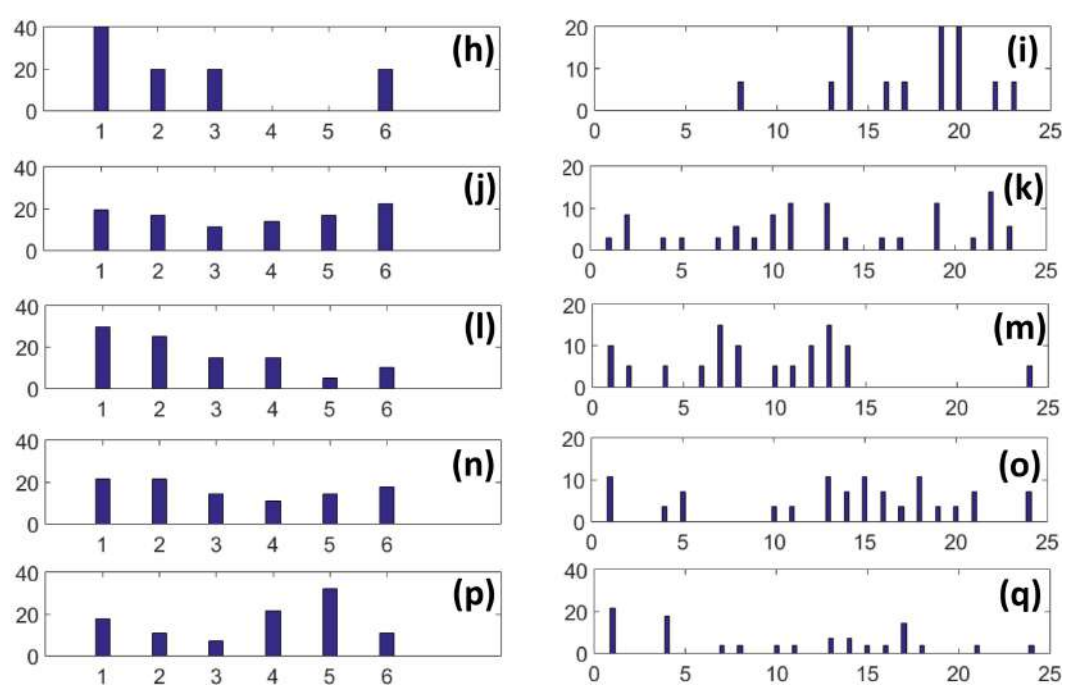
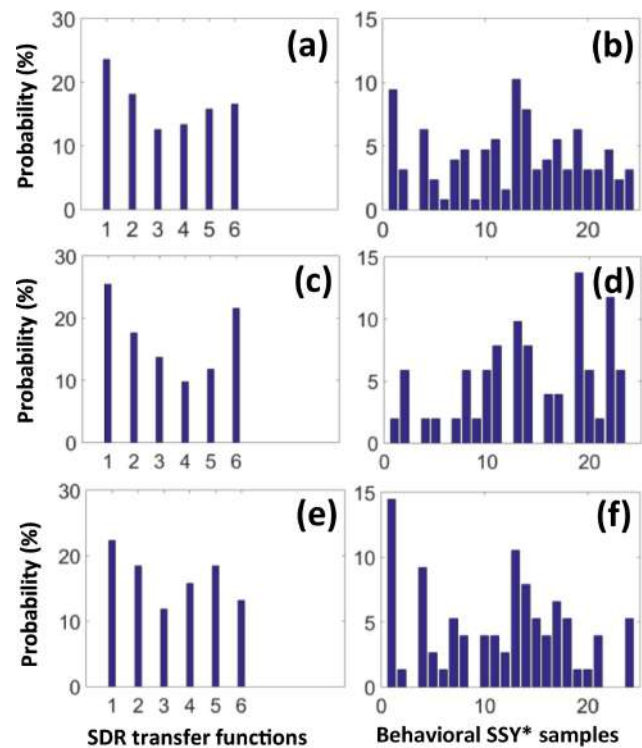


Figure 4

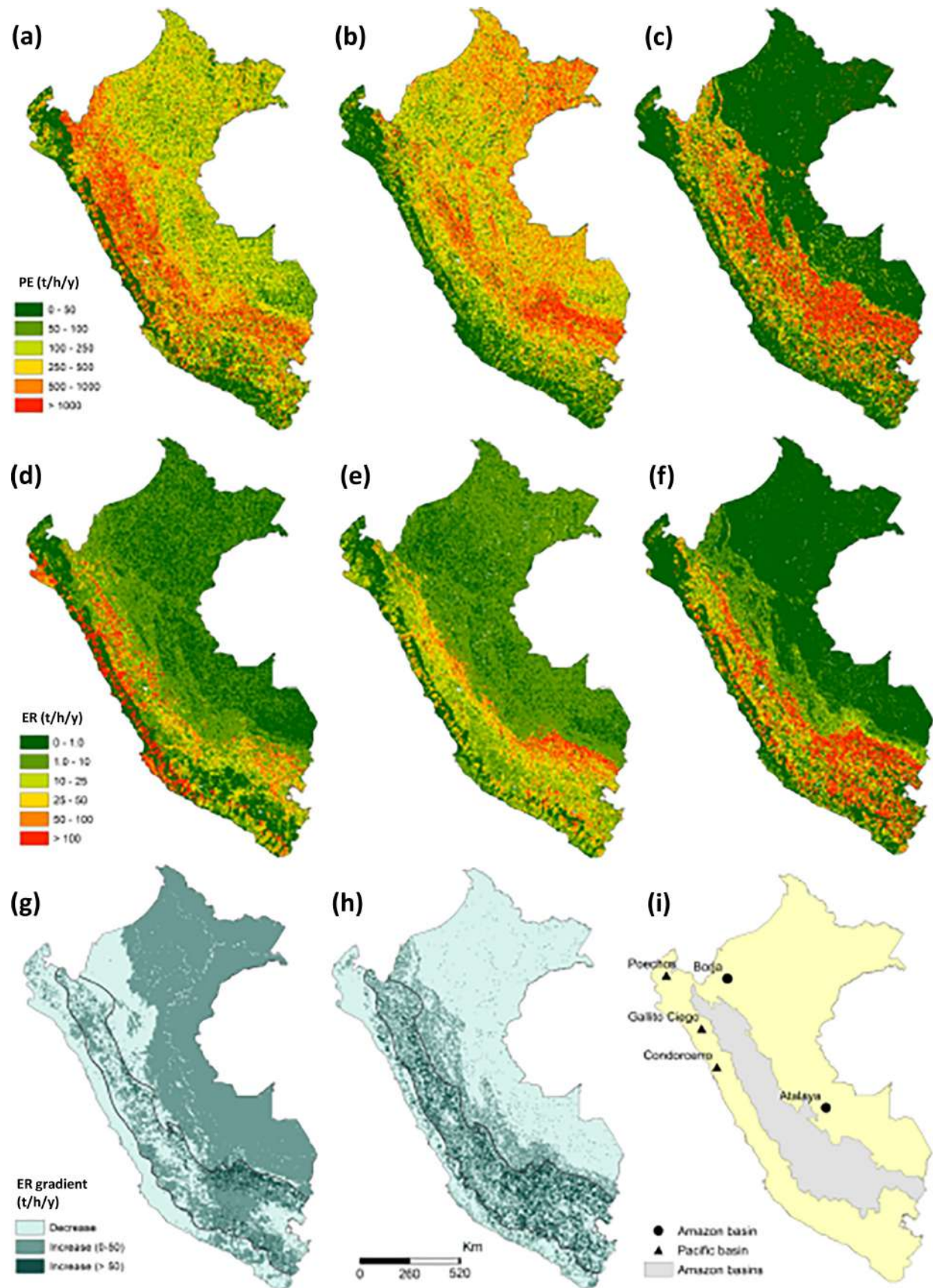


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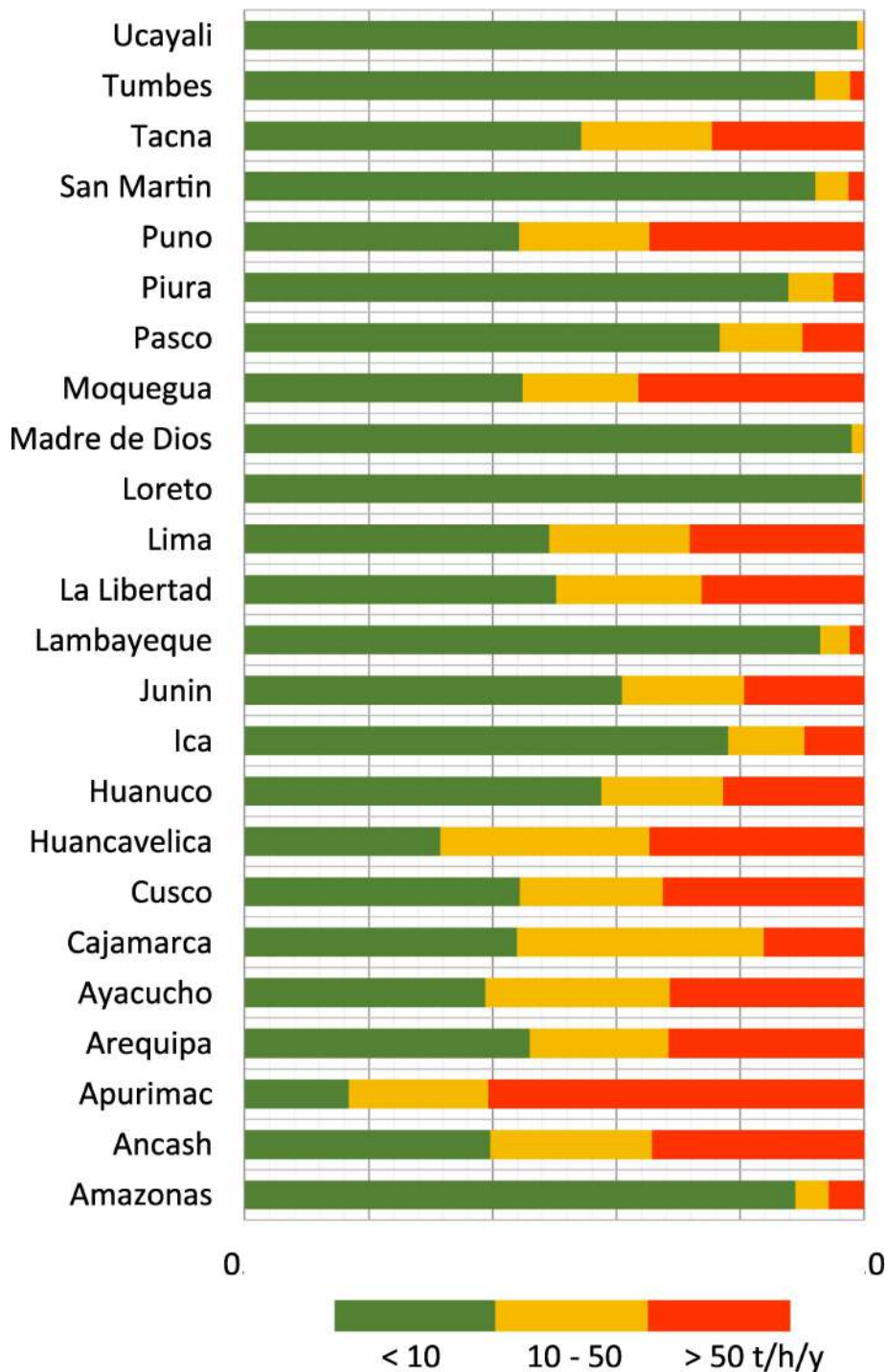


Figure 6