

1                   **Effect of dikes on saltwater intrusion under various wind conditions in the**  
2                   **Changjiang Estuary**  
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18                   **Key Points:**

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- Water level rise on the north side of dikes strengthens the counterclockwise horizontal circulation under strong north wind
- Dikes decrease saltwater intrusion in the North Channel under climatic wind but increase it under strong north wind
- Under strong north wind, mixing in the North Channel decreases with the saltwater intrusion increase due to the implementation of dikes

## 26 Abstract

27 To improve navigation, the Deep Waterway Project (DWP) was implemented in the north  
28 passage of the Changjiang Estuary in 1998, and consists of a deep channel protected by two  
29 dikes. By altering estuarine morphology, the DWP can affect saltwater intrusion and mixing,  
30 with implications for drinking water intake and supply. In this study, we employ a numerical  
31 model to study the influence of dikes on saltwater intrusion in the estuary under climatic and  
32 persistent, strong northerly wind conditions that occurred in February 2014. Model results  
33 show that the dikes prevent the southward transport of relatively low-salinity water at the  
34 mouth of the North Channel (NC) under climatic wind conditions, resulting in the weakening  
35 of saltwater intrusion and mixing in this channel. Under persistent strong northerly wind  
36 conditions, relatively high-salinity water is transported southward to the mouth of the NC and  
37 blocked by the dikes, causing a water level rise at the mouth of the NC. As a result, a large  
38 amount of high-salinity water is advected into the NC and then out to the sea through the  
39 South Chanel, forming a counterclockwise horizontal circulation. Overall, the DWP favors  
40 water intake at the reservoir in the NC under climatic wind conditions and is unfavorable  
41 under persistent strong northerly winds ( $>9$  m/s), which can lead to extremely severe  
42 saltwater intrusion.

## 43 Plain Language Summary

44 Coastal engineering projects such as channel deepening and dike installation can affect  
45 saltwater intrusion in estuaries, and the response may also be modulated by winds. In this  
46 paper, we used a numerical model to explore the impact of the dikes of the Deep Waterway  
47 Project (DWP) on saltwater intrusion in the Changjiang Estuary under various wind  
48 conditions. Under climatic winds, water in the North Channel (NC) of the estuary is relatively  
49 fresh due to the high river discharge. Lateral dikes prevent the southward transport of  
50 relatively diluted, low salinity water at the mouth of the NC, resulting in an accumulation of  
51 diluted water and the weakening of saltwater intrusion and mixing in the NC. Under strong  
52 northerly winds, salinity in the NC increases abnormally due to the southward transport of  
53 high-salinity water. Dikes block the southward salt transport and increase the landward water  
54 and salt transport into the NC. Although salinity increased in the NC with the implementation  
55 of the dikes, the salinity variance and mixing decreased. The influence of dikes on salt  
56 intrusion and mixing in the Changjiang under climatic winds is different to that under strong  
57 northerly winds.

58

## 59 1. Introduction

60 Major coastal cities of the world are located near estuaries due to the ease of access to  
61 transportation and recreation. Maritime transportation typically requires the construction of  
62 channels, ports, and other structures to minimize navigational hazards. Such human  
63 interventions can significantly alter basin morphology and have a great impact on tides  
64 (Chant et al., 2018), flooding (Ralston et al., 2019) and saltwater intrusion (C. Liu et al.,  
65 2019; Lyu & Zhu, 2018b). The impact on saltwater intrusion is crucial for urban estuaries, as  
66 it can affect the drinking water supply for large populations. Some coastal cities are  
67 experiencing increased risk of low water quality due to projects that alter estuarine  
68 morphology. For example, channel deepening increased the saltwater intrusion in the Hudson  
69 River Estuary and affected the drinking water supply of New York City (Ralston & Geyer,  
70 2019). Shifts in saltwater intrusion can also alter estuarine circulation through adjustments in  
71 salinity gradients (Geyer & MacCready, 2014; Hansen & Rattray, 1965; Pritchard, 1956) and  
72 mixing (X. Li et al., 2018; P. MacCready et al., 2018; Wang et al., 2017). For example, C.

73 Liu et al. (2019) found that land reclamation has decreased landward salt transport, which has  
74 weakened mixing in the Pearl River Estuary. While previous studies have reported how  
75 coastal structures can alter salt intrusion in estuaries, few consider the response to various  
76 wind conditions even though it has been reported that winds can also contribute. For  
77 example, Zhang et al. (2019) reported that the frequency of saltwater intrusion events in the  
78 Changjiang Estuary is increasing in recent years due to the increasing frequency of winter  
79 storms passing the East China Sea. In this section, we describe the dynamics of saltwater  
80 intrusion and its relation to winds and then introduce the case of saltwater intrusion in the  
81 Changjiang Estuary.

## 82 1.1 Dynamics of Saltwater Intrusion

83 Saltwater intrusion in the estuaries is determined by the competition of many physical  
84 processes. River discharge tends to drive salt out of the estuary while tidal dispersion and  
85 baroclinic flows tend to move salt upstream through a process that resembles Fickian  
86 diffusion (Monismith et al., 2002). In steady-state, the extent of saltwater intrusion is  
87 proportional to the cross-sectional area and depth of the estuary, and inversely proportional to  
88 river discharge and tidal current amplitude. This steady-state theory approximately describes  
89 salinity dynamics in estuaries such as the Hudson River Estuary (Lerczak et al., 2006) and  
90 Pearl River Estuary (Gong & Shen, 2011).

91 The wind is another factor affecting the saltwater intrusion. For example, wind-  
92 driven sea-level setups at the mouth of estuaries can produce landward flows that outcompete  
93 river runoff, resulting in the net, landward advection of salt (Aristizabal & Chant, 2015).  
94 Along-estuary winds can also strain density gradients, and the associated destruction or  
95 enhancement of stratification depend on wind direction, the Wedderburn number, and the  
96 entrainment depth ratio (Chen & Sanford, 2009). In multi-inlet coastal systems, the residual  
97 horizontal circulation can be influenced by winds and can alter salt transport through each  
98 inlet. Examples include the Dutch Wadden Sea (Duran-Matute et al., 2014; Duran - Matute  
99 et al., 2016), the Ria Formosa (south of Portugal) multi-inlet lagoon (Fabião et al., 2016), the  
100 Altamaha River Estuary (C. Li, 2013) and Venice lagoon (Bellafiore et al., 2008). While the  
101 effect of winds on saltwater intrusion and circulation has been studied in other cases,  
102 relatively little is known about the role of wind on saltwater intrusion in estuaries where  
103 morphology has been significantly modified through the construction of shipping channels  
104 and other structures. The goal of this paper is to explore wind-driven saltwater intrusion in  
105 highly urbanized estuaries. The study region considered here is the Changjiang Estuary,  
106 China, whose present-day landscape significantly differs from natural, pre-development  
107 conditions. We use a numerical model to explore the response of the salt field to climatic  
108 wind conditions and under relatively strong, northerly wind events typical of the winter  
109 season. We discuss how the salt field responds to differences in wind forcing, and how these  
110 responses are modulated by multiple estuarine branching and coastal dikes.  
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## 112 1.2 The Changjiang Estuary

113 The Changjiang (Yangtze River) Estuary is a large, multi-branch estuary (Figure 1).  
114 Chongming Island divides the estuary into the North and South Branches. The South Branch  
115 is further divided by Changxing Island into two channels, the North Channel (NC) and South  
116 Channel (SC). The SC is divided by the Jiuduan Sandbank into two passages, the North and  
117 South Passages. The Changjiang Estuary is adjacent to Shanghai, an international metropolis,  
118 and a maritime shipping center for China. Prior to harbor engineering works, sand bars at the  
119 river mouth prevented large ships from traveling through. To meet demands of maritime

120 transportation, the Deep Waterway Project (DWP) was implemented in the North Passage of  
121 the Changjiang Estuary in 1998. The DWP included the construction of two dikes: the north  
122 dike, which is 49.2 km long, and the south dike, which is 48 km long. In addition, a waterway  
123 approximately 300 m wide was dredged from approximately 7 m to 12.5 m deep at the center  
124 of the North Passage (G. Liu et al., 2011; Zhu et al., 2006). The dikes, which are ~0.37 m  
125 higher than mean sea level, are submerged during high tides and exposed during low tides.  
126 The Qingcaosha Reservoir was constructed in the upper reaches of the NC and supplies  
127 approximately 5.5 million cubic meters of water to Shanghai every day, accounting for 70%  
128 of the water consumption in the city. This reservoir is a vital water resource for Shanghai that  
129 is often adversely affected by saltwater intrusion during the dry (winter) season (L. Li et al.,  
130 2014; Qiu & Zhu, 2013; Qiu et al., 2012; Wu et al., 2006). When the salinity at reservoir  
131 water intakes (labeled 'QCS1' in Figure 1) exceeds 0.45 psu (the salinity standard for  
132 drinking water), the intakes shut down to prevent saline water flushes into the reservoir.

133 Previous studies have demonstrated that saltwater intrusion into the North Branch and  
134 NC increases during the dry season when northerly winds prevail (L. Li et al., 2012; Wu et  
135 al., 2010). On the other hand, Zhu et al. (2006) noted that the dikes of the DWP prevent the  
136 southward transport of diluted water from the NC. Wu et al. (2010) found that the dikes  
137 prevent the transport of high-salinity water from the South Passage over the shoals and into  
138 the NC. The consensus is that the dikes mitigate saltwater intrusion in the NC and tend to  
139 maintain suitable salinity values at the Qingcaosha Reservoir. However, both studies are  
140 based on climatic wind conditions and do not consider the response to episodic wind events.  
141 In February 2014, strong and persistent northerly winds drove a severe saltwater intrusion  
142 event in the NC; a maximum salinity of 9 psu was observed at reservoir water intakes. This  
143 event provides an opportunity to quantitatively determine the role of dikes of the DWP in  
144 saltwater intrusion under strong winds. The relevance of this study is twofold: first, results  
145 herein will help inform environmental management practices both in Shanghai and in other  
146 urban estuaries of the world where wind events can significantly impact saltwater intrusion.  
147 Second, we offer insight into the role of coastal engineering projects on fundamental  
148 estuarine dynamics. This article is organized as follows: Section 2 introduces the numerical  
149 model and experimental design; section 3 contains the results of the numerical experiments;  
150 section 4 presents the discussion; and section 5 lists the conclusions.

## 151 2. Methods

### 152 2.1 Numerical Model and Experimental Design

153 The semi-implicit Estuarine, Coastal, and Ocean Model (ECOM-si) was used in this  
154 study (Blumberg, 1994). This model has been improved and validated many times in this  
155 system, e.g., as discussed in Wu and Zhu (2010) and Lyu and Zhu (2018a). Monthly mean  
156 wind data with a temporal resolution of 6 h from the National Centers for Environmental  
157 Prediction/Quick Scatterometer (NCEP/QSCAT) dataset was used. A persistent, strong  
158 northerly wind event occurred in the Changjiang Estuary and its adjacent sea from February  
159 7<sup>th</sup> to 14<sup>th</sup>, 2014 (Figure 2). During this event, the weather station on the east shoal of  
160 Chongming Island (labeled as 'WS' in Figure 1) measured a maximum wind speed of 15 m/s.  
161 The wind field in the model domain was simulated at a spatial resolution of  $0.005^\circ \times 0.005^\circ$   
162 using output from the Weather Research and Forecast (WRF) model. The modeled wind  
163 speed and direction agree well with observations. To evaluate error, the wind vector is  
164 decomposed into meridional and zonal components. The correlation coefficients ( $r^2$ , defined  
165 in appendix A) for meridional and zonal components are 0.62 and 0.67, respectively. The  
166 model skill scores (SS, defined in appendix A) for meridional and zonal components are 0.77

167 and 0.64, respectively. Time series of river discharge for the model correspond to  
 168 measurements at the Datong hydrological station. The monthly mean river discharge in  
 169 February 2014 was 10800 m<sup>3</sup>/s, close to the mean value of 11,500 m<sup>3</sup>/s for February. The  
 170 open ocean boundaries were provided by tidal levels and residual water levels. Tidal levels  
 171 were calculated by combining the harmonic constants of the 16 main tidal constituents.  
 172 Residual water levels, including those under climatic wind conditions and the persistent  
 173 strong wind in February 2014, were calculated using the results of a numerical model over a  
 174 larger domain that includes the Bohai, Yellow, and East China Seas (Wu et al., 2011). Further  
 175 details on model boundaries and initial conditions are provided by Lyu and Zhu (2018b).  
 176 Model bathymetry corresponds to depth soundings collected in 2014. The model was run  
 177 from January 1<sup>st</sup> to February 28<sup>th</sup> 2014, and the results from February 6<sup>th</sup> to 28<sup>th</sup> were  
 178 analyzed.

179 Two sets of numerical experiments were designed to compare the effects of climatic  
 180 winds and persistent strong northerly winds in February 2014. In each set of the experiments,  
 181 two scenarios (with and without DWP dikes) were considered. A total of four numerical  
 182 experiments were performed.

## 183 2.2 Analytical Methods

### 184 2.2.1 Transport and Salt Fluxes

185 To compute horizontal and cross-sectionally integrated water transport fluxes, the water  
 186 transport per unit width is defined as follows:

$$187 \vec{T}_r = \frac{1}{T} \int_0^T \int_{-1}^0 (h + \xi) \vec{V} d\sigma dt \quad (1)$$

188 where  $h$  is the water depth,  $\xi$  is the water level,  $\vec{V}$  is the water velocity vector,  $T$  is the  
 189 averaging period, and  $\sigma$  is the relative depth (0 at the surface and -1 at the bottom). The net,  
 190 cross-sectionally integrated water flux is:

$$191 F_q = \left\langle \iint u dA \right\rangle = \left\langle \int_0^L \int_{-1}^0 (h + \xi) u d\sigma dy \right\rangle \quad (2)$$

192 where  $\langle \rangle$  represents time averaging (i.e. a 36 h low-pass filter),  $A$  is the tidally-varying  
 193 cross-sectional area and  $dA$  its differential,  $L$  is the channel width, and  $u$  is the current  
 194 velocity perpendicular to the cross-section.

195 The net, cross-sectionally integrated salt flux is given by:

$$196 F_s = \left\langle \iint u S dA \right\rangle = \left\langle \int_0^L \int_{-1}^0 (h + \xi) u S d\sigma dy \right\rangle \quad (3)$$

197 where  $S$  is the salinity. To better understand the mechanism of salt flux transport in the  
 198 Changjiang Estuary, the current velocity was decomposed as follows (Lerczak et al., 2006):

$$199 u_0(t) = \frac{1}{A_0} \left\langle \iint u(y, \sigma, t) dA \right\rangle = \frac{1}{A_0} \left\langle \int_0^L \int_{-1}^0 (h + \xi) u d\sigma dy \right\rangle \quad (4)$$

$$200 u_e(y, \sigma, t) = \frac{\langle u dA \rangle}{\langle dA \rangle} - u_0(t) \quad (5)$$

$$201 u_t(y, \sigma, t) = u - u_e(y, \sigma, t) - u_0(t) \quad (6)$$

202 where  $A_0$  is the low-passed cross-sectional area. The first term,  $u_0$ , represents the spatially  
 203 and temporally averaged current velocity. The second term,  $u_e$ , represents the temporally  
 204 averaged current velocity, which changes spatially and reflects the vertical structure of the

205 flow caused by baroclinity. The third term,  $u_t$ , is the tidal current, which changes spatially  
 206 and temporally. Salinity can also be decomposed into three terms. Thus, the cross-sectionally  
 207 integrated salt flux is decomposed as:

$$\begin{aligned}
 F_s &= \left\langle \int_0^L \int_{-1}^0 (h + \xi) u S d\sigma dy \right\rangle \\
 &= \left\langle \int_0^L \int_{-1}^0 (h + \xi) (u_0 + u_e + u_t) (S_0 + S_e + S_t) d\sigma dy \right\rangle \\
 &= \left\langle \int_0^L \int_{-1}^0 (h + \xi) (u_0 S_0 + u_e S_e + u_t S_t + \text{cross terms}) d\sigma dy \right\rangle \quad (7) \\
 &\approx \left\langle \int_0^L \int_{-1}^0 (h + \xi) (u_0 S_0 + u_e S_e + u_t S_t) d\sigma dy \right\rangle \\
 &= Q_0 S_0 + F_e + F_t
 \end{aligned}$$

209  $Q_0 S_0$  is the advective salt flux and represents the flux due to river discharge or  
 210 meteorological-induced flows.  $F_e$  is the steady shear salt flux caused by estuarine circulation.  
 211  $F_t$  is the tidal oscillatory salt flux owing to temporal correlations between  $u$  and  $S$ . The  
 212 cross terms are generally small and can be neglected in this analysis (Lerczak et al. 2006).  
 213

## 214 2.2.2 Derivation of the mixing relation using salinity variance and TEF frameworks

215 In the ocean turbulence community, the mixing of a tracer is defined by the tracer  
 216 variance dissipation rate (Osborn & Cox, 1972; Stern, 1968). Saltwater intrusion changes the  
 217 salinity variance and mixing in the channel. Considering a three-dimensional domain (e.g. an  
 218 entire estuary), we can decompose the salinity as  $S = \bar{S} + S'$  where the overbar denotes the  
 219 volume average and a prime denotes the total deviation from the volume average. The  
 220 salinity variance can then be defined as  $S'^2 = (S - \bar{S})^2$ . It is possible to derive a salinity  
 221 variance budget equation based on algebraic manipulation of the Reynolds-averaged  
 222 advection-diffusion equation for salinity:

$$\frac{\partial S}{\partial t} = -U \bullet \nabla S + K \nabla^2 S \quad (8)$$

223 where  $U$  is the three-dimensional velocity vector and  $K$  is the diffusivity tensor.  
 224

225 Multiplying (8) by  $2S'$  we get the evolution of the salinity variance:

$$\frac{\partial (S'^2)}{\partial t} + U \nabla (S'^2) = \nabla \bullet (2KS' \nabla S') - 2K(\nabla S')^2 - 2S' \frac{\partial \bar{S}}{\partial t} \quad (9)$$

226 Taking the integral of (9) over an estuarine volume with open boundaries, we get the variance  
 227 budget:

$$\frac{d}{dt} \int S'^2 dV = - \int u_n S'^2 dA_{open} - 2 \int K(\nabla S')^2 dV \quad (10)$$

228 where  $u_n$  is the outward-normal velocity on the open boundaries with area  $A_{open}$ . Thus, the  
 229 rate of change of the net salinity variance (term on the left) is governed by only two terms:  
 230 the advective inputs of the variance at the open boundaries (first term on the right) and the  
 231 loss of the variance due to turbulent mixing (second term on the right).  
 232

233 Now we describe the TEF (Total Exchange Flow) framework by MacCready (2011). At  
 234 any cross section in the channel we define:

$$Q_{in} = \left\langle \int_{A^+} u dA \right\rangle, Q_{out} = \left\langle \int_{A^-} u dA \right\rangle \quad (11)$$

237

$$238 \quad S_{in} = \frac{\left\langle \int_{A^+} u S dA \right\rangle}{Q_{in}}, S_{out} = \frac{\left\langle \int_{A^-} u S dA \right\rangle}{Q_{out}} \quad (12)$$

239  $A^+$  and  $A^-$  denote the regions of the cross-section where water enters or leaves the domain,  
 240 respectively. In (11) and (12),  $Q_{in}$ ,  $S_{in}$ ,  $Q_{out}$ ,  $S_{out}$  are the Total Exchange Flow (TEF) terms.  
 241 The sum  $Q_{in} + Q_{out}$  is the net water transport driven by river discharge or wind, and  
 242  $Q_{in}S_{in} + Q_{out}S_{out}$  is the net salt transport.

243 MacCready et al. (2018) expressed the TEF framework in terms of the the salinity variance.  
 244 Following this concept, we explore the salinity variance TEF terms and mixing in a box-type  
 245 estuary with two boundary sections: Lower and Upper boundary (Figure 4). By take the tidal  
 246 average of (10) with the advection terms decomposed using the TEF analysis method, we find  
 247 the tidally-averaged salinity variance balance in TEF terminology:

$$248 \quad \frac{d}{dt} \left\langle \int S'^2 dV \right\rangle = [Q_{in}(S'^2)_{in} + Q_{out}(S'^2)_{out}] \Big|_{Lower} + [Q_{in}(S'^2)_{in} + Q_{out}(S'^2)_{out}] \Big|_{Upper} - M \\ 249 \quad (13) \\ 250 \quad \text{where}$$

$$251 \quad (S'^2)_{in} = \frac{\left\langle \int_{A^+} (S - \bar{S})^2 u dA \right\rangle}{Q_{in}}; (S'^2)_{out} = \frac{\left\langle \int_{A^-} (S - \bar{S})^2 u dA \right\rangle}{Q_{out}} \quad (14)$$

252 and  $M = 2 \left\langle \int K(\nabla S')^2 dV \right\rangle$  represents the volume-integrated rate of destruction of salinity  
 253 variance.

### 254 3. Results

#### 255 3.1 Salinity Response under Climatic Wind Conditions

256 In this part, we analyze the response of salinity to climatic (February) wind forcing in  
 257 scenarios that include and exclude the dikes of the DWP. As shown in Figure 5 (left panel),  
 258 the implementation of the dikes led to a decrease in salinity in the North Channel. The  
 259 reduced mean salinity values at the Baozhen (BZ), Qingcaosha reservoir intakes (QCS1), and  
 260 lower Qingcaosha (QCS2) stations are 0.39, 0.04, and 0.47 psu, respectively. The maximum  
 261 salinity values at these locations are, in the same order, 3, 0.7, and 2.5 psu. These results  
 262 indicate that the dikes of the DWP cause a significant decrease in saltwater intrusion in the  
 263 NC under climatic wind conditions, which favors the intake of water in the Qingcaosha  
 264 Reservoir. The latter is consistent with previous findings (Wu et al., 2010; Zhu et al., 2006).  
 265 In contrast, there is a significant increase in saltwater intrusion in the SC with the  
 266 implementation of the DWP (Figure 5, right panel). The mean increases in salinity at Pudong  
 267 Airport (PD), Hengsha (HS), and Changxing (CXD) stations are 1.77, 2.33, and 0.74 psu,  
 268 respectively. The maximum salinity values at these three stations are 4, 5 and 3 psu, in the  
 269 same order.

270 The horizontal distribution of averaged salinity is shown in Figure 6. With the DWP  
 271 and during neap tides, salinity at reservoir intakes is below 0.45 psu (Figure 6a), and  
 272 therefore the water is suitable for further treatment. On average, salinity in the SC is higher  
 273 than in the NC, a discrepancy that is attributed to stronger landward Stokes transport  
 274 generated by tides in the South Passage (Wu et al., 2010). Landward Stokes transport pushes  
 275 seawater upstream and prevents freshwater from entering the SC through the fork. During

276 spring tides, the transport is even greater and more low-salinity water is diverted into the NC  
277 (Figure 6b). To better quantify the residual circulation, the water diversion ratio (defined in  
278 Appendix B) is used to determine the proportion of freshwater entering the NC at the fork.  
279 Specifically, the water diversion ratio in the NC is 0.40 averaged over neaps, 0.58 over  
280 springs, and 0.53 over a full spring-neap cycle. Note that the 0.45 psu isohaline during spring  
281 tides is an exception and does not follow the general salinity distribution (Figure 6b). This  
282 slightly saline water mass may spill from the North Branch and then be advected seaward  
283 through the NC and SC, creating a reversal in the along channel salinity gradient (Lyu & Zhu,  
284 2018a; Wu et al., 2006; Xue et al., 2009) .

285 Without the implementation of the DWP (in Figure 6c and Figure 6d the dashed lines  
286 denote the dikes, indicating only the location of the DWP), saltwater intrusion strengthens in  
287 the NC and weakens in the SC during both neap and spring tides. The horizontal distribution  
288 of salinity differences without and with the implementation of the DWP shows that the  
289 salinity in the NC decreases during neap tide and reaches more than 5 psu in the sand bar area  
290 with the implementation of the DWP. Also note a small salinity change at the water intake of  
291 the Qingcaosha Reservoir. The salinity increases in the SC and has a maximum value of more  
292 than 6 psu around the Jiuduan Sandbank. Changes in salinity patterns during spring tide are  
293 similar to those during neap tide. With the implementation of the DWP, it can be seen that the  
294 north dike blocks the southward transport of relatively low-salinity water from the NC,  
295 resulting in an accumulation of diluted water and a decrease in salinity in the NC. In the  
296 South Passage, the topography changed into a funnel shape with the implementation of the  
297 DWP, which strengthens the saltwater intrusion (Wu et al., 2010). Meanwhile, the southward  
298 transport of relatively low-salinity diluted water from the NC is blocked, which also caused  
299 the increase in salinity in the South Passage.

300 The influences of the DWP on saltwater intrusion in the NC are greatly weakened  
301 when the southward transport of diluted water is blocked by the north dike. Figure 7 shows  
302 the water and salt fluxes in a cross-section along the north dike with and without the  
303 implementation of the DWP. Without the DWP, the volume transport is southward during  
304 neap tides and northward during spring tides. This is primarily because water transport is  
305 largely induced by northerly winds during neap tides and by tidal transport during spring  
306 tides. During neap tides, the wind-driven southward transport surpasses northward tidal  
307 transport. The opposite conditions occur during spring tides (Wu et al., 2018; Wu et al.,  
308 2010). During neap tides, the southward transport of water was approximately 4,200 m<sup>3</sup>/s  
309 without the implementation of the DWP, but essentially disappeared with the implementation  
310 of the DWP. This is because water transport is blocked by the dikes, as the tidal range is  
311 small during neap tides (less than 2.5 m) and the dikes are 0.37 m higher than the mean sea  
312 level. These results are consistent with Zhu et al. (2006). As demonstrated in Figure 7c,  
313 during neap tides the southward salt flux is only approximately 20 t/s without the  
314 implementation of the DWP because the southward transported water is relatively low-  
315 salinity. The salt flux nearly vanishes (~0 t/s) with the implementation of the DWP.

316 During spring tides, the dikes block the tidal transport over tidal flats from the South  
317 Passage to the NC, and the northward water flux decreases from approximately 10,000 m<sup>3</sup>/s  
318 without the implementation of the DWP to less than 5,000 m<sup>3</sup>/s with the implementation of  
319 the DWP. The change in the overtopping water flux results in a change in the salt flux.  
320 During spring tides, the South Passage is occupied by high-salinity water and the dikes  
321 effectively weaken the transport of high-salinity water from south to north. The northward  
322 salt flux transport decreases from a maximum of 215 t/s to 75 t/s (Figure 7c), thereby  
323 resulting in a decrease in salinity in the NC. These results are consistent with those of Wu et  
324 al. (2010). Figure 8a shows the changes in the water fluxes across the section in the NC (sec1

325 in Figure 1). Due to the river discharge, the cross-sectionally integrated water flux (Equation  
 326 (2)) is seaward regardless of whether the DWP is implemented. However, there is a  
 327 difference in the magnitude with and without the implementation of the DWP. During neap  
 328 tides (February 9<sup>th</sup> to 14<sup>th</sup>), there is a decrease in the seaward water flux with the  
 329 implementation of the DWP because the original southward transport from the NC is blocked  
 330 by the north dike, resulting in an increase in the water level and a decrease in the seaward  
 331 discharge of water in the NC. During spring tides (February 15<sup>th</sup> to 18<sup>th</sup>), there is an increase  
 332 in the seaward water transport in the NC because the South Passage has a large tidal prism  
 333 and the original water transport across the tidal flats from south to north is blocked by the  
 334 dikes, resulting in a decrease in the water level at the mouth of the NC. Consequently, the  
 335 downstream discharge of water from the SC into the South Passage is blocked and the water  
 336 diversion ratio in the NC increases (L. Li et al., 2010).

337 Figure 8b shows the changes in salt fluxes across the section in the NC. During the  
 338 neap tide, the landward salt flux decreased in contradiction with decreasing seaward water  
 339 flux. The cause of this phenomenon was noted above. With the implementation of the DWP,  
 340 low-salinity water is retained in the NC, resulting in a reduction of the landward salt flux in  
 341 the NC. These results are consistent with those of Zhu et al. (2006). During the spring tide  
 342 (February 15<sup>th</sup> to 17<sup>th</sup>), the seaward salt flux slightly increases. This is because the increasing  
 343 seaward water flux in the spring tide carries salts that have entered the NC during the neap  
 344 tide outside the river mouth. Regardless of whether the DWP is present, through this cross-  
 345 section, a salt flux enters the NC during the neap tide and exits the NC during the spring tide.  
 346 This process is important for maintaining the estuarine salt balance. The salt flux  
 347 decomposition (Figures 8c and d) shows that, during neap tide, the landward steady shear  
 348 transport is relatively strong due to weak tidal stirring. The strong landward steady shear  
 349 transport combined with the landward tidal transport surpasses the seaward advective salt  
 350 flux. As a result, the net salt flux is landward during neap tides. During spring tides, the  
 351 landward steady shear transport weakens as a result of intense stirring and is insufficient to  
 352 compensate the seaward advective transport. As a result, salt is transported seaward. Overall,  
 353 we find that the mechanisms of estuarine salt transport under climatic wind conditions are the  
 354 same regardless of the modeled scenario (with and without DWP).

### 355 3.2 Salinity Response under Strong Northerly Winds

356 Now we consider the response of the circulation and salt transport under strong  
 357 northerly winds. Time series of salinity at stations without and with the DWP are shown in  
 358 Figure 9. With the DWP, there is an increase in salinity in the NC. The mean salinity values  
 359 at the BZ, QCS1, and QCS2 stations are 1.31, 0.65 and 1.12 psu, and the maximum values  
 360 are, 6, 5.5 and 6 psu, respectively. These results suggest that saltwater intrusion in the NC  
 361 under sustained northerly winds results in unfavorable conditions for drinking water intake at  
 362 the reservoir. The salinity values at the three observation stations in the SC decrease in the  
 363 scenario with the DWP. The reduced mean salinities at the PD, HS, and CXD stations are  
 364 0.62, 3.39 and 1.70 psu, respectively, while the reduced maximum salinities are 4, 15 and 9  
 365 psu, respectively. This suggests that the saltwater intrusion into the SC weakens under strong  
 366 northerly wind conditions with the DWP. In addition to the model results, we present a time  
 367 series of observed salinity during strong wind conditions and found SS for these stations are  
 368 higher than 0.7 (Figure 8). The latter provides additional confirmation that the numerical  
 369 model used in this study can accurately simulate the processes that lead to saltwater intrusion  
 370 in the Changjiang Estuary.

371 Residual water levels and transport (Equation 1) with and without the DWP are  
 372 shown in Figure 10, and correspond to an average during neap conditions (February 10<sup>th</sup> to

373 13<sup>th</sup>). Under strong northerly winds, water is transported from north to south along the coast.  
 374 The net transport of water in the NC is landward due to landward Ekman transport, which  
 375 overcomes runoff and downstream flow. The direction of water transport changes at the  
 376 bifurcation of the NC and the SC. Water flows into the SC and then flows downstream into  
 377 the South and North Passages, forming a horizontal circulation pattern. The north dike of the  
 378 DWP blocks the southward wind-driven current, which then flows eastward along the north  
 379 dike. There is a rise in the residual water levels on the north side of the dike due to its  
 380 blocking action. Without the DWP, water transport induced by persistent strong northerly  
 381 winds is directly southward in the sand bar region and no rise in the residual water levels  
 382 occurs. Consequently, the horizontal circulation initiated by strong winds and characterized  
 383 by landward water transport in the NC and seaward water transport in the SC is considerably  
 384 weaker. Specifically, the maximum landward water transport per unit width decreases by  
 385 more than 2 m<sup>2</sup>/s in the NC and the maximum seaward transport per unit width decreases by  
 386 more than 2 m<sup>2</sup>/s in the SC (Figure 10e) without the implementation of the DWP. The spatial  
 387 distribution of differences in the residual water levels with and without the implementation of  
 388 the DWP shows that residual water levels on the north side significantly increase, as much as  
 389 10 cm, due to the blockage of the north dike, whereas water levels over a large area  
 390 significantly decrease, as much as 10 cm, in the South Passage.

391 The right panel of Figure 10 shows the distribution of the vertically averaged  
 392 salinities with and without the implementation of the DWP and their differences during the  
 393 neap tide from February 10<sup>th</sup> to 13<sup>th</sup>. As a result of the landward transport of water in the NC  
 394 under the aforementioned strong northerly winds, extremely severe saltwater intrusion occurs  
 395 in the NC. The entire NC is occupied by high-salinity water (Figure 10b and 10d) . With the  
 396 implementation of the DWP, the average salinity at the water intake location of the  
 397 Qingcaosha Reservoir exceeds 5 psu and saltwater enters the SC from the NC at their point of  
 398 bifurcation. Severe saltwater intrusion occurs in the SC and the North and South Passages,  
 399 but to a far lesser extent than saltwater intrusion in the NC. These results are opposite to those  
 400 calculated under climatic wind conditions. Without the implementation of the DWP,  
 401 saltwater intrusion will weaken in the NC but strengthen in the SC. The distribution of the  
 402 differences in salinity without and with the implementation of the DWP shows that the  
 403 blockage of the north dike results in a greater than 4 psu increase in salinity in the NC and a  
 404 greater than 5 psu decrease in salinity in the SC under persistent northerly wind conditions.

405 As a result of the horizontal transport of water caused by persistent northerly winds,  
 406 which flows landward in the NC and seaward in the SC, peak salinity occurs earlier in the NC  
 407 than in the SC as the high-salinity water is transported from north to south. As Figure 9  
 408 shows, peak salinities occur on approximately February 12<sup>th</sup> at stations in the NC, whereas  
 409 peak salinities occur by February 17<sup>th</sup> at stations in the SC. Without the dikes, water is  
 410 transported southward (Figure 10c), resulting in a rapid increase in salinity at the HS and  
 411 CXD stations in the SC (red line on the right side of Figure 9). As a result, the peak salinity  
 412 phase occurs earlier at these locations, on approximately February 13<sup>th</sup>.

413 The model results of water fluxes also reveal that the dikes lead to a counterclockwise  
 414 circulation pattern with landward flow in the NC and seaward in the SC. By quantifying the  
 415 cross-sectionally integrated water flux, the amount of water blocked by the north dike and the  
 416 amount of water that flows upstream in the NC are presented as follows. As shown by the  
 417 temporal variations in the water and salt fluxes in a cross-section along the north dike (Figure  
 418 11), without the implementation of the DWP, a large amount of water crosses the section  
 419 from the NC into the South Passage during the neap tide and under the strongest northerly  
 420 winds from February 7<sup>th</sup> to 14<sup>th</sup> . The instantaneous maximum water flux reaches  $2.8 \times 10^4$   
 421 m<sup>3</sup>/s on February 10<sup>th</sup>, which is more than six times the flux that occurs under climatic wind

422 conditions. The salt flux in a cross-section along the dike is also large. Its maximum value is  
 423 up to 730 t/s; however, under climatic wind conditions, it is less than 25 t/s (Figure 7c). With  
 424 the implementation of the DWP, the water flux and corresponding salt flux through the cross-  
 425 section are both approximately 0 due to the blockage by the north dike. Southerly winds  
 426 occurred during the spring tide on February 16<sup>th</sup>. Due to tidal transport and the southerly  
 427 winds, both the water and salt fluxes are transported from south to north and are significantly  
 428 greater without the implementation of the DWP than with the implementation of the DWP.

429 With the implementation of the DWP, the water flux across the section in the NC is  
 430 transported landward from February 8<sup>th</sup> to 13<sup>th</sup> and has a maximum of 11,000 m<sup>3</sup>/s under the  
 431 persistent, strong northerly wind conditions, which approaches the river discharge of the  
 432 same period (Figure 12a). However, without the implementation of the DWP, the landward  
 433 water flux is less than 1,500 m<sup>3</sup>/s. The landward water volume transport increases by nearly  
 434 an order of magnitude with the implementation of the DWP. This occurs because of the sea-  
 435 level set-up associated with blockage of the southerly flows by the DWP. Stated differently, a  
 436 sea-level setup at the mouth of the NC and produces a landward pressure gradient. The cross-  
 437 sectionally integrated salt flux demonstrates that regardless of whether the DWP is  
 438 implemented, salt is transported landward during strong northerly winds that occurred from  
 439 February 7<sup>th</sup> to 14<sup>th</sup> (Figure 12b). However, there is a significant difference in salt flux with  
 440 and without the implementation of the DWP. The maximum salt flux entering the NC reaches  
 441 260 t/s with the implementation of the DWP and is less than 150 t/s without the  
 442 implementation of the DWP. During southerly wind and spring tide conditions on February  
 443 15<sup>th</sup>, regardless of whether the DWP is present, salt begins to be transported to the open sea  
 444 and the intensity of the seaward salt transport is higher if the DWP is present. The  
 445 aforementioned results of the temporal variations in the salinity at the observation stations,  
 446 the horizontal distribution of the salinities and the changes observed without and with the  
 447 implementation of the DWP are consistent with the conclusion that changes in saltwater  
 448 intrusion are induced by changes in water and salt fluxes in the NC. Temporal variations in  
 449 the decomposed salt flux terms show that, from February 9<sup>th</sup> to 14<sup>th</sup> and with the  
 450 implementation of the DWP, large advective transport plays a dominant role in landward salt  
 451 transport while steady shear and tidal transport play a comparatively insignificant role (Figure  
 452 12c). Without the implementation of the DWP, steady shear transport dominates the landward  
 453 salt transport mechanism, whereas advective transport plays an insignificant role (Figure 12d)  
 454 and results in weakened salt transport when the DWP is absent.

455 Table 1 summarizes the dominant mechanisms of landward salt flux across the section  
 456 at the mouth of NC from February 9<sup>th</sup> to 13<sup>th</sup> in each experiment. Under climatic wind  
 457 conditions, regardless of whether the DWP is implemented, steady shear transport caused by  
 458 the estuarine circulation controls the landward salt transport. Tidal transport is not strong  
 459 through this cross-section. Under the observed, persistent strong northerly wind conditions, a  
 460 large amount of water is transported by advection into the NC by Ekman transport, bringing a  
 461 large amount of salt into the NC due to the implementation of the DWP. As a result, an  
 462 extremely severe saltwater intrusion occurs.

463 To maintain a water balance, after a large amount of ocean water flows into the NC,  
 464 the ocean water is discharged downstream into the sea through the SC (Figure 10a). Time  
 465 series of water flux across the section in the SC (sec2) show that under climatic wind  
 466 conditions, with the DWP present, the water flux increases during neap tide and decreases  
 467 during spring tides, but the differences between the fluxes is insignificant and approximately  
 468 half of the river discharge measured at the Datong station (Figure 13). Driven by the observed  
 469 wind in February 2014, there is a significant difference in the water flux in the SC. With the  
 470 DWP present, the peak seaward water flux reaches 20,000 m<sup>3</sup>/s, which is roughly twice that

471 as without the DWP and is also approximately twice the actual river discharge. The peak  
 472 water flux occurs on February 10, when there is a strong northerly wind and a neap tide. With  
 473 the implementation of the DWP, the enhanced seaward water flux in the SC pushes the  
 474 isohaline downstream in the SC (Figure 10b and Figure 10d), thereby decreasing the  
 475 saltwater intrusion in the SC.

476 **3.3 Salinity Variance Budget and Mixing**

477 In this section, the mixing in the NC is quantitatively determined using salinity  
 478 variance. The domain of NC is defined as a box with two open boundaries (lower and upper  
 479 sections in Figure 1). Under climatic wind conditions, the peak mixing (Equation 13) is  $1.21 \times 10^6 \text{ psu}^2 \text{m}^3 \text{s}^{-1}$  without the DWP and  $7.35 \times 10^5 \text{ psu}^2 \text{m}^3 \text{s}^{-1}$  with the DWP. This discrepancy is  
 480 mainly from the landward advection of salinity variance (the first term on the right of  
 481 Equation 13, which is determined by the difference between the salinity at the boundary  
 482 section and volume-averaged salinity, and the water fluxes at the boundary) into the NC  
 483 (Figure 14c and 14d). Salinity variance fluxes through the upper boundary (the second term  
 484 on the right of Equation 13) are also greater in the scenario without the DWP (Figure 14e and  
 485 14f). On the other hand, regardless of whether the DWP is implemented, peak mixing occurs  
 486 during the transition from neap to spring tides when the strong deviation encounters strong  
 487 turbulence. The timing of peak mixing is similar to that of an idealized estuary in P.  
 488 MacCready et al. (2018) as well as the Hudson Estuary (Wang & Geyer, 2018).

489 The flux-weighted salinity variances in the TEF framework (Equation 14), volume-  
 490 averaged salinity and volume-averaged salinity variance  $\left\langle V^{-1} \int S'^2 dV \right\rangle$  under the climatic  
 491 wind conditions are shown in Figure 15. Without the implementation of the DWP, the flux-  
 492 weighted salinity variances at both boundaries increase. The increase at the lower boundary is  
 493 due to the increase in landward salt flux; the increase at the upper boundary is caused by the  
 494 increase of volume-averaged salinity in the NC. As shown in Figure 15e and 15f, the  
 495 maximum volume-averaged salinity is  $\sim 4 \text{ psu}$  with the implementation of the DWP and  
 496 increases to  $\sim 6 \text{ psu}$  without DWP. Meanwhile, the maximum volume-averaged salinity  
 497 variance is  $\sim 18 \text{ psu}^2$  with DWP, which increases to  $\sim 25 \text{ psu}^2$  without DWP. Overall, without  
 498 the implementation of DWP, both the salinity variance and mixing increase in the NC.  
 499

500 On the other hand, under strong northerly winds, the peak mixing is  $1.6 \times 10^6 \text{ psu}^2 \text{m}^3 \text{s}^{-1}$   
 501 and  $2.3 \times 10^6 \text{ psu}^2 \text{m}^3 \text{s}^{-1}$  with and without the implementation of DWP, respectively (Figure  
 502 16a). Interestingly, the salt fluxes across sec1 decrease without DWP (Figure 12b), whereas  
 503 the salinity variance fluxes increase. Model results show that flux-weighted salinity variances  
 504 at the lower and upper sections decrease with the implementation of the DWP (Figure 17a, b,  
 505 c, and d). The maximum volume-averaged salinity is  $\sim 17.5 \text{ psu}$  and  $\sim 14.3 \text{ psu}$  with and  
 506 without the implementation of the DWP, respectively; meanwhile, the maximum volume-  
 507 averaged salinity variance is  $\sim 40 \text{ psu}^2$  and  $\sim 53 \text{ psu}^2$  with and without the implementation of  
 508 the DWP, respectively (Figure 17e and 17f).

509 Under climatic wind conditions, the mixing increases with the increase of saltwater  
 510 intrusion in the NC. On contrary, under persistent strong northerly wind conditions of  
 511 February 2014, the mixing decreases with the increase in saltwater intrusion in the NC.  
 512 Overall, mixing in NC is much stronger under strong north wind as a result of wind stirring  
 513 and landward Ekman transport regardless of whether the DWP is implemented.

514 **4. Discussion**515 **4.1 Seasonal variability**

516 The river discharge and winds in the Changjiang Estuary display pronounced seasonal  
 517 variability. During the winter season, the river discharge is relatively low, with the lowest  
 518 climatic discharge about 11500 m<sup>3</sup>/s in January and February. The highest discharge occurs  
 519 in July (mean 50000 m<sup>3</sup>/s) (Figure 18a). The northerly winter monsoon (speed of 6-7 m/s)  
 520 typically dominates in December, January and February (Figure 18b). The southerly summer  
 521 monsoon is relatively strong in July, with a wind speed of approximately 4.3 m/s (Figure  
 522 18b). To assess the seasonal changes in salinity, the model was run for one year using the  
 523 climatic winds and discharge with seasonal variations as Figure 18a and 18b show. To  
 524 examine the influence of DWP, two scenarios were considered: one with the DWP and the  
 525 other without the DWP. The results show that the salinities at QCS1 are highest in January  
 526 and February regardless of whether the DWP is implemented. During the wet season (from  
 527 May 1st to Nov 1st), the salinity at QCS1 and salt flux at the mouth of NC are 0 due to strong  
 528 river discharge and weak northerly winds. The observed salinity at BZ from 2010 to 2018  
 529 (Figure 18e) evidences the pronounced seasonal variability that higher salinity occurs in the  
 530 winter season and lower salinity occurs in the summer season.

531 The salinity at QCS1 decreases with the implementation of the DWP under the  
 532 climatic discharge and winds. Specifically, the reduced mean salinities at the QCS1 in  
 533 December, January and February are 0.02, 0.08 and 0.04 psu, respectively (Table 2). The  
 534 reduced maximum salinities at the QCS1 in December, January and February are 0.29, 0.96  
 535 and 0.47 psu, respectively (Table 2). This salinity difference becomes weak from March and  
 536 then disappears due to increasing river discharge and decreasing winter monsoon. The  
 537 implementation of the DWP decreases the number of days that the Qingcaosha Reservoir  
 538 could not use water from the Changjiang (salinity at QCS1 exceeding 0.45 psu) in January,  
 539 February, and March under the climatic discharge and winds. Specifically, the number of  
 540 reduced days is 3.86, 2.9 and 0.12 day, respectively (Table 2). The landward salt flux across  
 541 sec1 first occurs in December with the implementation of the DWP, however, it first occurs  
 542 in November without the implementation of the DWP. From December to February, salt  
 543 fluxes across sec1 display pronounced spring-neap variation regardless of whether the DWP  
 544 is implemented. However, without the implementation, the maximum landward salt fluxes  
 545 across sec1 increase 13.89, 10.4 and 14.98 t/s in December, January and Feb, respectively  
 546 (Table 2). The salt flux across sec1 is always seaward in March due to increasing discharge  
 547 and weakening of north winds regardless of whether the DWP is implemented. Overall, the  
 548 seaward shift in salinity in the NC (based on the landward salt flux across sec1, but similarly  
 549 for other sections in the NC) due to dike installation has been modest compared with the  
 550 monthly-to-seasonal variability due to tides, river discharge and monsoon.

551 **4.2 Sensitivity Analysis on Wind Speed**

552 Most of the saltwater intrusion events in the Changjiang Estuary occur during the  
 553 winter season (Figure 18e). Northerly winds prevail in the Changjiang Estuary in winter, but  
 554 wind statistics have not been analyzed. In this section we use the wind observations at the  
 555 WS station (for the location, see Figure 1) in winter (December, January and Feb) from 2005  
 556 to 2019 to briefly show the frequency of wind near the research cite (Figure 19). It is evident  
 557 that northerly winds of 4-10 m/s dominate in winter, with an average wind speed of  
 558 approximately 6.4 m/s. If strong wind is defined as wind speed exceeding 9 m/s, the  
 559 frequency of strong wind period is about 14% during the winter season. To assess the  
 560 influence of the DWP on saltwater intrusion under various wind speeds in winter, we carry

561 out numerical experiments with different north wind speeds occurring from February 8 at  
562 0:00. Here, 8 sets of wind speeds from 2 m/s to 16 m/s with an increment of 2 m/s are  
563 considered. At each wind speed set, two scenarios were considered: one with the DWP and  
564 the other without the DWP.

565 At low wind speeds ( $\leq 8$  m/s), the volume-averaged salinity of the NC increased  
566 compared to the implementing case (Figure 20, right panel). At high wind speeds ( $\geq 10$  m/s),  
567 the reverse was true, as the volume-averaged salinity of the NC decreased compared to the  
568 implementing case (Figure 20, right panel). The critical wind speed for the DWP to switch  
569 role in saltwater intrusion is about 9 m/s (Figure 20i). As wind speed increases, the response  
570 time of salinity to DWP dikes becomes shorter (Figure 20, black triangles); at 10 m/s it takes  
571 2.7 days for salinity to diverge ( $dS > 0.2$  psu) while at 16 m/s it only takes 0.75 day.

#### 572 4.3 Comparison to other studies

573 Wind-induced horizontal circulation in the Changjiang Estuary has been reported  
574 in previous studies. Wu et al. (2010) concluded that when discharge and tides are excluded,  
575 the pure wind-driven unit width water transport is about 2 m<sup>2</sup>/s landward in the NC and  
576 seaward in the SC under a northerly wind at 7 m/s; L. Li et al. (2012) reported the pure wind-  
577 driven unit width water transport increases to about 4 m<sup>2</sup>/s under the a northerly wind at 10  
578 m/s. In this study, we note the dikes of DWP have a strong effect on the wind-induced  
579 horizontal circulation. Without the implement of the DWP, the landward unit width water  
580 transport in the NC deceases about 2 m<sup>2</sup>/s under the strong, northerly wind conditions of  
581 February 2014.

582 Zhu et al. (2006) reported that the dikes of the DWP block the southward drift of  
583 freshwater driven by the northerly monsoon; Wu et al. (2010) reported that the dikes of the  
584 DWP block the northward drift of saline water in the South Passage invading into the and NC  
585 through tide-induced transport. In this study, the water and salt fluxes across the north dike  
586 are quantified (Figure 7 and Figure 11). In addition, we find that salinity in the NC decreased  
587 with DWP under the climatic wind, which is consistent with Zhu et al. (2006) and Wu et al.  
588 (2010); under strong north wind ( $> 9$  m/s), however, the conclusion reverses and salinity in  
589 the NC increases due to the dikes blocking the southward drift of high-salinity water. Results  
590 show that the orientation of the dikes relative to the mean offshore current is a significant  
591 factor affecting salinity in the NC.

592 We now place our results in context with other estuaries. Y. Yang and Chui (2018)  
593 evaluated the independent and combined effects of wind regime and land reclamation  
594 projects on the circulation at Mai Po Tidal Marsh in the Deep Bay, Pearl River Estuary. It is  
595 discovered that the reclamation projects in the bay enhance the effects of southwest monsoon  
596 in accelerating estuarine circulation during the summer season, but inhibit the effects of  
597 northeast monsoon decelerating estuarine circulation during the winter season. In addition,  
598 the reclamation projects in the bay lowered the bay's average salinity for both seasons. In this  
599 study, we find dikes can have opposite influence on salinity in the NC depending on  
600 northerly wind speed in winter. While in summer, the salinity in the NC is constantly low due  
601 to southerly wind and higher discharge, regardless of whether the DWP is present (Figure  
602 18). Z. Yang and Wang (2015) found the loss of intertidal flats due to human interventions  
603 results in an increase in saltwater intrusion and stronger mixing in the in Whidbey Basin of  
604 Puget Sound. However, the effect of wind was not consider in that study. In this study, we  
605 find the DWP decreases the saltwater intrusion and mixing in the NC under climatic wind in  
606 winter; under the strong, northerly wind conditions of February 2014, the saltwater intrusion  
607 increases but mixing decreases in the NC with the implement of the DWP. Based on this

608 finding, we suggest studying the effects of estuarine constructions on mixing in other  
609 estuaries under various wind conditions.

610 **4.4 Future works in the Changjiang Estuary**

611 The competition between wind straining and gravitational circulation modifies  
612 stratification and mixing in estuaries, but its impact in the Changjiang Estuary has not been  
613 discussed. Previously the Wedderburn number (Chen & Sanford, 2009) is used to assess the  
614 role of wind on the tilting of isohalines in an idealized estuary; however, in Changjiang  
615 Estuary the north wind is not aligned with the main axis of the channel. In such case, the  
616 lateral Wedderburn number (Purkiani et al., 2016) may be a better criterion to evaluate the  
617 contribution of wind straining, which can be applied in the Changjiang Estuary.

618 Under the influence of ongoing climate change, many estuaries and coastal regions  
619 are exposed to increasing extreme climate events. In the Changjiang Estuary, Zhang et al.  
620 (2019) reported that the frequency of winter storm and salinity in the North Branch increased  
621 from 1994 to 2008. How this trend contributes to saltwater intrusion in the NC and SC should  
622 be investigated since our study suggests that DWP could enhance saltwater intrusion during  
623 winter storms.

624 **5. Conclusions**

625 In this study, the influences of the DWP on saltwater intrusion in the NC of  
626 Changjiang Estuary under climatic wind conditions and persistent northerly wind conditions  
627 that occurred in February 2014 are simulated using a three-dimensional numerical saltwater  
628 intrusion model. The results show that under climatic wind conditions, the north dike of the  
629 DWP blocks the southward transport of relatively low-salinity diluted water in the NC,  
630 resulting in an accumulation of diluted water as well as the weakening of saltwater intrusion  
631 in the NC and the strengthening of saltwater intrusion in the SC. During neap tides, the water  
632 and salt fluxes in a cross-section along the north dike are transported from the NC to the  
633 South Passage by the northerly wind without the implementation of the DWP and essentially  
634 disappear with the implementation of the DWP due to blockage by the north dike. During  
635 spring tides, the higher salt water is moved by tidal transport from the South Passage to the  
636 NC if the DWP is absent and the amount of salt water decreases significantly if the DWP is  
637 present. The implementation of the DWP results in a decrease in the seaward water flux cross  
638 section in the NC during neap tide and an increase in this water flux during spring tides, and a  
639 decrease in the landward salt flux during neap tide and a slight increase in the seaward salt  
640 flux.

641 Under the persistent strong northerly wind conditions of February 2014, the  
642 southward alongshore transport of water occurred outside the Changjiang Estuary. As a result  
643 of the wind-driven Ekman transport, water was transported upstream from the sea into the  
644 NC and changed direction at the bifurcation between the NC and SC, then flowed  
645 downstream in the SC, forming a horizontal circulation. If the DWP is present, this horizontal  
646 circulation strengthens significantly, resulting in the maximum unit width net water transport  
647 increasing by  $2 \text{ m}^2/\text{s}$ . The blockage by the north dike leads to a significant increase in the  
648 residual water levels on the northern side of the north dike. During neap tide, extremely  
649 severe saltwater intrusion occurs in the NC; the salinity at the water intake of the Qingcaosha  
650 Reservoir increases by as much as 5.5 psu, whereas the salinity in the SC significantly  
651 decreases. The water and salt fluxes in the cross-section along the north dike are transported  
652 southward in large amounts without the implementation of the DWP, but tend to 0 with the  
653 implementation of the DWP. The water flux across the section in the NC is transported  
654 landward during neap tide with the implementation of the DWP and this flux is

655 approximately equal to the river discharge; the flux is greater than eight times that without  
 656 the implementation of the DWP. Regardless of whether the DWP is implemented, the salt  
 657 flux is transported landward under strong northerly winds, but with the implementation of the  
 658 DWP, the salt flux is significantly greater than (1.7 times) without the DWP. Based on the  
 659 salt flux decomposition, the advective transport plays a dominant role in the landward salt  
 660 transport with the implementation of the DWP, whereas the steady shear transport plays a  
 661 dominant role without the implementation of the DWP. Under climatic wind conditions, the  
 662 DWP is favorable to the water intake of the Qingcaosha Reservoir; however, the DWP can  
 663 cause severe saltwater intrusion in the NC under persistent strong northerly wind conditions,  
 664 which is unfavorable to the water intake of the Qingcaosha Reservoir. This should merit the  
 665 attention of reservoir management authorities.

666 Saltwater intrusion causes a change in salinity deviation both along and cross channel  
 667 thus changing the mixing in the channel. Under climatic wind conditions, salinity in NC is  
 668 lower compared with that under strong northerly wind conditions, and the implementation of  
 669 DWP decreases saltwater intrusion as well as mixing. Under strong north wind, the NC is  
 670 occupied by high salinity water; the implement of the DWP increased the saltwater intrusion  
 671 but decreased the salinity variance and mixing in the NC. Since mixing primarily occurs in  
 672 vertical direction, a decomposition of salinity variance in horizontal and vertical direction  
 673 could help to better identify and quantify mixing in the system (X. Li et al., 2018). For  
 674 example, under the strong northerly wind condition, without the presence of DWP, landward  
 675 salt flux is dominated by the estuarine flux and more vertical variance is generated and then  
 676 consumed by mixing in the estuary. On contrary, with the presence of DWP, landward salt  
 677 flux is dominated by advective flux, and less mixing is generated in the estuary due to lack of  
 678 vertical variance. In future works, we strongly suggest to perform similar analysis in other  
 679 estuaries with artificial engineering projects, as such intervention may enhance or inhibit  
 680 saltwater intrusion under different weather conditions.

## 681 **Appendix A: Model Validation**

682 The correlation coefficient ( $r^2$ ) and skill score (SS) were used to evaluate the model  
 683 results against the observed data as follows (Conroy et al., 2019; Lyu & Zhu, 2018a; Qiu &  
 684 Zhu, 2013):

$$685 \quad r^2 = \frac{\sum (X_{\text{mod}} - \bar{X}_{\text{mod}})(X_{\text{obs}} - \bar{X}_{\text{obs}})}{[\sum (X_{\text{mod}} - \bar{X}_{\text{mod}})^2 \sum (X_{\text{obs}} - \bar{X}_{\text{obs}})^2]^{1/2}} \quad (\text{A1})$$

$$686 \quad SS = 1 - \frac{\sum |X_{\text{mod}} - X_{\text{obs}}|^2}{\sum (|X_{\text{mod}} - \bar{X}_{\text{obs}}| + |X_{\text{obs}} - \bar{X}_{\text{obs}}|)^2} \quad (\text{A2})$$

687 where  $X_{\text{mod}}$  is the modeled data,  $X_{\text{obs}}$  is the observed data, and  $\bar{X}$  is the mean value.

## 688 **Appendix B: Water diversion ratio**

689 The water diversion ratio is the proportion of freshwater transported from headwaters  
 690 to each branch of the estuary. Two transects, the upper section and sec2 in Figure 1, are used  
 691 to calculate the water diversion ratio in the North and South channels. The water diversion  
 692 ratio in the North channel is calculated as follows:

$$693 \quad R = \frac{(Q_{in} + Q_{out})|_{\text{Upper}}}{(Q_{in} + Q_{out})|_{\text{Upper}} + (Q_{in} + Q_{out})|_{\text{sec2}}} \quad (\text{B1})$$

694 The water diversion ratio in the South Channel is then  $1 - R$ . When  $R = 1$ , all of the river  
 695 water discharges into the sea through the North Channel, while  $R = 0$  indicates that none of  
 696 the river water discharges into the sea through the channel.  $R < 0$  indicates landward flux  
 697 across the lower section, which can be caused by severe coastal storms.

## 698 Acknowledgments

699 This work was supported by the China Scholarship Council and the National Natural Science  
 700 Foundation of China (41676083), Shanghai Institute of Eco-Chongming. L. Fernando Pareja-  
 701 Roman was supported by the U.S. National Science Foundation, Prediction of and Resilience  
 702 to Extreme Events (PREEVENTS) program. All data sets used in this study are publicly  
 703 available at <https://figshare.com/s/21e3d13d23605209af75>

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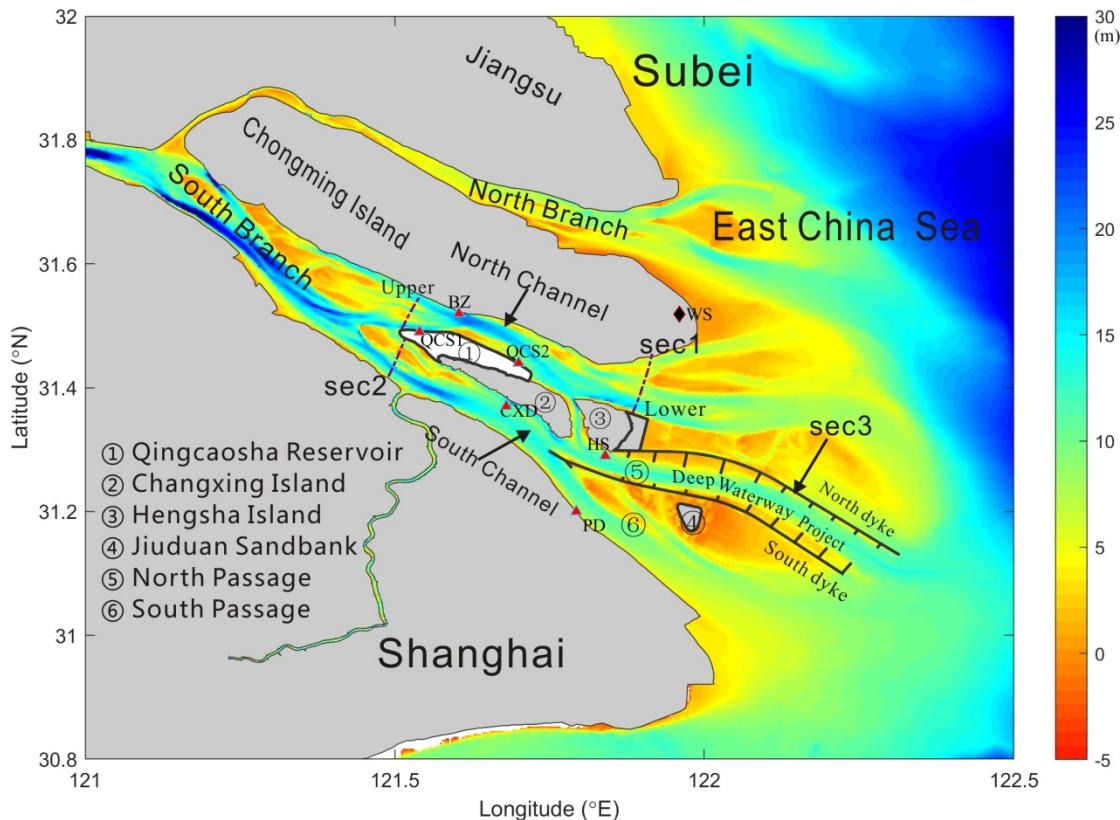
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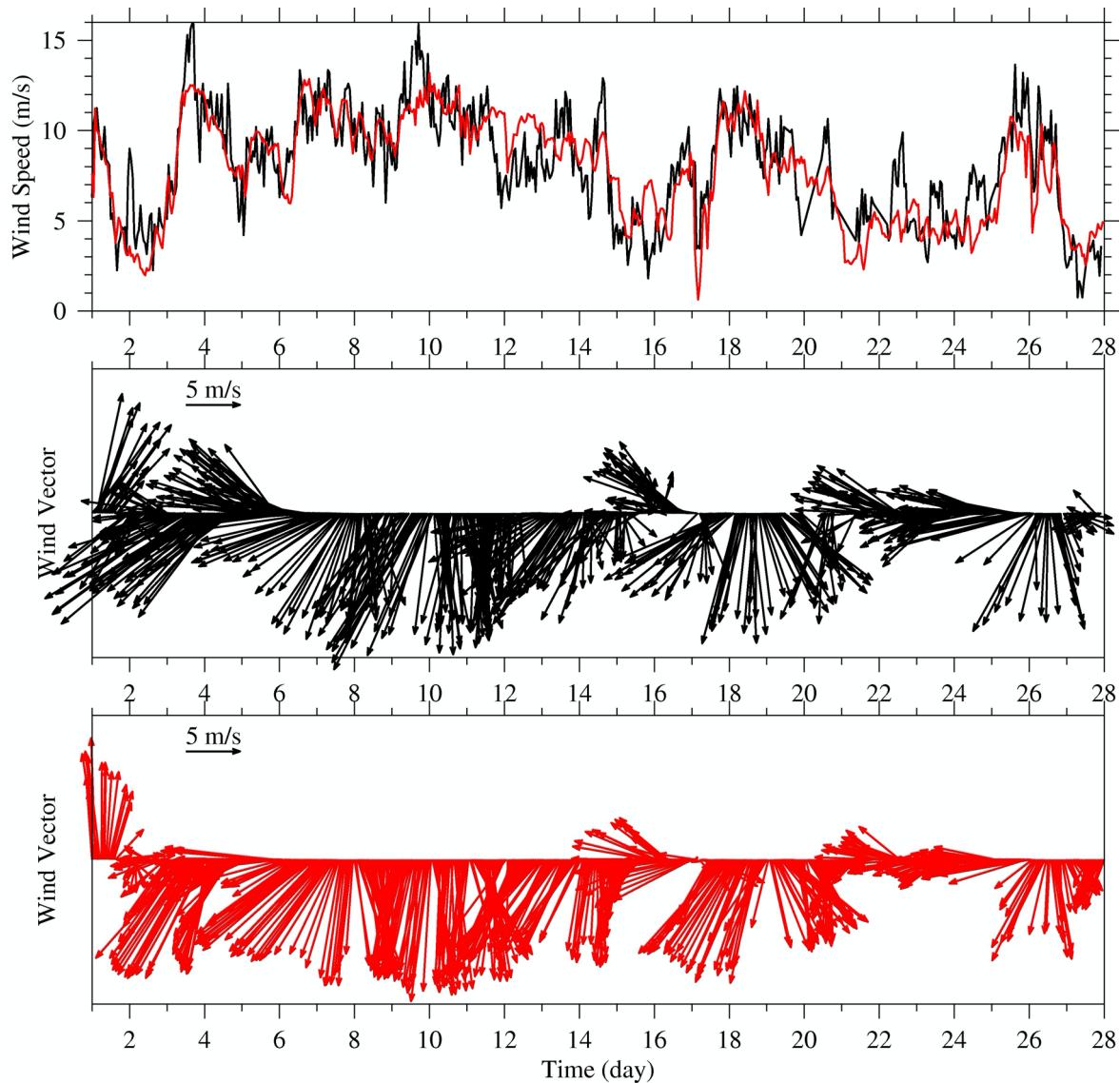
813 **Figure 1.** The Changjiang Estuary (bathymetry in colors). Cross-sectionally integrated fluxes  
 814 are calculated through sections 'sec1', 'sec2', and 'sec3'. Transects labeled 'Lower' and  
 815 'Upper' denote the boundaries of a segment for the calculation of salinity variance terms and  
 816 fluxes. Stations of interest in this study are labeled as follows: BZ (Baozhen), QCS1 (water  
 817 intake facilities at the Qingcaosha Reservoir), QCS2 (lower Qingcaosha), CXD (Changxing  
 818 station), HS (Hengsha station), and PD (Pudong Airport station). The weather station here is  
 819 labeled as WS.

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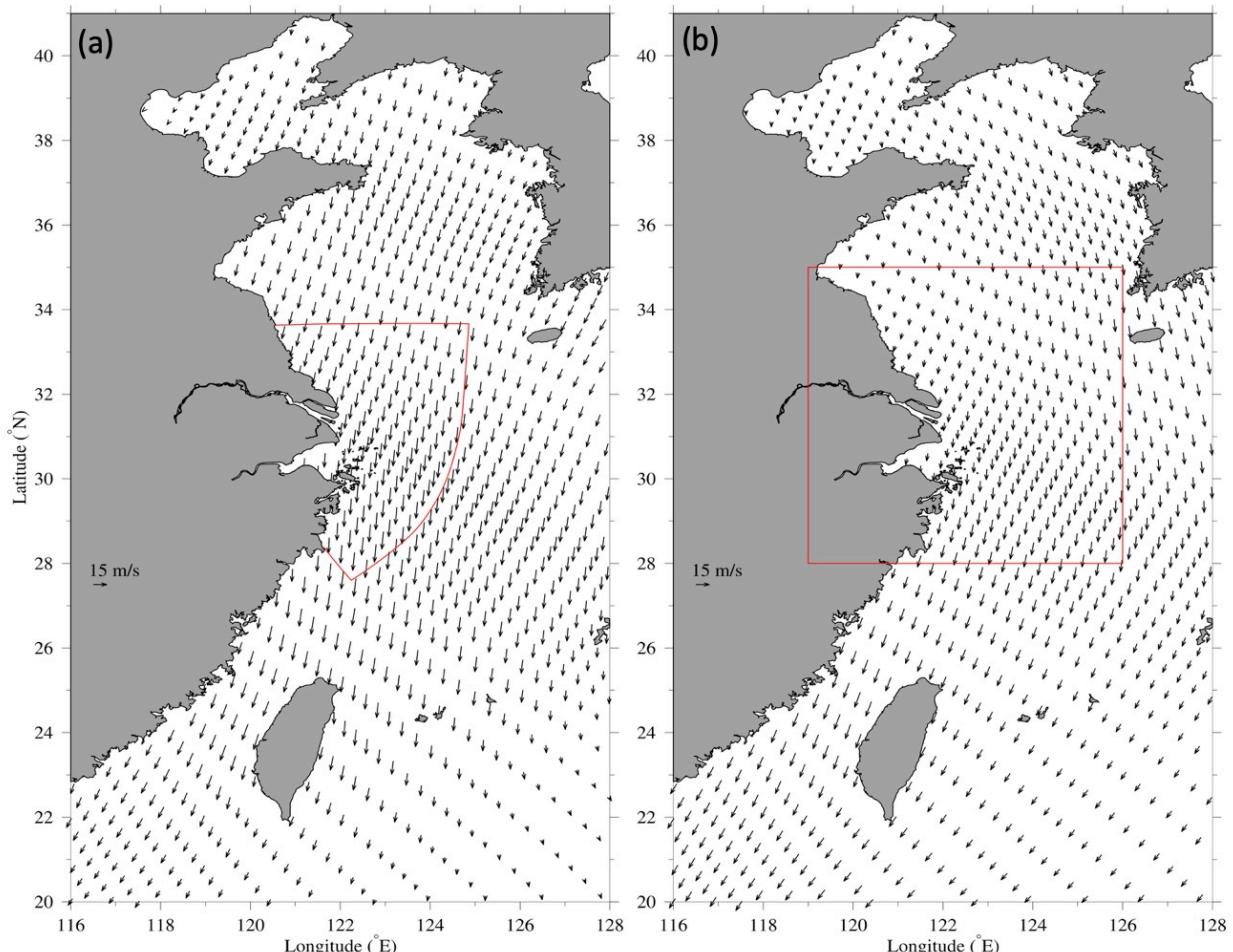
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825 **Figure 2.** Time series of wind vectors at the east shoal of Chongming Island. (a) Measured  
826 and WRF-modeled (red) wind speeds. (b) Measured wind vectors, and (c) modeled  
827 wind vectors. The numbers of the x-axis are the date in February, similarly hereinafter.

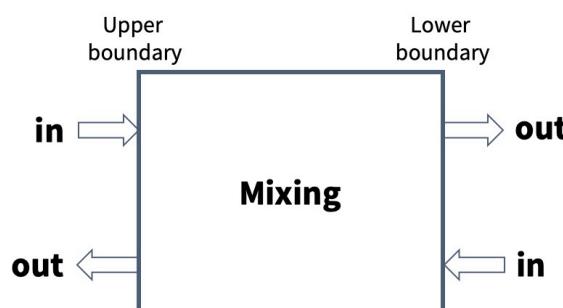
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830 **Figure 3.** (a) Mean wind field between February 7<sup>th</sup> and 14<sup>th</sup> 2014 calculated by the WRF  
 831 model. (b) Climatic wind field for February. The red line borders (a) the model domain and  
 832 (b) the area for spatial wind averaging.

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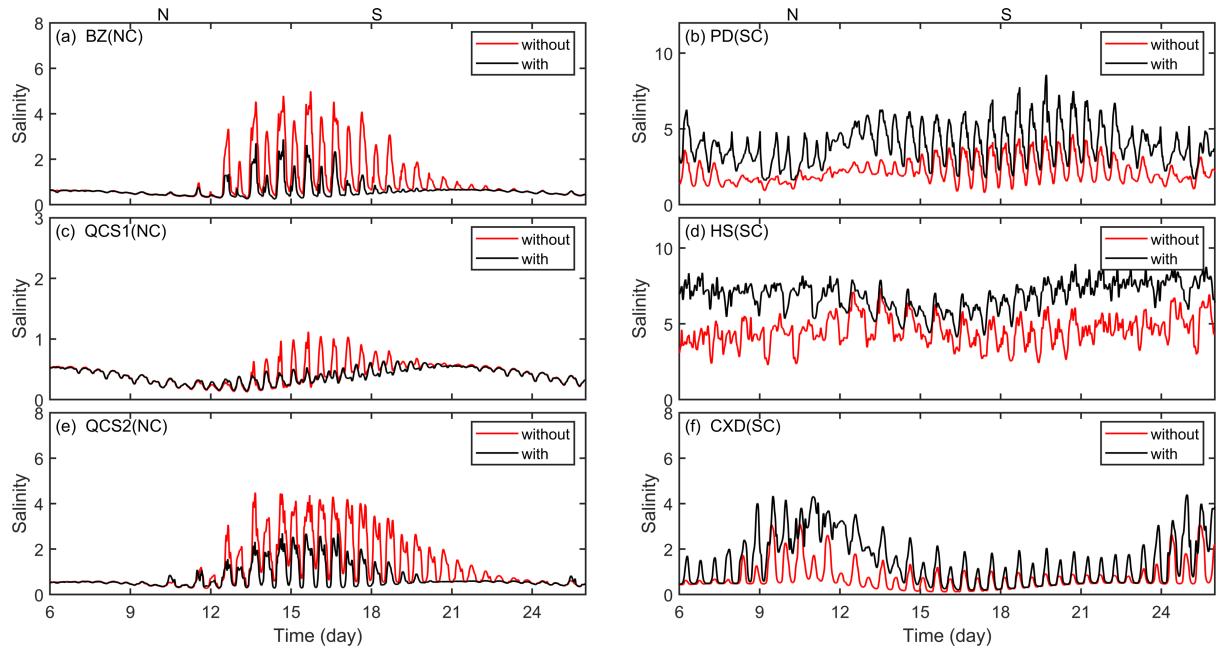
835 **Figure 4.** Schematic of an idealized box estuary with salt and water exchange at two  
 836 boundaries.

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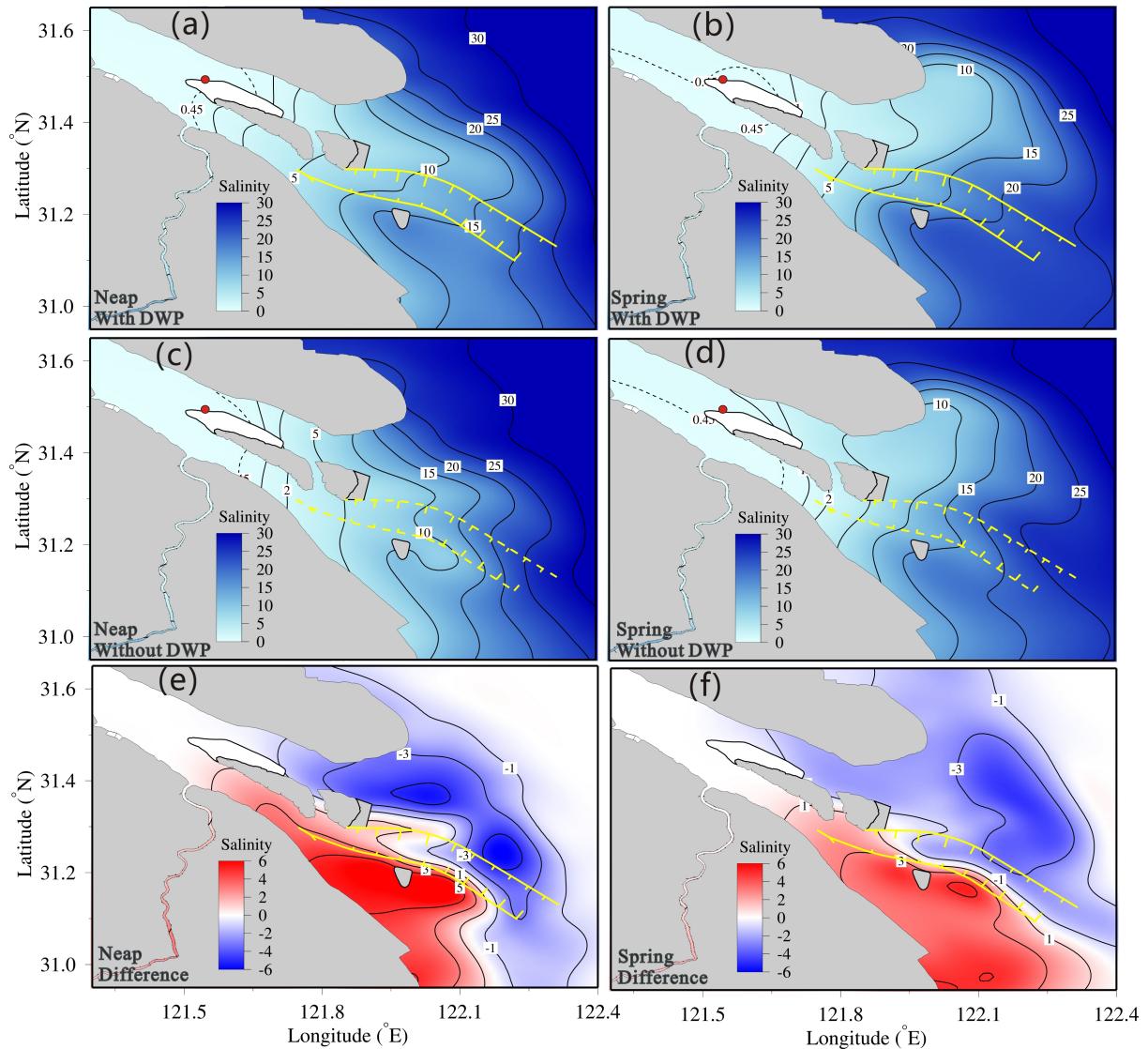
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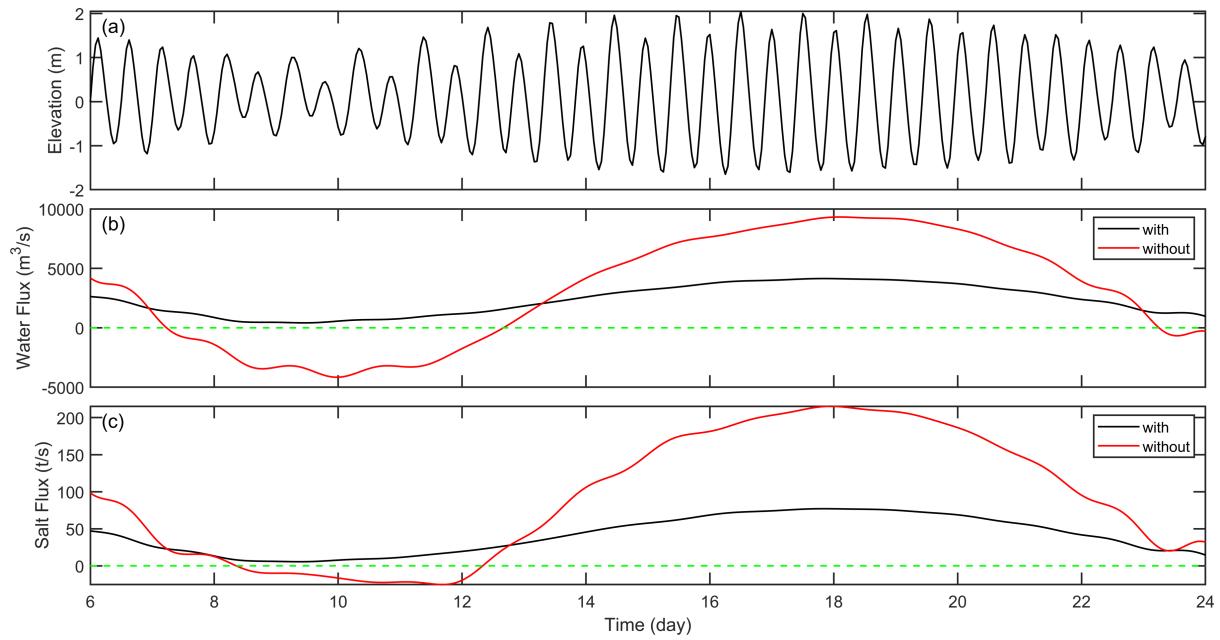
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**Figure 5.** Time series of salinity at the stations in the North Channel (NC, left panel) and in the South Channel (SC, right panel) under climatic wind conditions in February. Times of peak neap and spring tides are marked with “N” and “S” on this and subsequent figures.



847 **Figure 6.** Impact of the DWP on depth-averaged salinity under climatic wind conditions.  
848 Neap and spring-averaged fields are shown. (Top row) Scenarios with DWP and (middle  
849 row) without DWP. Differences in salinity between scenarios with and without DWP are  
850 shown on the bottom row. The dotted contour indicates a salinity of 0.45, which is the  
851 standard for drinking water, and the red dot indicates the location of water intake facilities in  
852 the Qingcaosha Reservoir.  
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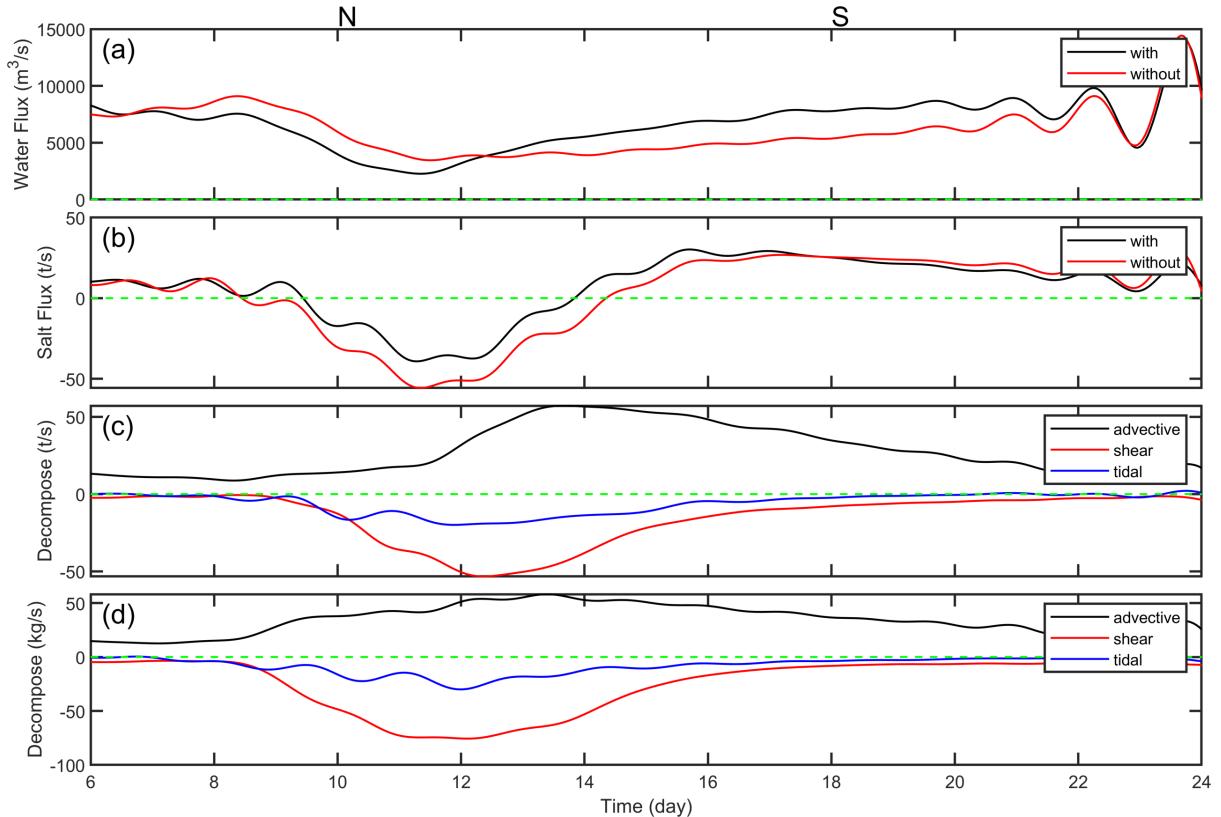
855 **Figure 7.** Modeled time series of (a) water level at the Hengsha station, (b) water flux, and  
856 (c) salt flux through transect sec3 under climatic wind conditions. Positive and negative  
857 values indicate northward and southward, respectively.

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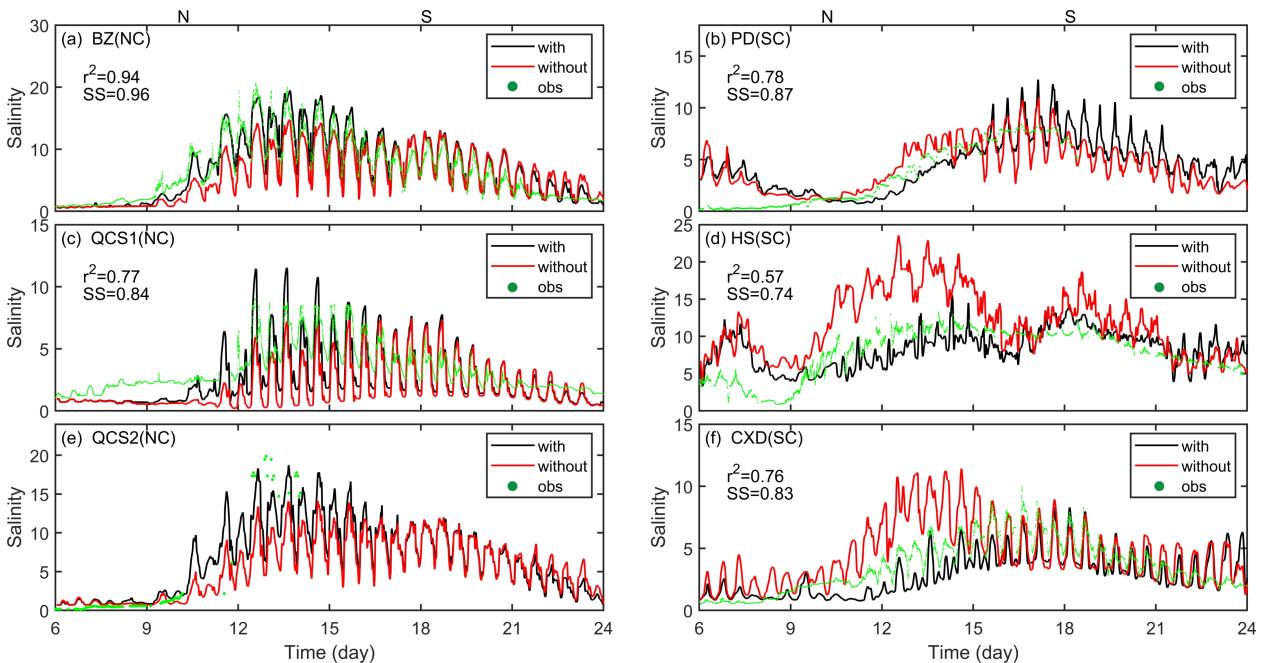
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863 **Figure 8.** Time series of (a) water fluxes and (b) total salt fluxes in the North Channel (across  
864 transect sec1) for scenarios with and without the DWP under climatic winds. Advective,  
865 shear, and tidal contributions of the total salt flux are shown in (c) and (d) for scenarios with  
866 and without DWP, respectively.

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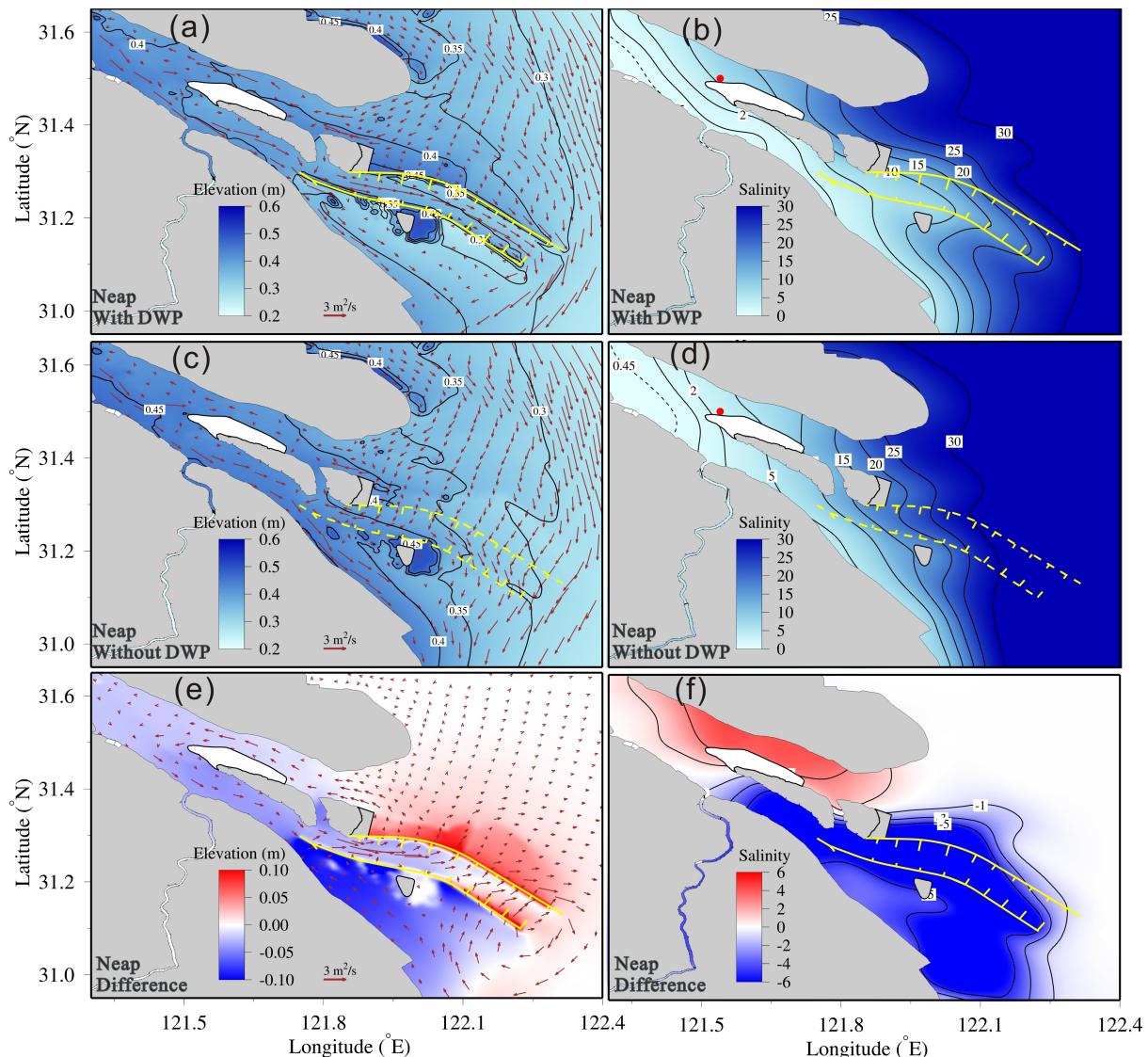
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870

871 **Figure 9.** Time series of salinity at stations in the North Channel (left panel) and South  
 872 Channel (right panel) under the strong, northerly wind conditions of February 2014.  
 873 Correlation coefficients ( $r^2$ ) and Skill Scores (SS) are calculated using observations (green)  
 874 and model results (with DWP, black).  
 875

876



877

878 **Figure 10.** Impact of the DWP on residual elevation, residual water transport, and depth-  
 879 averaged salinity under strong, persistent winter winds. Averages during neap are shown.  
 880 Arrows denote residual water fluxes. The residual elevation and water transport are shown in  
 881 the left column, and the depth-averaged salinity in the right column. Differences between the  
 882 DWP and no-DWP modeled scenarios are shown in the bottom row.  
 883

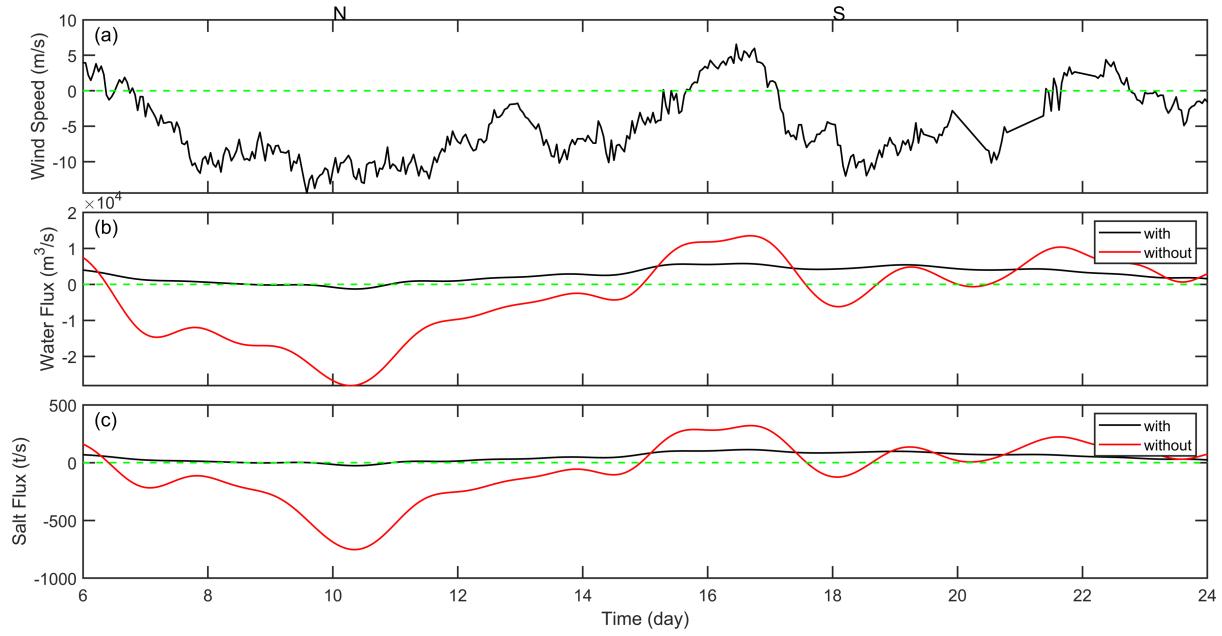
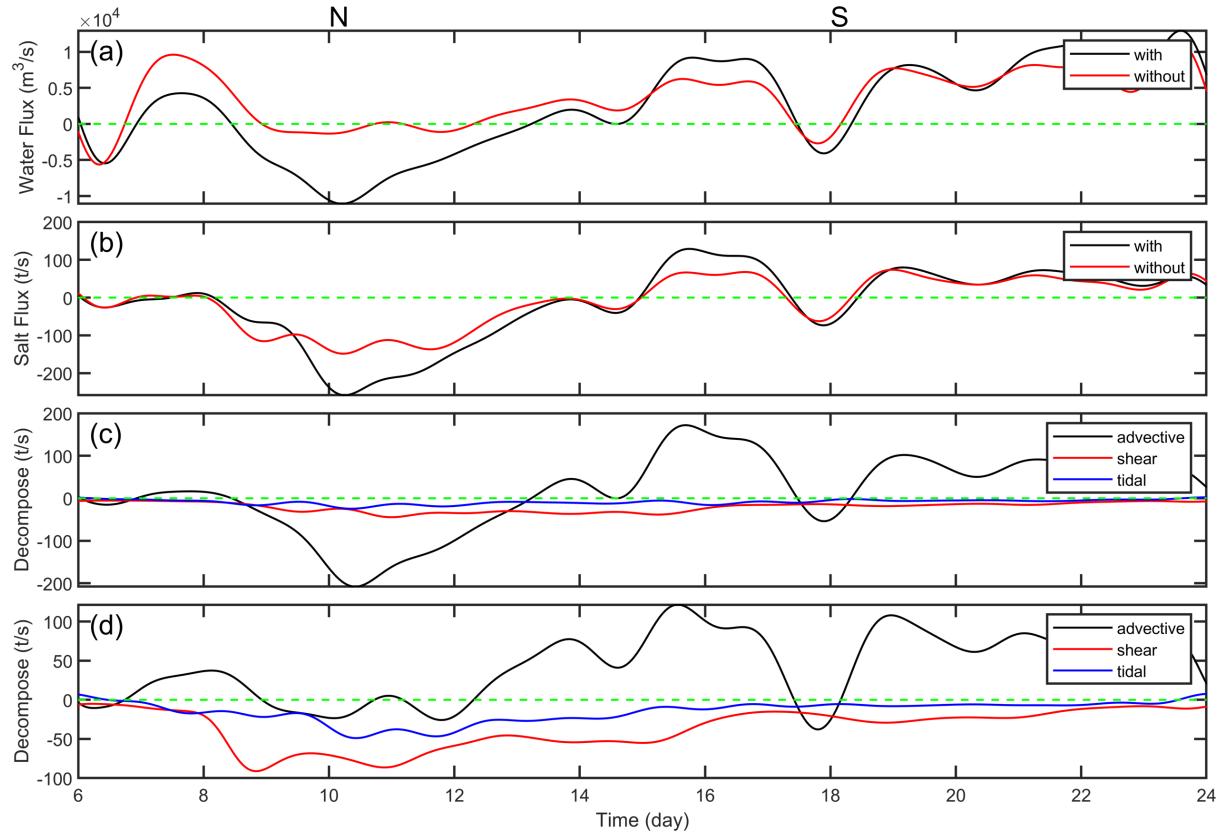
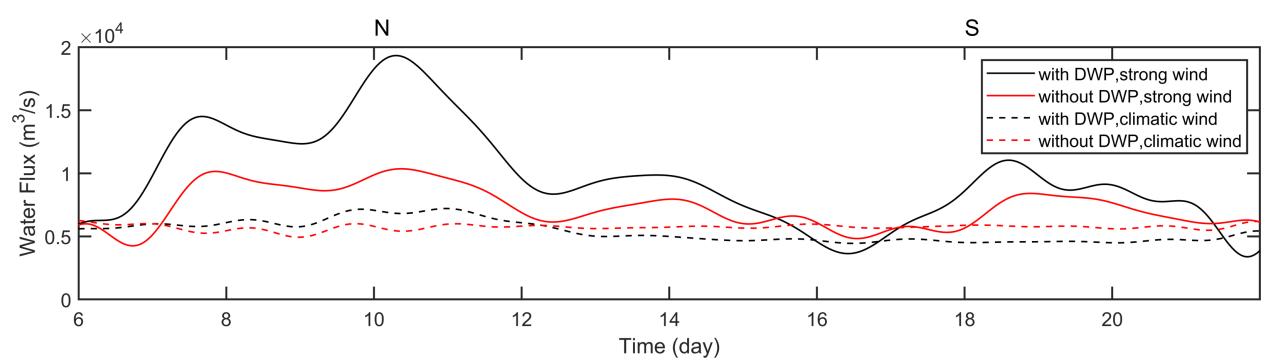


Figure 11. Time series of (a) meridional wind speed, (b) water flux, and (c) salt flux along the north dike under strong, northerly wind in February 2014. Positive values of wind speed correspond to southerly winds, and positive fluxes are northward.



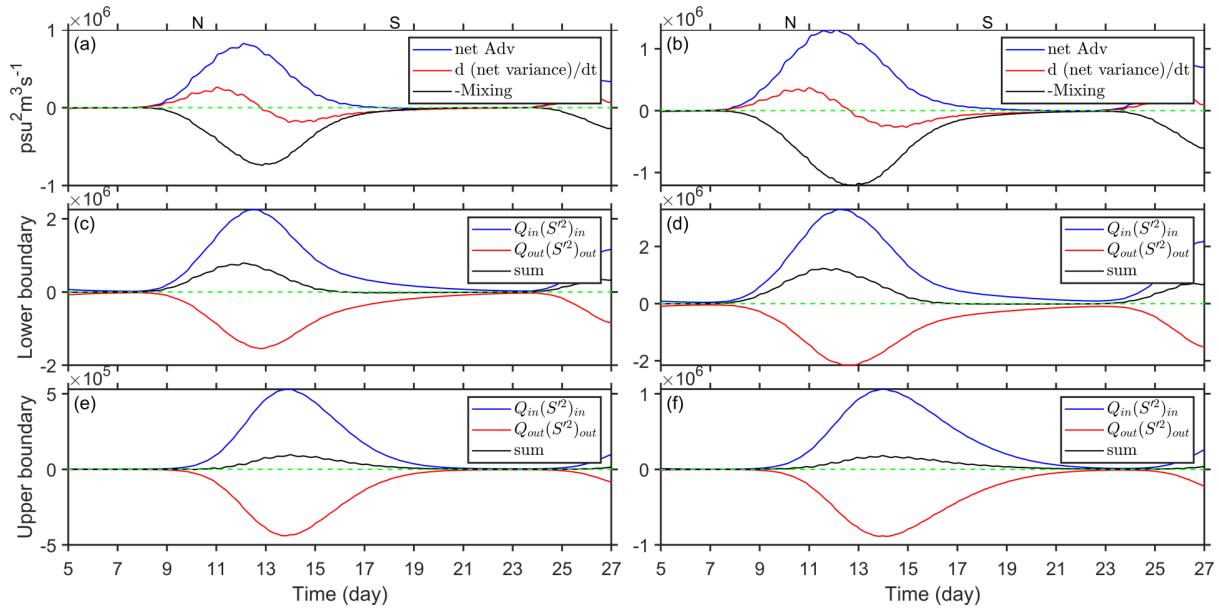
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905 **Figure 12.** Time series of (a) water fluxes and (b) total salt fluxes in the North Channel  
 906 (across transect sec1) for scenarios with and without the DWP under the persistent northerly  
 907 wind conditions in February 2014. Advection, shear, and tidal contributions of the total salt  
 908 flux are shown in (c) and (d) for scenarios with and without DWP, respectively.  
 909



910

911 **Figure 13.** Impact of DWP and wind conditions on water fluxes through the South Channel  
 912 (sec2). Positive and negative values denote seaward and landward fluxes, respectively.  
 913



914

915 Figure 14. (a) (b) Terms in the salinity variance budget[(13)] under climatic wind conditions ,  
 916 where  $d(\text{net variance}) / dt = \frac{d}{dt} \left\langle \int S'^2 dV \right\rangle$ ;  
 917  $\text{Net Adv} = [Q_{in}(S'^2)_{in} + Q_{out}(S'^2)_{out}] \Big|_{lower} + [Q_{in}(S'^2)_{in} + Q_{out}(S'^2)_{out}] \Big|_{upper}$ ; and  
 918 Mixing=M. (c) (d) The advection of the lower boundary is decomposed into TEF terms as  
 919 given in (13).  $sum = Q_{in}(S'^2)_{in} + Q_{out}(S'^2)_{out}$ . (e) (f) As in (c) and (d) but at the upper  
 920 boundary. Left panel shows the results with the implementation of the DWP and right panel  
 921 shows the results without the implementation of the DWP.

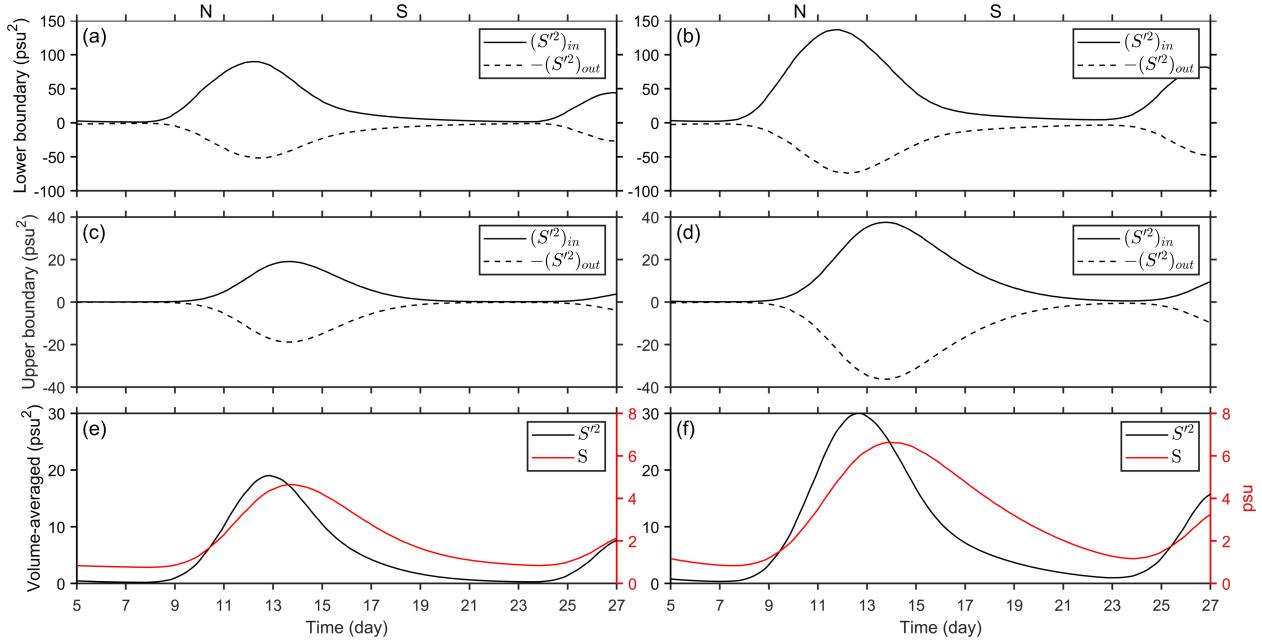
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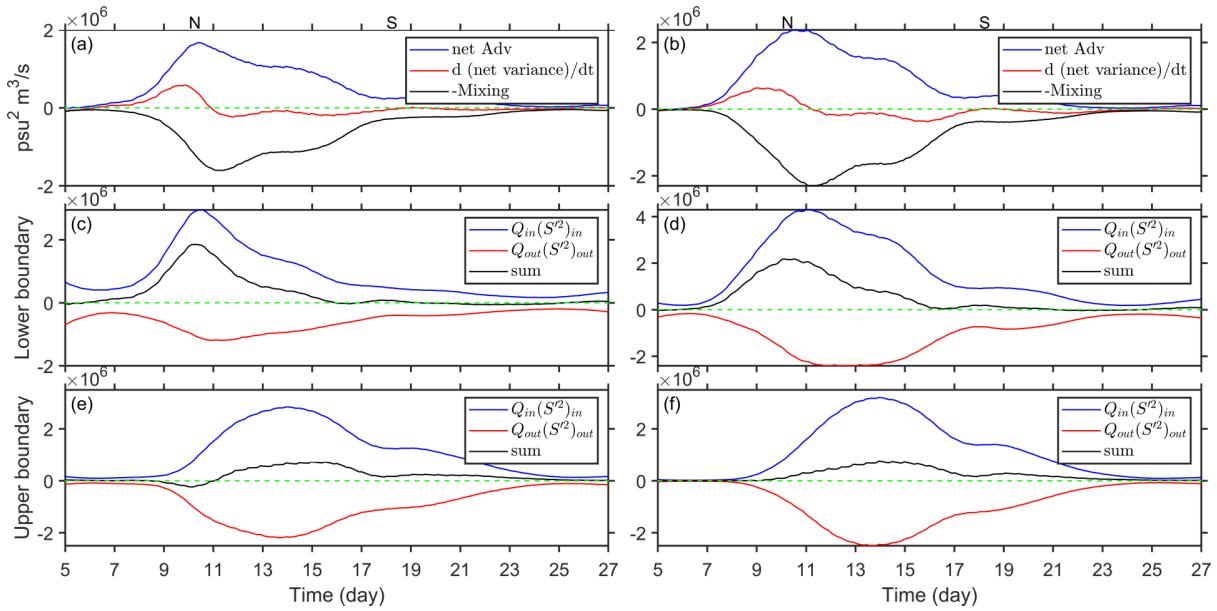
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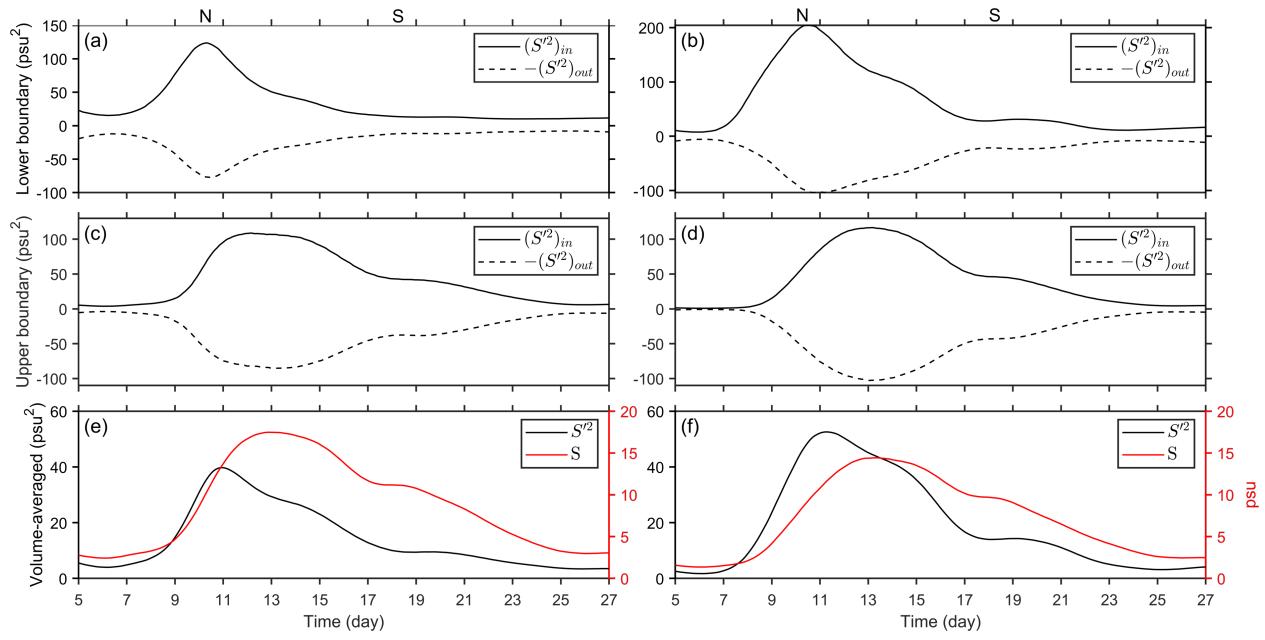
928 **Figure 15.** Temporal variations in TEF terms at the boundaries, volume-averaged salinity and  
 929 salinity variance under climatic wind conditions. The upper panel shows the results at the  
 930 lower boundary; the middle panel shows the results at the upper boundary; and the lower  
 931 panel shows the volume-averaged salinity and salinity variance in NC. The left panel shows  
 932 the results with the implementation of DWP, and the right panel shows the results without the  
 933 implementation of DWP.  
 934



935

936 **Figure 16.** As in Figure 14, but under the strong, northerly wind conditions of February  
 937 2014.  
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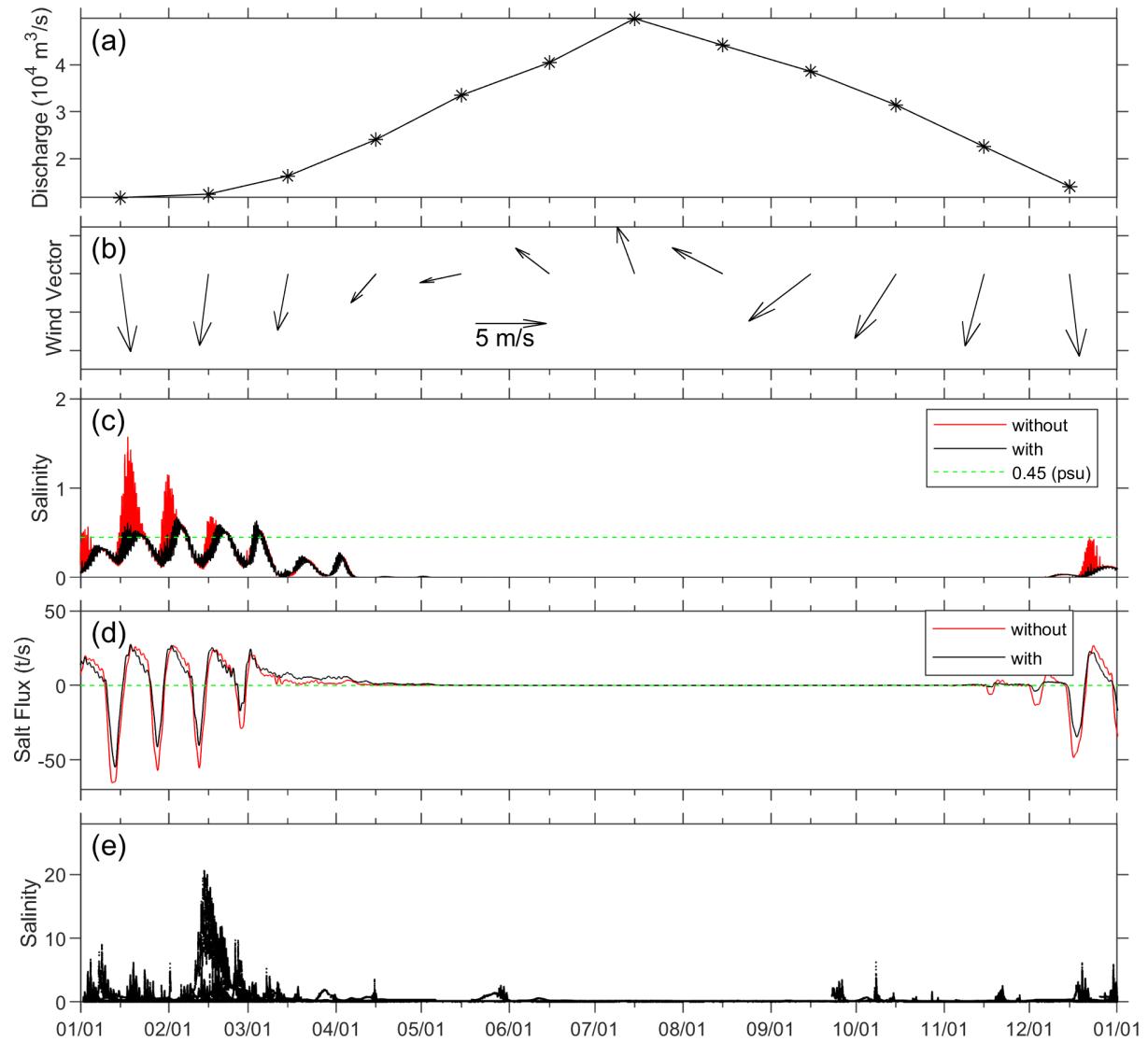
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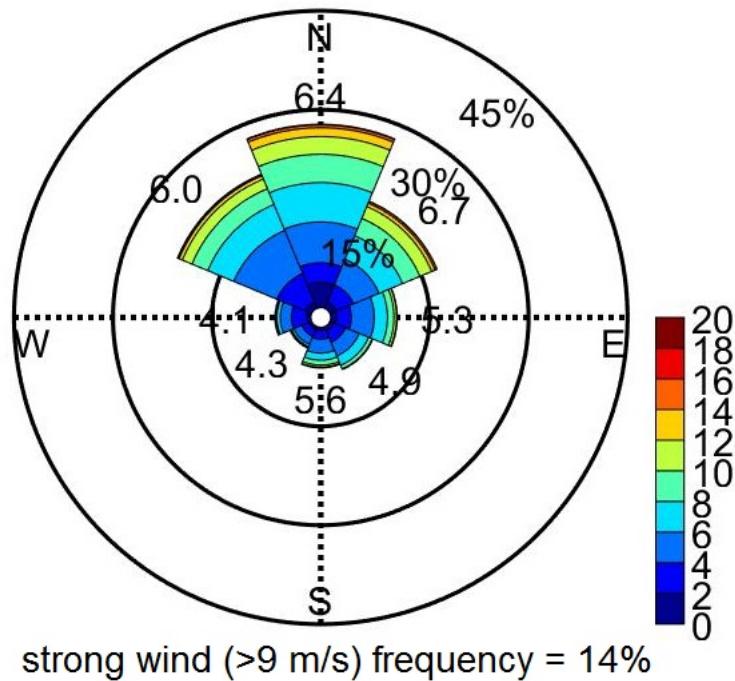
940 **Figure 17.** As in Figure 15, but under the strong, northerly wind conditions of February  
 941 2014.

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945 Figure 18. (a) Freshwater discharge climatology at the Datong hydrological station, which are  
946 averaged from 1950 to 2019. (b) Monthly mean winds from NCEP/QSCAT, which are  
947 averaged over the red box in Figure 3b (c) Salinity at QCS1 (d) Salt flux across sec1,  
948 negative means landward. (e) Observed salinity at the BZ station from 2010 to 2018. No  
949 distinction is made between years, as we only focus on the seasonal variation.  
950

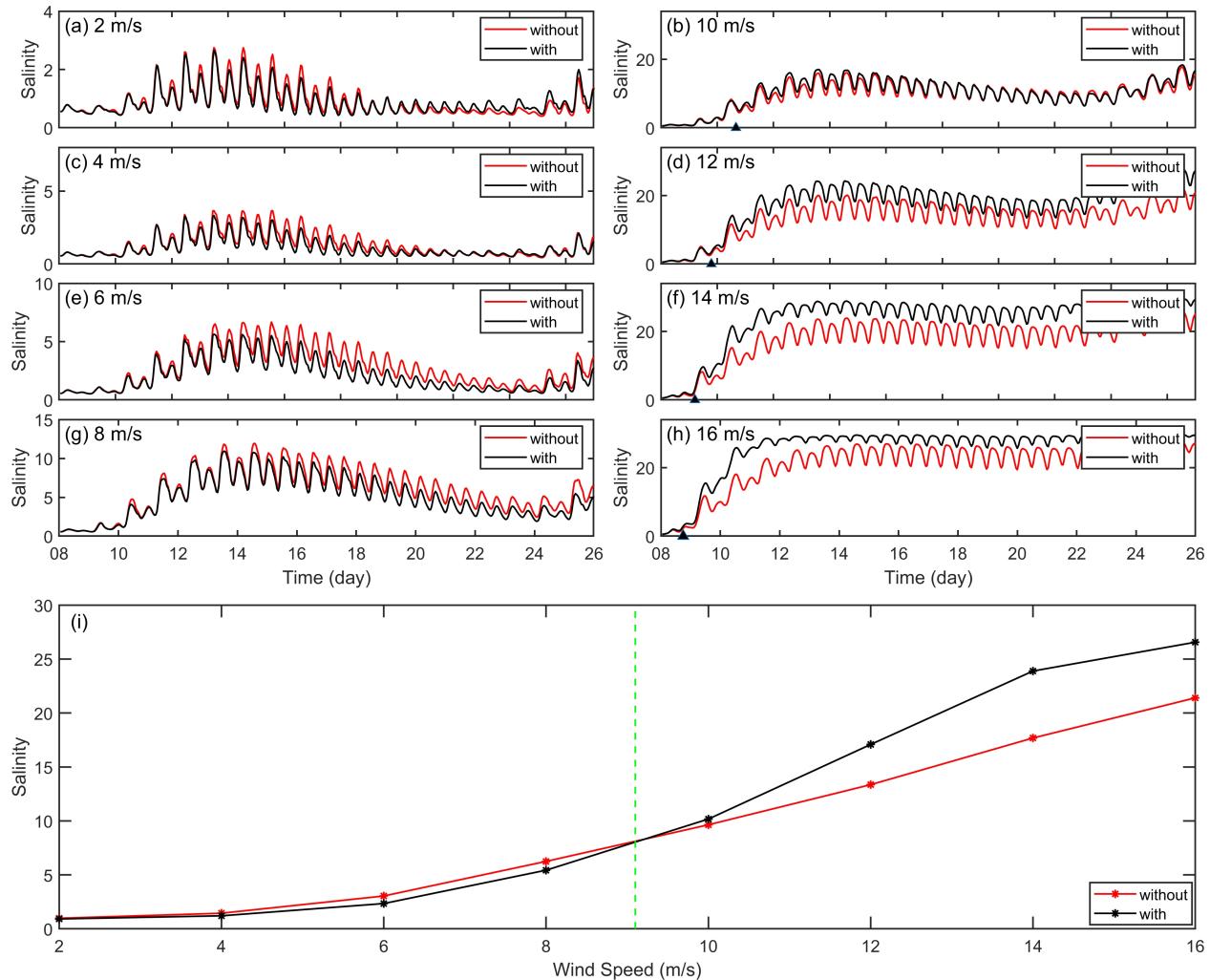


951

952 **Figure 19.** Wind rose for the winter season based on the 2005-2019 period at the WS station.  
953 'N' indicates winds coming from the north.

954

955



956

957 Figure 20. (a)-(h) Time series of volume-averaged salinity of the NC. The black triangles  
 958 indicate the persistent time for the saltwater intrusion in the NC changing from un-favorable  
 959 to favorable with the implementation of the DWP. (i) Volume-averaged salinity of the NC,  
 960 averaged from February 8<sup>th</sup> to 23<sup>rd</sup> versus wind speeds.  
 961

962 **Table 1.** Primary mechanism of landward salt transport across the section in the NC from  
 963 February 9<sup>th</sup> to 13<sup>th</sup> in each scenario.  
 964

	with DWP	without DWP
Climatic wind conditions	Steady shear transport	Steady shear transport
Strong winds in February 2014	Advectional transport	Steady shear transport

965  
 966  
 967 **Table 2.** Statistics of salinity and salt fluxes in the North Channel during winter season.  
 968

	December	January	February	March	Winter season
Number of days with salinity at QCS1 > 0.45	0 (0)	4.3 (8.2)	8.9 (11.8)	2.4 (2.5)	15.6 (22.5)
Maximum salinity at QCS1	0.2 (0.4)	0.6 (1.6)	0.7 (1.2)	0.64 (0.63)	0.7 (1.6)
Mean salinity at QCS1	0.04 (0.06)	0.3 (0.4)	0.35 (0.39)	0.16 (0.16)	0.21 (0.24)
Maximum landward salt flux across sec1	34.5 (48.4)	54.9 (65.4)	40.4 (55.4)	0 (0)	54.9 (65.4)
Mean landward salt flux across sec1	12.6 (20.8)	26.9 (36.7)	18.1 (24.6)	0 (0)	18.9 (27.2)

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 970 Note: numbers in brackets indicate scenarios without the implementation of the DWP.  
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