



1 A reference basin based framework for identifying and transferring
2 permafrost hydrological coupling regimes across China

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23 Abstract

24 Permafrost degradation is altering runoff generation, subsurface storage, and
25 hydrological connectivity across cold region river basins. Scaling process
26 understanding from well-studied basins to broader permafrost regions remains
27 challenging because the subsurface hydrothermal controls that organize permafrost
28 hydrological coupling are rarely observed at large spatial scales. This study develops a
29 reference basin approach for identifying and transferring permafrost hydrological
30 coupling regimes across China using simplified, broadly available, and process relevant
31 proxy variables. Using the Source Region of the Yellow River as a process constrained
32 reference basin, we construct a two-dimensional process space with two coordinates,
33 dominant control depth DCD and coupling strength C. DCD describes the relative
34 vertical position of hydrological control, while C represents the integrated magnitude
35 of permafrost hydrological linkage. Temporal trajectories in this space are clustered into
36 four coupling regime archetypes. These archetypes are then transferred to broader
37 permafrost regions using a parsimonious proxy set that represents climatic background,
38 topographic setting, and vertically integrated soil thermal organization. To define the
39 applicability boundary, out-of-distribution screening identifies regions where target
40 environmental conditions depart from the reference basin support. The results show
41 coherent regional patterns of coupling regimes across the Qinghai Tibetan Plateau and
42 northeastern permafrost regions, while out-of-distribution areas indicate where the
43 transferred classification is less directly interpretable. The framework provides a
44 bounded and physically interpretable pathway for scaling locally constrained coupling
45 archetypes to broader data sparse regions.

46 Keywords: permafrost hydrology; hydrological coupling regime; reference basin;
47 DCD–C process space; process-relevant proxy variables; out-of-distribution screening



48 1. Introduction

49 Permafrost in China is widely distributed across the Qinghai Tibetan Plateau (QTP)
50 and the cold regions of northern China. It plays an important role in regulating
51 groundwater storage, surface subsurface connectivity, and basin scale runoff generation
52 and routing processes (Walvoord and Kurylyk, 2016; Cheng and Wu, 2007). Under a
53 warming climate, permafrost degradation continues to alter runoff generation and
54 baseflow recharge patterns in cold region catchments through active layer thickening,
55 ground ice melt, and changes in hydraulic connectivity (Wang et al., 2024; Jiang et al.,
56 2024). However, because ground ice abundance, thermal background, and geomorphic
57 conditions vary greatly among regions, thermokarst disturbance and degradation trigger
58 markedly different hydrological responses in different places (Kokelj et al., 2017;
59 Turetsky et al., 2020). This strong spatial heterogeneity implies that the hydrological
60 effects of permafrost degradation are governed not only by the degree of thaw, but also
61 by region-specific coupling structures, making large-scale assessment and
62 extrapolation intrinsically difficult (Hu et al., 2024).

63 Existing efforts to assess the hydrological effects of permafrost degradation at
64 broader scales mainly follow three complementary extrapolation pathways. The first is
65 data driven or machine learning based transfer, which has been used to upscale
66 permafrost states, infer deep thermal conditions, or predict hydrological variables from
67 environmental covariates (Pastick et al., 2015; Ran et al., 2021; Huang et al., 2025).
68 Such approaches have greatly improved large scale prediction when sufficient training
69 data and representative predictor coverage are available (Reichstein et al., 2019). The
70 second pathway relies on multi source remote sensing and data assimilation, where
71 observable surface variables such as soil moisture or land surface temperature are
72 dynamically updated using satellite products and filtering schemes (Swenson et al.,
73 2012; Tian et al., 2023). These methods provide valuable constraints on large scale
74 surface and near surface states, while the subsurface process controls that organize
75 permafrost hydrological coupling are less directly observable at broad spatial scales.
76 The third pathway is model parameter regionalization or physically based transfer, in



77 which locally calibrated parameters are extended to ungauged basins under
78 environmental or geomorphic similarity assumptions (Gelfan et al., 2017; Jafarov et al.,
79 2018). The interpretability of this pathway is closely linked to the degree of
80 hydrothermal and cryospheric similarity between the source and target domains, which
81 motivates an explicit assessment of transfer applicability. Together, these approaches
82 provide important tools for large scale state estimation, prediction, and model transfer.

83 Building on these efforts, the present study focuses on how trajectory-based
84 permafrost hydrological coupling archetypes identified in a reference basin can be
85 represented at broader scales using a concise, broadly available, and process relevant
86 proxy set, while retaining a clear basis for physical comparability. This problem is
87 challenging because the process variables that organize subsurface coupling are rarely
88 observable at broad spatial scales (Jafarov et al., 2018; Gao et al., 2021a). Variables
89 such as the vertical distribution of soil ice control, the relative depth of dominant
90 hydrothermal influence, and their temporal evolution are difficult to constrain directly
91 outside well observed basins (Zhou et al., 2014; Tian et al., 2023). As a result, coupling
92 archetypes identified under strong local constraints require a transfer pathway that links
93 them to proxy variables representing climatic background, topographic setting, and
94 vertically integrated soil thermal organization, while also defining where the resulting
95 regional interpretation remains supported by the reference domain. Such a low-
96 dimensional proxy-based design supports bounded transfer of reference basin
97 archetypes in a transparent and operationally tractable way across data sparse
98 permafrost regions.

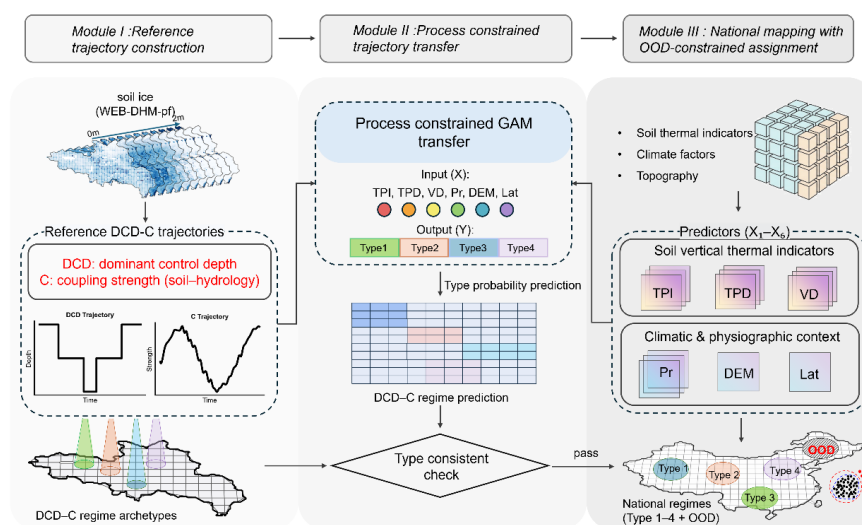
99 To address this issue, the source region of the Yellow River (SRYR) is selected as
100 a process-constrained reference basin, where stable and degrading permafrost coexist
101 and strong vertical hydrothermal gradients provide a suitable setting for identifying
102 contrasting coupling behaviors (Wang et al., 2018; Song et al., 2024). We first construct
103 a two-dimensional (2D) DCD-C process space, in which dominant control depth (DCD)
104 describes the relative vertical position of coupling control and coupling strength (C)
105 represents the integrated magnitude of permafrost-hydrological linkage. Temporal



106 trajectories in this space are then used to identify coupling regime archetypes in the
 107 reference basin. A transfer relationship between environmental conditions and regime
 108 types is subsequently established using a parsimonious set of broadly available
 109 environmental proxies with clear process relevance, and then applied to the permafrost
 110 regions of China. Finally, applicability control is introduced through out-of-distribution
 111 (OOD) screening to distinguish mapped classification from physically supported
 112 interpretation. The framework therefore provides a unified and low-dimensional
 113 pathway for regional comparison, in which trajectory-based coupling archetypes
 114 identified in the reference basin are linked to broadly available environmental proxies
 115 and accompanied by an explicit applicability boundary.

116 2. Data and Methods

117 2.1 Study area and datasets



118

119 **Figure 1. Framework for reference basin based transfer and national mapping of permafrost-**

120 **hydrological coupling regimes.**DCD-C trajectories are first constructed in the reference basin to

121 identify trajectory-based regime archetypes, where DCD denotes dominant control depth and C

122 denotes coupling strength. The archetypes derived from the reference basin are then linked to

123 environmental predictors using a process-constrained generalized additive model (GAM). The



124 trained model is subsequently applied to the national domain to predict regime types, and the
125 resulting classification is accompanied by applicability control based on the environmental support
126 represented by the reference basin.

127 The overall workflow of regime identification, transfer, and applicability control
128 is illustrated in Fig. 1. The SRYR was selected as the reference basin because it contains
129 both stable and degrading permafrost and exhibits pronounced hydrothermal gradients,
130 diverse ground ice conditions, and strong hydrological sensitivity to thaw. The SRYR
131 therefore serves as a process-constrained reference basin for deriving contrasting DCD-
132 C coupling archetypes along a stable-to-degrading permafrost gradient. The broader
133 regional transfer is evaluated through process-relevant environmental proxies and OOD
134 screening, which together define where the reference-basin archetypes remain
135 environmentally supported. The regional transfer domain is limited to the permafrost
136 regions of China, including the major permafrost areas of the QTP and the northeastern
137 cold region. This domain includes both high elevation and high latitude permafrost,
138 spanning strong hydrothermal gradients and contrasting environmental settings. Using
139 this domain as the target transfer range allows us to examine how well the reference-
140 basin prototypes can be expressed under broader regional conditions. It also provides a
141 basis for evaluating the applicability boundary of the proposed framework and the
142 effectiveness of OOD screening.

143 The datasets used in this study include (1) variables used for process diagnostics
144 in the reference basin and (2) environmental predictors for national transfer. In the
145 reference basin, the soil-state variable used for process diagnostics was soil ice content,
146 derived from previous WEB-DHM-pf (Water and Energy Budget-based Distributed
147 Hydrological Model with permafrost) simulations across the 0-2 m soil profile at 5 km
148 resolution. The hydrological response variable was outlet runoff at the Tangnaih
149 hydrological station, represented as a monthly time series over 1964-2018 within each
150 analysis window. These variables were used to characterize depth-dependent
151 permafrost-hydrological linkage in the reference basin.



152 At the national scale, we used a set of broadly available environmental predictors,
153 including precipitation, latitude, elevation (derived from a digital elevation model,
154 DEM), and three vertically integrated thermal indicators derived from ERA5-Land soil
155 temperature profiles: thermal profile intensity (TPI), thermal penetration depth (TPD),
156 and vertical damping ratio (VD). Raw layer-specific temperatures were not used
157 directly because they describe discrete local states and are less suitable for interregional
158 comparison of vertically organized thermal conditions. Instead, TPI, TPD, and VD were
159 designed as low-dimensional process-relevant proxies that summarize the thermal
160 profile in terms of overall heat input, effective depth of thermal influence, and vertical
161 damping behavior. These indicators are not intended to reconstruct deep process
162 variables directly, but to support regime transfer through comparable representations of
163 vertical thermal organization.

164 Specifically, TPI characterizes the overall thermal forcing of the soil profile within
165 a given time window and can be interpreted as the depth-integrated positive thermal
166 input. TPD describes the mean depth of thermal influence and can be viewed as the
167 depth-weighted centroid of positive temperature conditions. VD characterizes the
168 attenuation of temperature signals during downward propagation and is defined as the
169 ratio of the temperature amplitude in the deep layer to that in the shallow layer. These
170 three indicators can be expressed as:

$$176 \quad TPI = \int_0^{z_{max}} T^+(z) dz$$
$$177 \quad TPD = \frac{\int_0^{z_{max}} z T^+(z) dz}{\int_0^{z_{max}} T^+(z) dz}$$
$$178 \quad VD = \frac{\max(T_{deep}) - \min(T_{deep})}{\max(T_{shallow}) - \min(T_{shallow})}$$

171 where $T^+(z)$ denotes the positive-temperature component of the soil thermal profile
172 that directly contributes to thawing processes, z is soil depth, z_{max} is the maximum
173 analysis depth, and T_{deep} and $T_{shallow}$ represent the temperature time series in the deep
174 and shallow soil layers, respectively. Larger VD values indicate weaker attenuation of
175 thermal signals with depth, whereas smaller values indicate stronger damping during



179 downward propagation. In practical implementation, these continuous expressions were
180 discretized using the multilayer soil temperature data provided by ERA5-Land.

181 Taken together, precipitation, latitude, and elevation describe the external climatic
182 and topographic background of permafrost-hydrological coupling, while TPI, TPD, and
183 VD provide complementary information on the vertical thermal structure of the soil
184 profile. These variables jointly constitute the predictor set used for national-scale
185 regime transfer and prediction.

186 2.2 DCD-C process space and trajectory construction

187 To characterize the dominant features of permafrost-hydrological coupling in the
188 reference basin, we constructed a 2D process space defined by the dominant control
189 depth (DCD) and the overall coupling strength (C). In this space, DCD represents the
190 vertical location at which coupling is preferentially organized, whereas C represents the
191 integrated magnitude of coupling across the soil profile. Together, these two metrics
192 describe the two basic dimensions of permafrost-hydrological coupling structure,
193 namely vertical position and overall strength, and provide the basis for subsequent
194 regime identification.

195 We first quantified the coupling strength at each soil depth. Because the response
196 of basin hydrology to permafrost change is not instantaneous, a fixed lag scale was
197 introduced to define coupling consistently across depths. Preliminary lag correlation
198 analyses showed that the main response is concentrated within a short intraseasonal lag
199 range. Based on the monthly runoff time series and preliminary lag-correlation analysis,
200 we used $\tau = 3$ as a representative reference lag and defined the coupling strength at
201 depth z as

$$202 \quad C(z) = |r(z, \tau = 3)|$$

203 where $r(z, \tau = 3)$ denotes the correlation coefficient between soil ice content at depth
204 z and runoff response at the fixed lag. The absolute value was used to avoid cancellation
205 caused by differences in correlation direction, thereby providing a stable measure of
coupling strength across depths (see Fig. S1 for the sensitivity analysis of τ).



207 On this basis, the overall coupling strength C was defined as the cumulative
208 coupling magnitude across the soil profile:

$$212 \quad C = \sum_z C(z)$$

209 where larger values indicate stronger integrated linkage between permafrost state and
210 hydrological response. The DCD was further defined as the depth-weighted centroid of
211 the vertical coupling-strength distribution:

$$217 \quad DCD = \frac{\sum_z C(z) \cdot z}{\sum_z C(z)}$$

213 where z is the depth of the corresponding layer. DCD is used to represent the vertically
214 dominant depth of coupling strength. It represents the centroid of the overall coupling
215 strength within the soil profile. When coupling is dominated by shallow layers, DCD is
216 small; when deeper control becomes stronger, DCD shifts downward.

218 Within the reference basin, the depth-specific coupling structure was evaluated
219 using a moving-window scheme over 1964–2018. A 20-year window with a 5-year step
220 was adopted to capture multi-decadal structural evolution while retaining enough
221 samples within each window for stable correlation estimates. This produced eight
222 ordered DCD- C points for each spatial unit, which together formed its temporal
223 trajectory in the process space. These trajectories were then used as input to k-means
224 clustering. Candidate cluster numbers were compared based on physical interpretability.
225 Four clusters were retained because they provided the most balanced partition between
226 structural distinctiveness and physical interpretability; fewer clusters underrepresented
227 key contrasts, whereas more clusters introduced fragmented or physically redundant
228 types. The full diagnostic analysis and comparison of candidate values from $k = 2$ to k
229 $= 8$ are provided in Supplementary Figs. S2–S4.

230 2.3 National transfer and consistency control

231 After identifying the archetypes of permafrost-hydrological coupling trajectories
232 in the reference basin, a regional transfer framework was developed to extend this type
233 system to the permafrost regions of China and map the spatial distribution of coupling



234 regimes. In the national transfer, the trajectory type identified in the reference basin was
235 used as the target variable, while the selected environmental variables were used as
236 predictors.

237 Using the reference basin as the training domain, precipitation, latitude, elevation,
238 and the vertical thermal indicators TPI, TPD, and VD were taken as the input variables
239 X , and the trajectory type assigned to each spatial unit was used as the target variable
240 Y . A generalized additive model (GAM) was employed to establish the mapping
241 between environmental conditions and coupling types (Hastie and Tibshirani, 1986;
242 Wood, 2017). The model can be expressed as:

$$248 \quad g[P(Y = k | X)] = \beta_{0k} + \sum_i f_{ik}(X_i), k = 1, 2, \dots, K$$

243 where Y denotes the trajectory type, X_i represents the environmental predictors,
244 $f_{ik}(\cdot)$ are smooth functions, β_{0k} is the intercept for class k , K is the number of
245 identified types in the reference basin, and $g(\cdot)$ is the link function. For each target
246 grid cell, the model estimated the likelihood of belonging to each type, and the most
247 probable type was assigned.

249 The derived mapping was then applied to the permafrost regions across China. For
250 each grid cell, the coupling type was predicted based on its environmental conditions,
251 resulting in a spatially continuous classification. All predicted types were expressed
252 under the unified type framework established in the reference basin, allowing the
253 mapped coupling regimes in different regions to be interpreted on a common structural
254 basis.

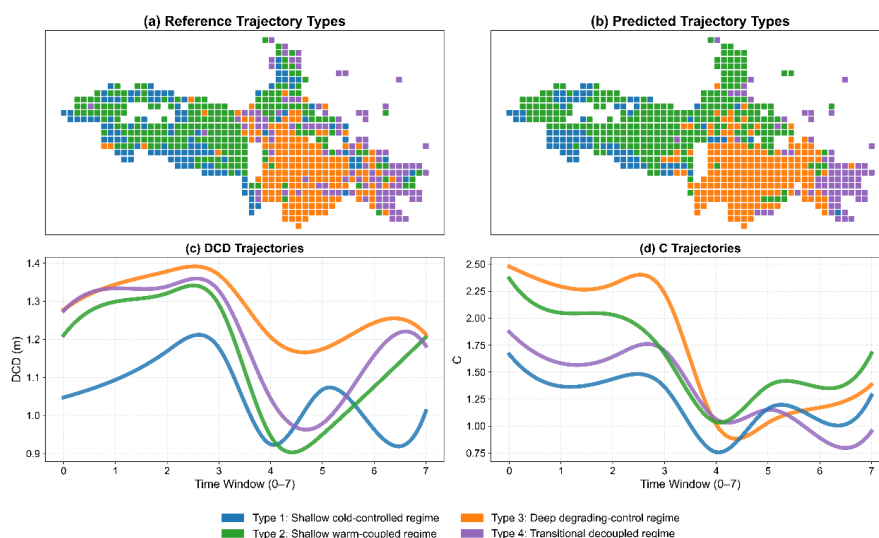
255 To account for environmental conditions beyond the support of the training data,
256 an additional applicability screening was introduced. Specifically, environmental
257 support was evaluated relative to the predictor distribution represented by the reference
258 basin, and grid cells falling beyond this support were identified as out-of-distribution
259 (OOD) regions. This labeling was used to indicate where the mapped types were less
260 strongly supported by the reference data, without changing the assigned type itself.



261 Through this framework, the coupling archetypes derived from the reference basin
 262 were transferred to the national scale under a unified structural reference, while OOD
 263 regions explicitly marked where such transfer became less well supported and therefore
 264 less directly interpretable.

265 3. Results

266 3.1 Regime archetypes and trajectories in the reference basin



267
 268 **Figure 2. Regime archetypes and their structural characteristics in the reference basin. (a)**
 269 Spatial distribution of trajectory-based regime archetypes identified from DCD-C trajectories in the
 270 reference basin. **(b)** Spatial distribution of predicted regime types in the reference basin. **(c-d)**
 271 Temporal evolution of DCD and C for each regime, showing distinct structural trajectory
 272 characteristics.

273 Based on the DCD-C temporal trajectories of individual spatial units within the
 274 reference basin, four permafrost-hydrological coupling regimes with stable structural
 275 differences were identified. These regimes exhibit clear spatial differentiation (Fig. 2a)
 276 and distinct trajectory characteristics in the temporal evolution of dominant control
 277 depth (DCD) and coupling strength (C) (Fig. 2c-d). Overall, the differences among
 278 regimes are reflected in two main aspects: the vertical position and temporal variation



279 of DCD, which indicate the extent to which hydrological processes are controlled by
280 shallow or deep layers, and the magnitude and temporal evolution of C , which reflect
281 changes in the strength of the linkage between hydrothermal state and hydrological
282 response.

283 Type 1 (shallow cold-controlled regime) is mainly distributed in the cold high-
284 elevation western part of the basin (Fig. 2a). Its DCD remains persistently shallow
285 (approximately 1.0-1.2 m), indicating that hydrological response is primarily controlled
286 by near-surface permafrost processes (Fig. 2c). Meanwhile, its coupling strength
287 remains at a relatively low level, showing only a modest decrease in the middle period
288 and a slight recovery afterward, with limited overall variability (Fig. 2d). This regime
289 is characterized by the coexistence of shallow control and weak coupling,
290 corresponding to a relatively stable hydrological response structure under cold
291 conditions.

292 Type 2 (shallow warm-coupled regime) is mainly distributed in the central part of
293 the basin (Fig. 2a). Its DCD remains relatively high in the early stage, decreases
294 markedly during the middle period, and then rises again in the later stage (Fig. 2c). Its
295 coupling strength follows a similar pattern, being relatively strong initially, weakening
296 in the middle period, and recovering afterward (Fig. 2d). This trajectory pattern
297 indicates a synchronous adjustment of dominant control depth and coupling strength
298 during the study period, followed by a clear rebound in the later stage. Compared with
299 Type 1, this regime exhibits a stronger hydrothermal-hydrological linkage and greater
300 structural adjustability, reflecting a stage of coupling reorganization followed by
301 renewed strengthening.

302 Type 3 (deep degrading-control regime) is mainly concentrated in the southeastern
303 part of the basin (Fig. 2a). Its DCD remains the deepest among all four regimes
304 (approximately 1.2-1.4 m), indicating long-term dominance of deeper-layer processes
305 in hydrological response (Fig. 2c). In contrast, its coupling strength is relatively high in
306 the early stage but declines markedly afterward, and although a slight recovery appears
307 in the later stage, it no longer remains the strongest regime (Fig. 2d). This regime

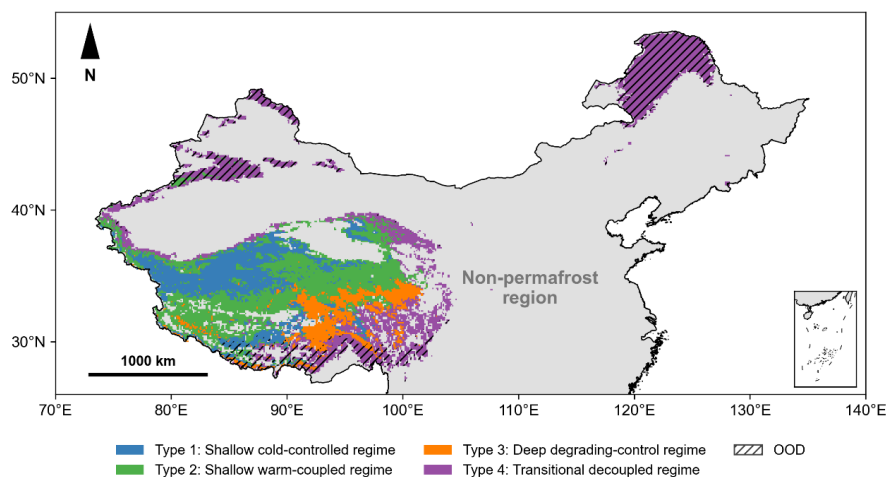


308 therefore represents a trajectory of gradually weakening coupling under persistent deep
309 control.

310 Type 4 (transitional decoupled regime) is mainly distributed in the transition zones
311 between the other regimes (Fig. 2a). Its DCD exhibits a pronounced high-low-high
312 pattern through time, indicating substantial reorganization of the dominant control
313 depth during the study period (Fig. 2c). By contrast, its coupling strength shows a
314 continuous decline and reaches a relatively low level in the later stage (Fig. 2d). This
315 indicates that, although the dominant control layer is being reorganized, the coupling
316 itself does not recover and instead continues to weaken. The regime is therefore
317 characterized by persistent decoupling and can be regarded as a transitional structure
318 between different control modes.

319 Taken together, the four regimes identified in the reference basin correspond to
320 distinct combinations of control depth and coupling strength in DCD-C space. They can
321 be summarized as a shallow weakly coupled structure, a shallow strongly coupled
322 structure with synchronous adjustment and renewed strengthening, a deep-controlled
323 structure with coupling attenuation, and a transitional structure with persistent
324 decoupling. These regimes provide the structural archetypes for the subsequent regional
325 transfer analysis.

326 3.2 National distribution of permafrost-hydrological coupling regimes



327



328 **Figure 3. National distribution of permafrost-hydrological coupling regimes across China.**

329 Distinct coupling regimes show strong spatial heterogeneity, particularly across the QTP and other
330 permafrost regions. Areas identified as OOD are marked, indicating regions where environmental
331 conditions extend beyond the support represented by the reference basin.

332 The transfer relationship between environmental conditions and coupling types
333 was then applied to the permafrost regions across China, resulting in a national map of
334 coupling regime types. Within the reference basin, the transfer reproduced the main
335 spatial contrasts among the original trajectory types, although confusion remained in
336 locally complex transition belts (Fig. 2b). The overall accuracy is 58.15%, with a Kappa
337 coefficient of 0.41, indicating moderate agreement. This level of performance suggests
338 that the framework is better suited to regional structural comparison than to sharp local
339 boundary detection, especially in environments where neighboring archetypes are
340 spatially adjacent and structurally similar.

341 Furthermore, based on the environmental support represented by the reference
342 basin, an applicability label was assigned to the national prediction results (Fig. 3). The
343 results show that OOD regions are mainly distributed in the high-latitude part of the
344 northeastern permafrost region and in local marginal areas of the QTP. This label is
345 used only to distinguish the applicability range of the results and does not alter the
346 assigned type itself.

347 On this basis, the national distribution of coupling regimes was further examined
348 (Fig. 3). The results show clear regional differentiation among the identified regimes.
349 Type 1 (shallow cold-controlled regime) is mainly concentrated in the northern part of
350 the Qiangtang Plateau, particularly toward its northwestern margin. Type 2 (shallow
351 warm-coupled regime) is widely distributed across the central interior of the QTP,
352 particularly in the southern Qiangtang Plateau and the Three-River Source region, and
353 is the most widespread regime in the plateau interior. Type 3 (deep degrading-control
354 regime) is mainly concentrated in the southeastern transitional zone of the QTP, forming
355 a relatively continuous southeastward distribution belt. Type 4 (transitional decoupled
356 regime) is mainly distributed along the margins of the QTP and in transition belts where



357 different regimes interweave, while also dominating the northeastern permafrost region,
358 where OOD labels are mainly concentrated in the higher-latitude areas.

359 Overall, the national pattern of permafrost-hydrological coupling regimes shows
360 a gradual spatial transition from west to east and from colder, relatively stable regions
361 toward warmer and wetter degrading regions. The western part is dominated by shallow
362 cold-controlled and shallow warm-coupled regimes, whereas the central and
363 southeastern parts increasingly feature deep degrading-control and transitional
364 decoupled regimes. These results show that the environment-driven transfer framework
365 captures the main spatial differentiation of permafrost-hydrological coupling structures
366 at the regional scale, while also marking areas where applicability is more limited.

367 3.3 Temporal evolution and transition characteristics of coupling regimes

368 To further reveal the temporal evolution of permafrost-hydrological coupling
369 structures, we compared the spatial distributions of regime types between the first three
370 time windows (early period) and the last three time windows (late period), and further
371 identified the transition pathways among different types (Fig. 4). Both the early and late
372 periods were classified using the same fixed set of regime archetypes, ensuring direct
373 comparability of the type distributions under a unified reference framework.

374 From the spatial distributions, the overall regime pattern remains broadly
375 consistent between the early and late periods, but the areal extent and spatial range of
376 different types undergo clear adjustments (Fig. 4a-b). In particular, Type 4 (transitional
377 decoupled regime) expands markedly during the late period, mainly along the margins
378 of the QTP, in the southeastern part of the Plateau, and in some local areas along its
379 northern boundary, while also becoming more extensive in the northeastern permafrost
380 region. Meanwhile, the spatial extent of Type 2 (shallow warm-coupled regime) shows
381 local adjustments in the central and central-western Plateau, and Type 3 (deep
382 degrading-control regime) displays some expansion in the southeastern transitional belt.
383 Overall, the permafrost-hydrological coupling structure exhibits a general shift from
384 relatively strong coupling toward weaker coupling or decoupling, while local



385 transitional zones also show structural adjustments from shallow control toward deeper
386 control.

387 The transition results further reveal the major evolutionary pathways among
388 different coupling structures (Fig. 4c). Among the areas that experience regime changes,
389 the transition from Type 2 to Type 4 accounts for the largest proportion (15.77%). This
390 transition is mainly distributed along the northern margin of the QTP and in the high-
391 latitude northeastern region, reflecting a shift from shallow strongly coupled structures
392 toward decoupled structures in the later period. In addition, the transitions from Type 4
393 to Type 3 (4.79%) and from Type 2 to Type 3 (2.23%) are mainly concentrated in the
394 southeastern transitional belt of the Plateau, indicating that some areas evolve toward
395 deeper control structures during structural adjustment. The transition from Type 1 to
396 Type 4 (2.91%) is more sparsely distributed along the Plateau margins, suggesting that
397 some shallow cold-controlled structures evolve toward decoupled states under local
398 environmental changes.

399 At the same time, the extensive gray areas shown in Fig. 4c indicate that a
400 considerable proportion of the region retains the same regime type between the two
401 periods. These stable zones are mainly distributed in the cold western part of the QTP
402 and its continuous permafrost region, indicating relatively strong persistence of
403 coupling structures under cold and comparatively stable environmental conditions.

404 Overall, the transition patterns indicate a directional tendency toward weaker
405 shallow coupling, stronger structural reorganization, and, in some regions, a downward
406 shift in the dominant control depth in marginal and transitional permafrost zones. Under
407 the adopted archetype framework, these changes represent the dominant shifts in
408 coupling structure at the regional scale.

409 4. Discussion and conclusions

410 4.1 Physical implications of coupling types

411 The four archetypes derived from the DCD-C space should be interpreted as
412 trajectory-based structural prototypes. Although they are identified mathematically,



413 their relative positions and temporal behaviors are broadly consistent with contrasting
414 modes of permafrost-hydrological organization reported in previous studies.

415 Type 1 (Shallow cold-controlled regime) exhibits an extremely shallow control
416 layer and stable weak coupling characteristics, which are highly consistent with the
417 aquiclude effect of stable permafrost (Gruber & Haeberli, 2007; Carey & Woo, 2001).
418 Due to the presence of the frozen top layer, deep percolation of precipitation and
419 meltwater is strongly limited, which suppresses infiltration and favors shallow runoff
420 generation while reducing cold season subsurface contribution. This pattern is
421 consistent with shallow flow dominance and limited cold-season subsurface
422 contribution in stable permafrost settings (Gao et al., 2021b; Jiang et al., 2024).

423 Type 2 (Shallow warm-coupled regime) exhibits strong synergy in thermal depth
424 and nonlinear characteristics of the dipping and rebounding trajectory, which is the most
425 representative coupling structure in the central Tibetan Plateau. This strong coupling
426 essentially reflects the soil reservoir function played by the extensively developed
427 active layer (Cheng and Jin, 2013; Zhao et al., 2019). More importantly, the rebound in
428 both DCD and C may indicate a temporary reorganization followed by renewed shallow
429 coupling. One possible explanation is that changes in near-surface thermal and
430 ecological buffering partially offset further downward heat transfer (Sjöberg et al.,
431 2021), allowing the system to retain relatively strong coupling despite continued
432 disturbance (Shur and Jorgenson, 2007). In this sense, the rebound feature suggests the
433 persistence of relatively organized shallow control under ongoing environmental
434 change.

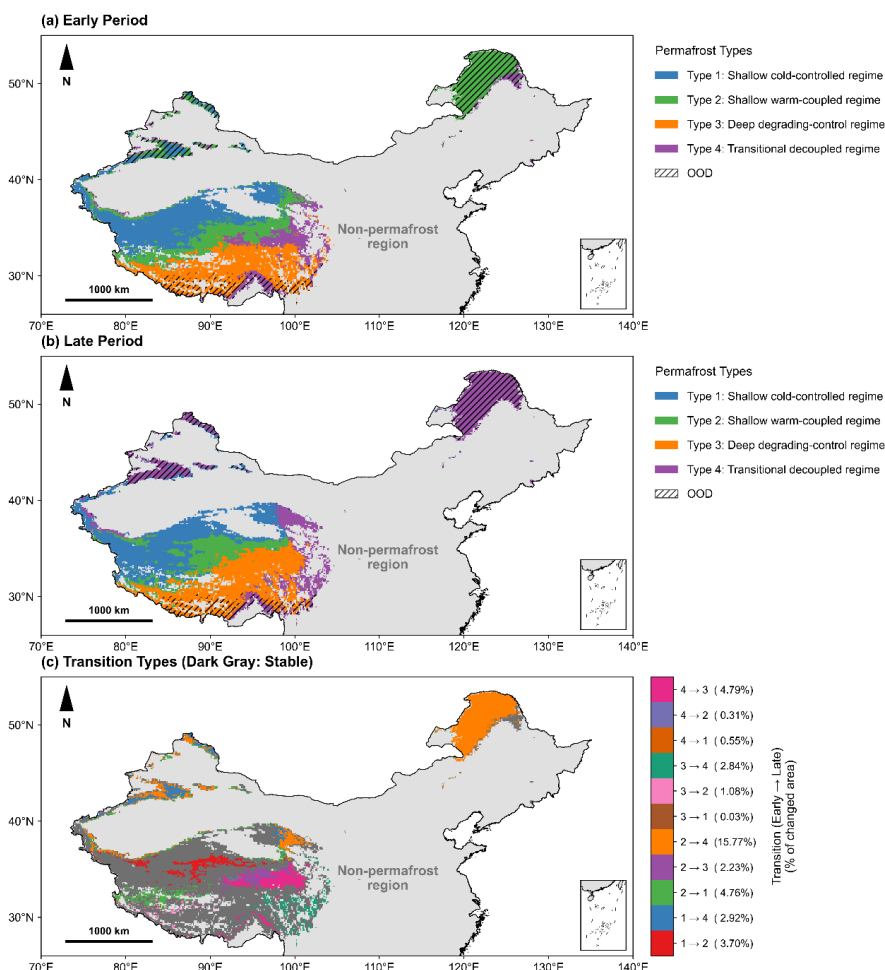
435 However, when climate forcing exceeds the buffering threshold of system,
436 degradation will evolve toward two extreme states, Type 3 and Type 4. Type 3 (deep
437 degrading-control regime) is characterized by a stable DCD at the deepest simulated
438 level, accompanied by a marked decline in overall coupling strength (C). This pattern
439 indicates that the dominant control on hydrological response has shifted toward the
440 lower boundary of the active layer, while the synchrony between thermal state and
441 hydrological response becomes weaker. As ground ice near the permafrost table



442 continues to melt, deeper thawed soil layers can support stronger subsurface drainage
443 and vertical percolation. In this sense, the Type 3 structure is consistent with the
444 deepening-flow-path pattern reported in degrading permafrost systems (Walvoord and
445 Kurylyk, 2016), and corresponds to a more delayed and subsurface-influenced
446 hydrological response (Wang et al., 2024).

447 In contrast, Type 4 (transitional decoupled regime) exhibits pronounced oscillation
448 and later rebound in the DCD trajectory, similar to Type 2, but its coupling strength (C)
449 fails to recover synchronously and continues to decrease. This pattern may reflect
450 transient instability during thaw driven restructuring, in which the dominant control
451 layer shifts through time while the overall hydrothermal hydrological linkage weakens.
452 Such behavior is broadly consistent with previous studies reporting increasing
453 heterogeneity, local thaw development, and reorganization of subsurface flow pathways
454 during permafrost degradation (Connon et al., 2014; Connon et al., 2018; Bense et al.,
455 2012). In this sense, Type 4 can be interpreted as a transitional regime between
456 relatively organized shallow control and a more weakly coupled or structurally
457 reorganized subsurface system.

458 4.2 Temporal evolution features of type transitions



459

460 **Figure 4. Temporal evolution and transition of permafrost-hydrological coupling regimes. (a)**

461 Spatial distribution of regime types during the early period. **(b)** Spatial distribution of regime types

462 during the late period. **(c)** Spatial distribution of regime transitions between the two periods, with

463 stable areas shown in gray.

464 After clarifying the static physical archetypes, the type shifts that occurred at the

465 regional scale (Figure 4) further reveal the spatial progression gradient and the system

466 dynamics processes of permafrost degradation under climate warming in China. The

467 dominant transition paths identified at the regional scale suggest a broad progression

468 from shallow control toward transitional instability and, in some regions, a downward

469 shift in dominant control depth under continued warming.



470 In regions characterized by stable continuous permafrost, such as the Qiangtang
471 Plateau in the western QTP (Zou et al., 2017), the observed transition from Type 1 to
472 Type 2 may indicate an early-stage adjustment of the permafrost-hydrology system
473 under warming conditions. This shift is likely associated with thermal warming of the
474 permafrost table and thickening of the active layer, which together enhance the seasonal
475 storage and release capacity of the shallow soil (Zhao et al., 2010; Gao et al., 2018). As
476 a result, the near surface frozen layer, which previously restricted vertical water
477 exchange, becomes increasingly capable of storing and transmitting water, behaving
478 more like an active supra-permafrost storage layer (Cheng and Jin, 2013). This
479 transition suggests a shift from a system dominated by near-surface runoff toward one
480 with a more pronounced coupling between thermal and hydrological processes.

481 After accounting for the interpretive uncertainty associated with OOD regions, this
482 study reveals that the most significant evolutionary path in the core area of the QTP
483 (particularly in the Three Rivers Source region) is the transition from Type 4 to Type 3.
484 This evolution represents a shift from a transient decoupling state toward the
485 establishment of a more stable deep-controlled regime. In the early stages of
486 degradation, driven by amplified surface warming (Luo et al., 2016), thawing is not
487 uniform but forms localized thaw zones. This patchy degradation disrupts the shallow
488 hydrological network, but deep vertical pathways remain less developed. Consequently,
489 the system enters a transient Type 4 state, characterized by significant fluctuations in
490 the controlling layer, with decoupling of water-heat relations.

491 As thaw zones expand, subsurface connectivity may become increasingly
492 established (Ge et al., 2008; Niu et al., 2011), and the system may gradually transition
493 into Type 3. This evolution suggests a shift from a structurally disequibrated state
494 toward a more stable deep controlled regime. In this sense, the transition from Type 4
495 to Type 3 is consistent with the observed increase in winter baseflow and the tendency
496 toward stronger subsurface influence in the Three Rivers Source area (Cuo et al., 2015;
497 Wang et al., 2024), as well as reported ecohydrological changes in the region (Jin et al.,



498 2022). This transition reflects the permafrost system's adjustment to warming and
499 thawing dynamics.

500 In contrast, the southeastern margin of the QTP, strongly influenced by the warm
501 and humid monsoon, has become one of the most active regions of permafrost
502 degradation (Cheng and Jin, 2013). The Yarlung Zangbo River Basin (YZRB), although
503 labeled as OOD in the present framework, still shows pronounced structural complexity,
504 with all four types occurring within the basin in the mapped results (Fig. 3). This strong
505 spatial heterogeneity is likely related to the large elevation gradient, complex
506 topography, and intense monsoon-driven hydrothermal forcing in the region (Gao et al.,
507 2021). At broader temporal scales, however, comparison between the early and late
508 periods shows that Type 3 remains dominant in both stages. This suggests that, despite
509 substantial spatial heterogeneity and local structural complexity, the overall coupling
510 structure of the YZRB tends toward deeper control (Yao et al., 2021).

511 In northeastern China, the large-scale regime pattern shows a clear transition from
512 Type 2 in the early period to Type 4 in the late period, while the national transfer map
513 is also dominated by Type 4 in this region (Fig. 3). This evolution suggests that the
514 northeastern permafrost system has shifted from a shallow warm-coupled structure
515 toward a more weakly coupled and transitional state. Extensive high-latitude areas are
516 simultaneously labeled as OOD, indicating that this high-latitude evolution is
517 represented near the outer boundary of the environmental support covered by the
518 reference basin. Even so, the northeastern pattern forms an important part of the
519 national transition picture by showing that decoupling is not confined to the margins of
520 the QTP, but is also a prominent feature of high-latitude permafrost regions.

521 4.3 Applicability of the method, regional transfer performance, and 522 limitations

523 The framework proposed here is designed to transfer trajectory-based coupling
524 archetypes, rather than to reconstruct DCD or C numerically outside the reference basin.
525 In this sense, the environmental predictors serve as process-relevant proxies for
526 expressing locally identified structural types at broader scales. The moderate agreement



527 achieved within the reference basin indicates that the framework captures the main
528 regional contrasts among coupling structures, while uncertainty remains greatest in
529 transition zones and environmentally complex areas. Therefore, the regional transfer is
530 focused on macro-scale coupling archetypes, which is more consistent with the level of
531 structural information that can be robustly represented at the regional scale. Although
532 the environmental predictors, including meteorological conditions, terrain, and
533 reconstructed vertical thermal indicators, cannot fully replace real underground ice
534 dynamics, the quantitative evaluation (overall accuracy of 58.15% and Kappa
535 coefficient of 0.41) indicates that this framework can capture the main spatial
536 differentiation of permafrost-hydrological coupling structures in regions lacking deep
537 data, thereby linking process-based archetype identification with proxy-based regional
538 mapping.

539 Another advantage of this framework is that it explicitly defines the interpretive
540 boundary of regional transfer through OOD control. For example, most of the high-
541 latitude northeastern cold regions were identified as OOD areas. This not only indicates
542 that the model is less well supported in these areas, but also suggests that the framework
543 can identify regions where transfer from the reference basin becomes physically less
544 interpretable. High-latitude permafrost and high-altitude permafrost differ substantially
545 in their dominant energy controls, and the OOD label helps identify where such
546 differences extend beyond the environmental support covered by the reference basin,
547 thereby reducing the risk of unconstrained extrapolation in purely data-based transfer
548 settings.

549 However, this framework still has certain limitations. First, in structural transition
550 zones with drastic environmental gradients (such as YZRB and other high-altitude
551 regions), macro environmental variables often struggle to precisely distinguish the
552 fragmented features between Type 2 and Type 4, leading to scale effects (scale
553 discrepancies) between large-scale mapping and localized single-point observations.
554 This scale difference may impact the accuracy of regional transfer results. Second,
555 meteorological and soil data (such as ERA5) driving large-scale transfer contain



556 inherent uncertainties, and these biases may propagate downstream, affecting the
557 robustness of the proxy relationships. Third, the present framework is based on a single
558 reference basin and may not span the full diversity of process families across China's
559 permafrost regions. Therefore, future studies can further refine the applicability
560 boundary of regional transfer by incorporating higher resolution physical information
561 and enhancing joint cross-validation across multiple basins.

562 5. Conclusion

563 This study developed a reference basin based framework for identifying and
564 transferring permafrost-hydrological coupling regimes across China. Using the SRYR
565 as the reference basin, we constructed a DCD-C process space and identified four
566 trajectory-based archetypes that represent contrasting combinations of relative control
567 depth and integrated coupling strength.

568 The national transfer reveals clear regional differentiation in coupling structures,
569 with shallow-control regimes dominating colder interior regions of the QTP, while
570 deeper-control and transitional decoupled regimes become more common in marginal
571 and environmentally complex zones. The transition analysis further suggests a broad
572 tendency from relatively strong shallow coupling toward weaker or more reorganized
573 structural states under continued warming. OOD screening additionally highlights
574 where national-scale classifications extend beyond the environmental support of the
575 reference basin.

576 Rather than directly reconstructing local process variables at the national scale, the
577 proposed framework enables the bounded transfer of trajectory-based coupling
578 archetypes derived under stronger local process constraints. In this sense, it provides a
579 feasible pathway for regional comparison of permafrost-hydrological structures in data
580 limited areas. Future work should test the framework across multiple reference basins
581 and incorporate finer-resolution observations to improve both process interpretation
582 and applicability assessment.

583



584 **Data availability**

585 ERA5 atmospheric reanalysis is available from the Copernicus Climate Data Store:
586 [https://cds.climate.copernicus.eu/datasets/reanalysis-era5-single-levels-monthly-](https://cds.climate.copernicus.eu/datasets/reanalysis-era5-single-levels-monthly-means)
587 [means](https://cds.climate.copernicus.eu/datasets/reanalysis-era5-single-levels-monthly-means). Station discharge was taken from the Hydrological Yearbook of the Yellow
588 River Basin (print only volumes; not publicly downloadable). Published by the Ministry
589 of Water Resources of China; years used: 1964-2018. The soil ice simulation outputs
590 used in this study are available from the corresponding author upon reasonable request.

591 **Code availability**

592 The source codes for the analysis of this study are available from the corresponding
593 author upon reasonable request.

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599 **Author Contributions**

600 S.L. conceived and designed the study, performed the analyses, and wrote the
601 manuscript. Y.L. revised the manuscript for important intellectual content. All authors
602 discussed the results and approved the final version of the manuscript.

603 **Competing Interests**

604 The authors declare that they have no conflict of interest.

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