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## 沟沿线约束的黄土水蚀性沟谷提取

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**摘 要:** 黄土沟谷是黄土地貌发育演化研究的重要切入点, 可分为继承性与水蚀性两种类型。其中, 水蚀性沟谷是构建区域性地表过程模型的重要参数。然而, 利用现有的基于数字高程模型( DEM) 水文分析方法, 无法准确识别水蚀性沟谷。基于黄土坡面流线转折特征, 系统性提出一套利用沟沿线约束的黄土水蚀性沟谷识别方法。在宁夏回族自治区固原市刘家沟流域实验结果表明: 该方法可准确区分两种类型沟谷; 提取的水蚀性沟谷在偏移距离与沟谷密度指标方面, 与目视解译结果对比, 精度分别为 84.01%、96.98%。

**关键词:** DEM; 沟沿线; 黄土沟谷

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黄土沟谷主要由水蚀性沟谷和继承性沟谷组成<sup>[1]</sup>。水蚀性沟谷是在已有黄土沉积地表或继承下伏古地形的黄土沉积沟谷的基础上, 经过现代流水侵蚀作用, 溯源侵蚀形成<sup>[2]</sup>(图 1)。而继承性沟谷是沿袭黄土下伏古地形(古凹地或主谷地)的形态, 未经明显流水侵蚀的产物, 保留有明显下伏古地形的起伏痕迹, 其形成在现代侵蚀作用之前<sup>[3]</sup>。其中, 水蚀性沟谷是研究现代黄土地貌侵蚀发育的重要切入点。水蚀性沟谷量化指标, 是构建黄土高原地区区域性地表过程演化模型的重要参数<sup>[4-5]</sup>。

目前, 关于黄土沟谷的研究已取得了大量卓有成效的成果, 主要体现在沟谷的分类<sup>[6]</sup>, 沟谷发育过程<sup>[7-9]</sup>与阶段<sup>[10-11]</sup>, 沟谷发育与气候变化的关系<sup>[12-13]</sup>, 沟谷侵蚀与沟壑密度、侵蚀产沙等因素的关系<sup>[11, 14-15]</sup>, 沟谷的提取<sup>[16-17]</sup>, 沟谷特征要素的提取<sup>[18-19]</sup>等方面。其中, 具有黄土地貌特征针对性的沟谷识别算法研究成为关键。诸多学者进行了有效探索, 江岭设计了顾及沟沿线的沟头自动识别方

法<sup>[19]</sup>; Passalacqua et al. 提出兼顾地貌特征的沟谷提取算法, 在计算精度方面具有较大的优势<sup>[20]</sup>; 贺晓晖结合沟谷高差统计分析确定最适宜的汇流累积量, 改善了“平行河谷”的状况<sup>[21]</sup>。

然而, 野外调查和高分遥感影像均表明, 在黄土高原的西北部地区, 特别是在宁夏南部、甘肃东部以及陕西西部地区所发育的沟谷, 存在着大量水蚀性沟谷和继承性沟谷的融合体。因此, 提出并构建一套能从融合性沟谷中区分水蚀性沟谷和继承性沟谷的数字地形分析算法显得尤为重要。

可已有的基于数字高程模型水文分析提取沟谷算法, 在上述区域进行水蚀性沟谷提取时, 显得力不从心, 一直无法克服准确区分水蚀性沟谷和继承性沟谷的问题。这主要由于黄土沟谷系统的复杂性, 使得无法通过一个统一的“汇流累积量”阈值实现两种类型沟谷的划分。本文从黄土地貌形态入手, 基于黄土沟沿线对黄土水蚀性沟谷区域有重要的标识作用这一客观事实, 设计沟沿线约束的黄土地貌

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水蚀性沟谷提取算法研究,并对提取结果进行精度评价。本文不仅是黄土水蚀性沟谷提取方法的一次有益尝试,也是黄土高原数字地形分析理论的重要补充。

### 1 研究样区与试验数据

本文选取宁夏回族自治区固原市刘家沟流域作为研究样区。刘家沟流域有数量众多且典型的水蚀性沟谷与继承性沟谷的融合体,地貌类型属于圆峁状丘陵沟壑区,下伏古地形对黄土地表形态影响明显<sup>[1]</sup>。研究区位于固原市东北部,经度为 106°23′

52″~06°28′30″E, 纬度为 36°7′35″~36°11′29″N, 海拔 1 578~1 901 m 相对高度为 323 m, 沟壑密度约 4.25 km/km<sup>2</sup>, 平均坡度为 10°, 面积约为 23.30 km<sup>2</sup>。该区气候属典型大陆性季风气候, 年平均气温 5~7℃, 年均降水量为 381~625 mm, 土壤侵蚀模数 5 000~7 500 t/(km·a)。

本文实验数据为陕西省测绘局 2006 年生产的 1:1 万, 5 m 分辨率的 DEM 数据以及与之匹配的 0.61 m 分辨率快鸟影像。快鸟影像基于 DEM 进行正射校正, 其作用为: 1. 作为指示性背景图层, 对初步生成的沟沿线进行编辑处理; 2. 勾绘精度评价需要的标准沟谷数据。

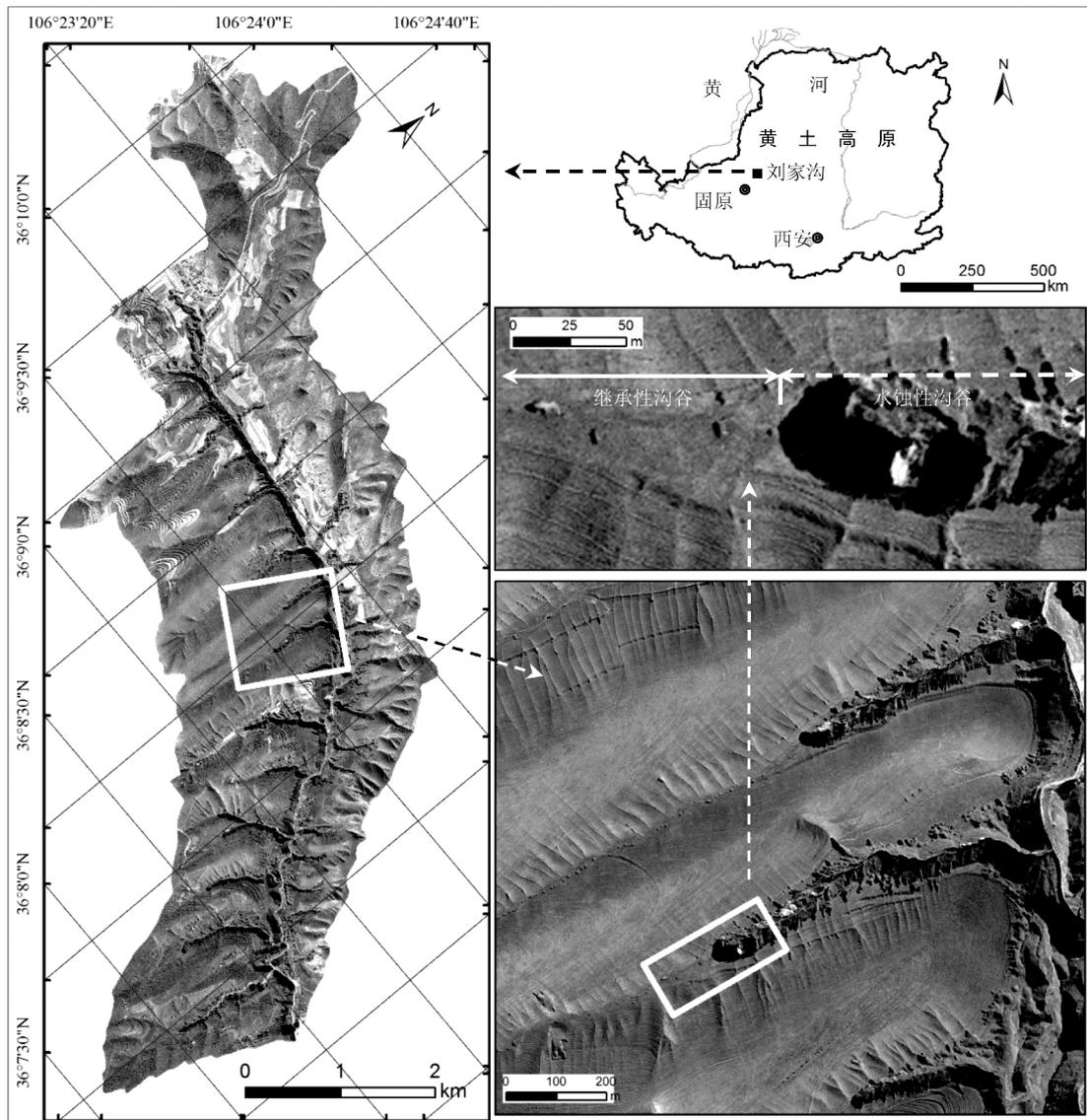


图 1 刘家沟流域及其中继承性与水蚀性沟谷影像

Fig. 1 Geomorphology on the Liujiagou watershed and images of inherited and waterworn gullies

## 2 研究方法

### 2.1 沟沿线提取

目前,沟沿线提取在效率、精度方面<sup>[22-25]</sup>已取得了明显的进展。为了提高数字地形分析方法提取沟沿线栅格点的识别度,本文在借鉴同一坡面上下游栅格坡度对比的沟沿线提取算法的基础上<sup>[22]</sup>提出基于坡面流线拐点探测的沟沿线栅格点识别方法。

算法基本原理为:黄土坡面可微分为无数条坡面流线,而沟沿线处于坡面流线的坡度拐点处,探测每条流线的坡度拐点,是本算法的关键(图2)。在高分辨率数字高程模型上,对于沟沿线栅格点的探测需要三个地形参数:1. 汇流方向参数,利用汇流方向可以确定黄土坡面流线以及栅格点的上下游关系;2. 坡度参数,判别坡面流线上下游栅格的坡度变异程度;3. 剖面曲率,用于去除伪沟沿线栅格点。具体实现步骤为(图3):

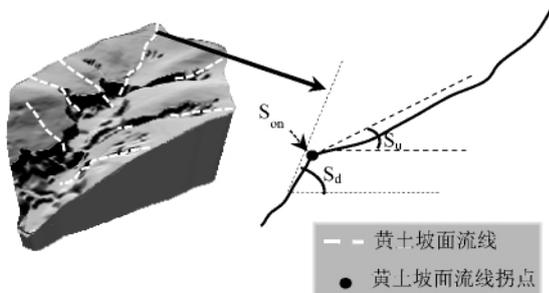


图2 黄土坡面流线拐点示意图

( $S_u$ ,  $S_d$ ,  $S_{on}$ 为黄土坡面流线拐点上游、下游与之上的坡度)

Fig.2 Schematic of slope breaking points of stream line on loess slope

首先,基于 $3 \times 3$ 分析窗口遍历整个研究区,获取流域单元汇流方向矩阵,确定坡面流线;其次,以各栅格流向为指引,比对每一条流线上下游栅格的坡度,其中,沟沿线点需满足如下规则:1. 栅格坡度需大于阈值 $\alpha$ ;2. 下游栅格坡度大于上游栅格坡度,且差值大于阈值 $\beta$ ;3. 栅格点剖面曲率 $\gamma$ 大于0。最后,进行定向膨胀处理,得到较为连续的沟沿线。

由于黄土地貌的复杂性,致使所得到的结果中必定存在一定数量的伪沟沿线点,因此,这里过滤掉簇聚程度小于5个的栅格单元,进而得到栅格沟沿线。在此基础上,进行栅格转矢量操作,得到矢量沟沿线;然后,以高分辨率快鸟影像为映衬,对矢量沟

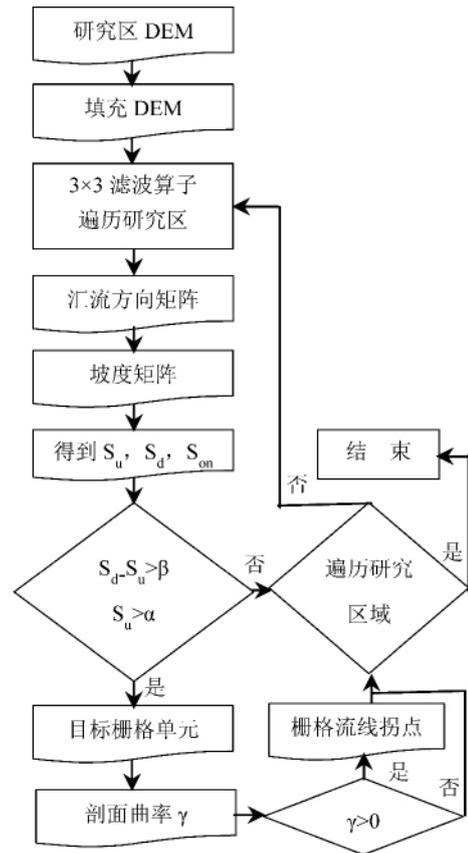


图3 黄土坡面流线拐点提取技术路线图

Fig.3 Extraction schematic of slope stream line breaking points on loess slope

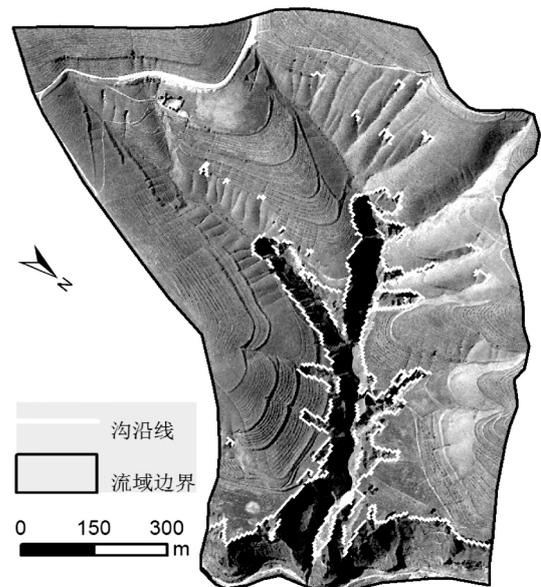


图4 沟沿线提取结果

Fig.4 Extracted result of shoulder-lines

沿线进行后期手动编辑处理,最终沟沿线结果如图4所示。

该算法的优势在于所识别出的沟沿线不仅连贯性较好,而且具有较高的精度。

### 2.2 沟沿线约束的沟谷提取流程

沟沿线约束水蚀性沟谷提取具体流程如图 5。

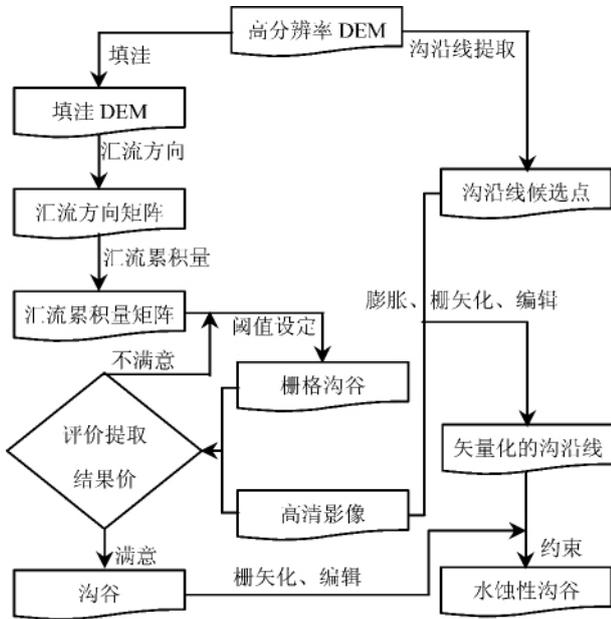


图 5 沟沿线约束下沟谷提取技术路线图

Fig. 5 Extraction schematic of gully net constrained by shoulder-lines

1. 初始沟谷提取: 基于 DEM 利用 D8 算法提取汇流路径<sup>[26]</sup>。该步应遵循一个原则: 尽可能选取较小汇流累积量阈值, 以保证提取沟谷线能完全贯穿水蚀性沟谷区。本文在参考前人研究的基础上, 提取沟谷汇流累积量使用阈值 100<sup>[27]</sup>。在此基础上, 基于快鸟影像, 手动消除沟底的“平行河网”。

2. 沟沿线提取步骤见节 2.1, 其目的用于约束 D8 算法生成的汇流路径。

3. 沟沿线约束初始沟谷获取水蚀性沟谷: 利用 GIS 空间分析工具, 用 2 步沟沿线数据裁剪 1 步的沟谷线, 沟沿线以内沟谷线为水蚀性沟谷线。水蚀性沟谷与继承性沟谷的提取结果见图 6。

### 3 提取精度分析

精度评价以基于快鸟影像目视解译勾绘的水蚀性沟谷为标准结果, 主要采用三个评价指标: 1. 本文提取沟谷、标准结果及已有资料上所记载的该区域沟谷的平均沟谷密度差异; 2. 本文提取的沟谷与标准结果间的偏移距离; 3. 沟沿线约束前后沟谷密度

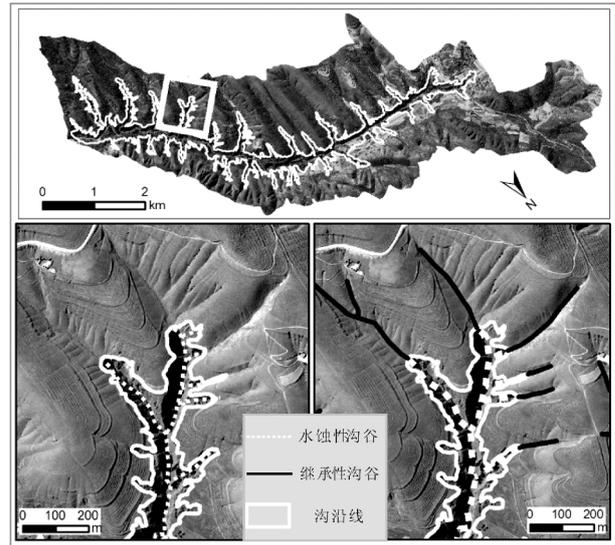


图 6 水蚀性沟谷提取结果

Fig. 6 Extracted results of water-eroded gullies

差异。评价结果见表 1 与表 2。

表 1 沟谷密度提取结果对比

Tab. 1 Comparison of gully densities

提取结果	沟谷长度 / km	沟谷密度 / (km/km <sup>2</sup> )	提取精度 / %
沟沿线约束前提取结果	111.25	4.82	40.87
算法提取结果	46.84	2.03	96.98
标准结果	45.47	1.97	

表 2 偏移距离对比

Tab. 2 Comparison of offset distances

缓冲区距离 / m	栅格单元数目	占全部栅格单元比例	累计百分比 / %
5	6 600	56.46%	56.46
10	1 408	12.05%	68.51
15	1 036	8.86%	77.37
20	776	6.64%	84.01
25	547	4.68%	88.69
30	406	3.47%	92.16
35	301	2.58%	94.74
40	189	1.62%	96.36
≥40	426	3.64%	100.00

评价结果显示, 算法提取的沟谷密度为 2.03 km/km<sup>2</sup>, 标准结果的沟谷密度为 1.97 km/km<sup>2</sup>, 二者之差为 0.06 km/km<sup>2</sup>, 算法提取的沟谷密度与标准结果相比精度达到 96.98%, 其中, 明显可见, 资料

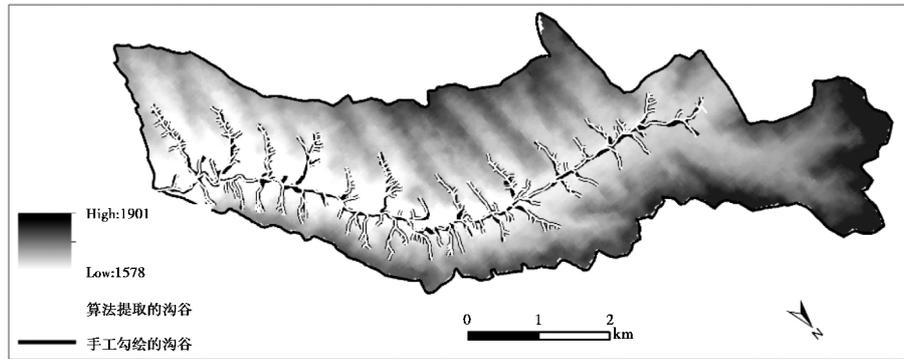


图7 算法提取的沟谷与目视解译结果(标准)的对比图

Fig. 7 Extracted results from this paper's method (white lines) and visual interpretation method (black lines)

中平均沟谷密度与标准结果差异较大,超出标准结果 115.7%<sup>[28]</sup>,其原因极有可能是在统计时将继承性沟谷一并纳入计算导致沟谷密度指标偏大(表 1)。

沟沿线约束前沟谷密度为 4.82 km/km<sup>2</sup>,沟沿线约束后沟谷密度为 2.03 km/km<sup>2</sup>,沟沿线约束前后沟谷密度相差 2.79 km/km<sup>2</sup>,占沟沿线约束后的 137.5%。毫无疑问,沟沿线约束前后沟谷密度差异很大,沟沿线约束使得沟谷密度精度得到了极大提高。

偏移距离在 20 m(4 个像元)以内的水蚀性沟谷线栅格数占 84.01%,40 m 以内占 96.36%(表 2)。其中,两者在主沟道区域存在较大偏差,最大偏差值达 40 m 左右,主要原因是主沟道形成较早,沟底经长时冲刷变的较为平坦宽阔,多呈 U 型谷,使得沟道识别存在不确定性;而位于沟坡上的次一级沟道多为 V 型谷,沟道识别较为准确(图 7)。

因此,提取的水蚀性沟谷在沟谷密度与偏移距离指标方面,与标准结果对比,具有较满意的精度;另外,沟沿线约束对沟谷密度精度提高有极大的贡献:即本文提出的方法对水蚀性沟谷识别度很高,具有一定的普适性。

## 4 结论与讨论

1. 基于数字地形分析基本思想所设计的利用沟沿线约束的方法,对黄土高原地区水蚀性沟谷有较好的提取效果。

2. 利用该方法,基于 5 m 分辨率 DEM 与 0.61 m 快鸟影像数据,在宁夏回族自治区固原市刘家沟流域进行黄土水蚀性沟谷实验结果表明,在沟谷密

度与偏移距离指标方面,与目视解译标准结果相比,精度分别为 96.98%,84.01%。其中,对于沟谷密度指标,本文的方法与目视解译结果接近,而与该地区已有统计资料差异高达 115.7%。

3. 沟沿线约束前后沟谷密度相差 2.79 km/km<sup>2</sup>,占约束后的 137.5%,说明沟沿线约束对沟谷提取结果精度有明显改善作用。

4. 本文所设计水蚀性沟谷提取方法,对于提高基于沟谷密度指标所开展黄土地貌特征研究的准确性与科学性有极大帮助,丰富了黄土高原数字地形分析理论内容,为其它地貌类型沟谷提取研究提供了有益的参考。

然而,由于黄土地貌的复杂性和典型性,该方法还未完全实现从数据到提取结果的全部智能化与自动化。在未来的研究中,一方面要更加注重顾及黄土地貌特色的地形特征识别方法总结与探索;另一方面,拟针对本方法中重要环节,特别是连续沟沿线的自动识别与提取、沟谷线提取时自适应汇流累积量探测方法方面展开深入研究。

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# Loess Shoulder-line Constrained Method for Waterworn Gullies Extraction on Loess Plateau

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**Abstract:** Water erosion is one of the key momentums of shaping the external appearance of modern loess landform. Studies on waterworn gullies are not only significant in loess digital terrain analysis but also useful for recognizing evolution laws of loess landform. As a result, accurately identifying and extraction of waterworn gullies have always been the vital basic and critical part in quantitative research on the Loess Plateau.

However, a majority of loess gullies are usually combinations of inherited gullies and waterworn gullies on southern Ningxia, eastern Gansu and western Shaanxi Loess Plateau, which makes great difficulty in distinguishing the waterworn gullies by using of hydrological analysis modules. Severe deviation would be caused in research of calculating core topographic indices (gully density) if we cannot make a distinction between the two types of gullies. To improve the accuracy of waterworn gullies extraction by using of hydrological analysis modules, this paper proposed an extraction method under constraint of loess shoulder-line.

We select the Liujiagou watershed as test site because it belongs to hilly Loess Plateau region of China, and there are vast combinations of inherited gullies and waterworn gullies. Our original test data are 5 m-resolution DEM and match QuickBird images with 0.61 m-resolution. The DEM was derived in 2006 and it meets the national standards of China; ortho-rectification of QuickBird image was conducted by using of 5 m-resolution DEM.

Our algorithm includes four steps: 1) extraction of original gullies: In this part, raster gullies are extracted by using of hydrological analysis module by support of GIS software and transformed into vector format. After that, vector gullies are compiled based on high resolution image. 2) Generation of qualified shoulder-lines: Based on the fact that shoulder-line is locating at the slope breaking points of stream line on the loess slope, a new generation method is designed for detecting of shoulder lines. After transforming the extracted raster shoulder-lines into vector format, we compiled them based on high resolution image. 3) Generation of waterworn gullies: In this section, waterworn gullies are obtained by utilizing clip tool of GIS. What we must point out are that the qualified shoulder-line is taken as Input Features, while the loess shoulder-line taken as Clip Feature. 4) Accuracy assessment of extracted waterworn gullies: In this section, we constructed a comparison to test the accuracy while using the visual interpretation method and the method we proposed in this paper. Indices such as changes of gullies length and gullies density before and after loess shoulder-line constraint are chosen for accuracy assessment.

Results show that: 1) this paper proposed a good idea which not only distinguished waterworn gullies well from combinations of inherited gullies and waterworn gullies, but also had satisfactory application suitability. 2) while using visual interpretation method as standard of accuracy assessment, the accuracy of this method was 84.01% with offset distance evaluating index, and was 96.98% with gully density change as evaluating index; 3) Gullies length and drainage density decreased by 64.41 km, 2.28 km/km<sup>2</sup> in comparison of extraction results before and after shoulder-line constraint, respectively.

**Key words:** DEM; shoulder-line; the loess gully