

1 **Evolution of Vegetation System in Heihe River Basin in the last 2000 years**

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11 Abstract: The response of vegetation system to the long-term changes in climate, hydrology, and  
12 social-economy in a river basin is critical for sustainable river basin management. This study aims  
13 to investigate the evolution of natural and crop vegetation systems in Heihe River Basin (HRB)  
14 over the past 2000 years. Archived Landsat images were applied to derive vegetation spatial extent  
15 and biomass for 1987 to 2015. The area and biomass of the vegetation before 1987 were  
16 reconstructed based on previous research results the derived relationship between the vegetation  
17 biomass and climatic and hydrological variables in the last 30 years with instrumental data. The  
18 key findings are: 1) both natural and crop vegetation have gone three development stages:  
19 Pre-development stage (before 1949), rapid development stage (1949-2000), and  
20 post-development stage (after 2000); 2) there was a much faster increase of crop biomass than that  
21 of native vegetation since 1949, and 3) the ratio of natural vegetation to crop vegetation decreased  
22 from 16 at Yuan Dynasty to at about 2.2 since 2005. This ratio represents the land and water  
23 development at river basin at changing climate and social-economy, it could be used as an  
24 indicator to plan the objective or examine the outcome of water and land management at river  
25 basin.

26

27 Key Words: Natural vegetation, crop vegetation, biomass, remote sensing, reconstruction, river  
28 basin

29



## 1 1. Introduction

2 Natural vegetation plays a key role in maintaining functions of catchment ecosystems including  
3 contributions to goods, services, and ecosystem biodiversity in arid and semiarid river basins  
4 (Ahlström et al., 2015; Feng et al., 2013; Kefi et al., 2007). With the rapid growth of population,  
5 increasing amount of water worldwide has been allocated to support human activities, particularly  
6 for irrigation, whereas water for natural vegetation, wetland, and other catchment ecosystems  
7 might have been compromised. Consequently, natural vegetation systems in water-limited regions  
8 have been degraded, and salinization and desertification have been reported repeatedly (Huang et  
9 al., 2015; Li et al., 2007; Su et al., 2007; Xue et al., 2015). To understand the development of  
10 natural vegetation under **different water conditions** and its interactions with the crop system is  
11 vital for the sustainable river basin management.

12 There are overwhelming studies on the impact of land use and land cover changes driven by either  
13 human activities or climate changes on the catchment hydrological regime and the water cycle  
14 (Esteban and Albiac, 2011; Ian and Reed, 2012; Leggett et al., 2003; Xue et al., 2015). However,  
15 few studies have been found to investigate how the vegetation system evolved to accommodate  
16 the changes in water regimes at the basin scale. In the last decade, an increasing number of studies  
17 have contributed to the knowledge of allocating the limited water resources among different  
18 ecosystems in order to balance the economic development and environmental sustainability (Wang  
19 et al, 2007). However, most of these studies were carried out at a short time scale, either to  
20 identify the rationality of water allocation schemes reform (Cheng, 2002; Yang et al, 2003) or to  
21 test the effectiveness of ecological restoration projects (Thevs et al 2015). Long-term change in  
22 vegetation system in response to significant alternations in climate, hydrology, and  
23 social-economy is missed in current literature (Sivapalan et al, 2012).

24  
25 The knowledge gap identified above happened partly due to the unavailability of long-term  
26 instrumental data on vegetation and hydrological change at the basin scale. With the rapid  
27 development of remote sensing technique, images acquired from multiple satellite platforms  
28 provides an ideal method to track the landscape changes in river basins in the past five decades  
29 (Beuchle et al, 2015). Among a mass of the remote sensing based metrics to characterize  
30 vegetation system, spatial extent or area, normalized differential vegetation index (*NDVI*) and  
31 biomass are commonly recognized as the most effective indices to reflect the status of the  
32 vegetation and widely applied in spatial analysis of landscape ecosystems (Pettorellia et al, 2005;  
33 Pinsky and Fogarty, 2012). For the historical periods earlier than five decades from now, emerging  
34 approaches including dendrochronology, ice core analysis, and other empirical methods have  
35 enabled the possibilities of **reconstructions** of eco-hydrological elements and their long-term  
36 variations (Turner et al., 2007; Lowry and Morrill, 2011). However, few attentions have been paid  
37 to historical landscapes and most of the limited existing reconstructions focused on the cultivated  
38 area in historical records (Xie et al, 2013; Ramankutty and Foley, 1999).

39 The Heihe River Basin (HRB), located in arid North-western China, is an important part of the  
40 ancient Silk Road established in the Han Dynasty (206 BC - AD 220). It was also a trade center  
41 between China and western countries, which facilitated a cultural and economic exchange for  
42 approximately 1500 years. HRB is a typical inland river ecosystem, which includes natural

1 vegetation, irrigated crop, desert and terminal lakes. Increasing agricultural development and  
2 changing climate and hydrology over the past 2000 years have significantly changed ~~the way of~~  
3 land and water resources use and modified the catchment vegetation system (Lu et al, 2015, Yan et  
4 al, 2016). Therefore, HRB is an ideal study area for investigating the evolution of vegetation  
5 system at river basin for a long time frame.

6 This paper aims to understand the evolution of vegetation system in HRB over the past 2000 years  
7 in which natural vegetation and crop vegetation were considered. Specifically, it includes three  
8 objectives: 1) to determine the area and biomass of vegetation using remote sensing imagery for  
9 recent years (since 1987); 2) to reconstruct vegetation distribution and biomass levels for previous  
10 periods (before 1987) and 3) to determine potential driving factors for vegetation developments. It  
11 is expected that the methods developed and the findings obtained from this study could assist to  
12 understand how current ecosystem problems were created in the past and what are their  
13 implications for future river basin management.

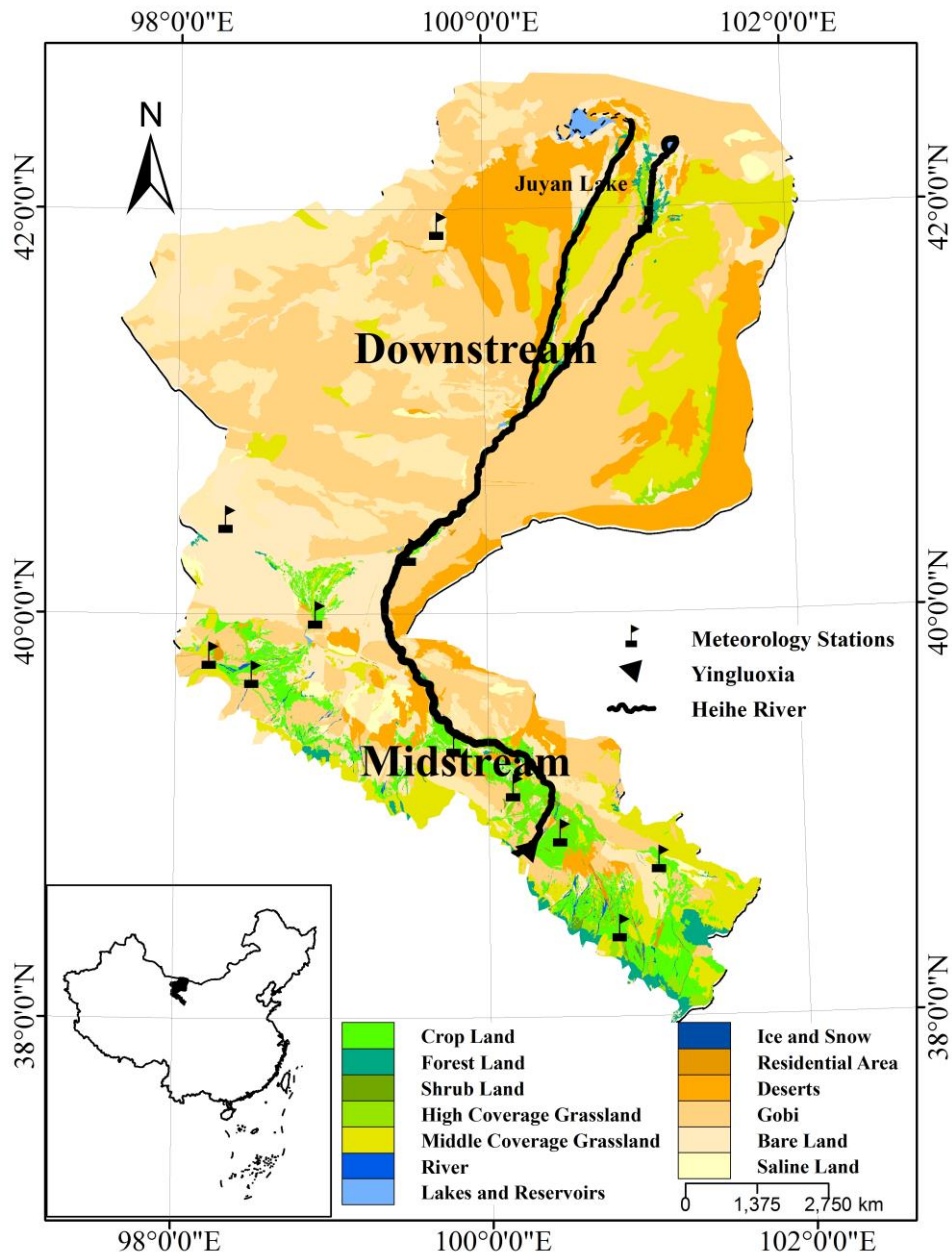
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16 **2. Material and Methods**

17 **2.1. Study area**

18 HRB is the second largest inland river basin of China, which stretches between 38 °- 43 N and 98 °  
19 - 102 E (Figure 1). The middle and lower course of HRB are occupied with different landscapes  
20 including river delta plain, terminal lakes, moving and semi moving dunes, and low mountains  
21 and hills. The unused land such as Gobi desert and bare land accounts for more than 75% of the  
22 river basin while cropland only takes up 4%. The rest of the landscape is natural oasis in which the  
23 main vegetation types are dry steppes and shelter forests.



1  
 2 Figure 1: Location of the Heihe River Basin (HRB). Land cover data (2011) available at WestDC  
 3 database (<http://westdc.westgis.ac.cn/>)

4 The terrain in HRB is a gradual tilt from southwest to northeast. The altitude of the area ranged  
 5 from 820 to 1100 m above sea level. The region is occupied with a typical continental arid climate  
 6 characterized by frequent wind, scarce rainfall, abundant sunshine and high evaporation. Annual  
 7 average temperature in this area is 8.3 °C during the last three decades with remarkable seasonal  
 8 variations. Temperature could decrease to -37.6 °C in winter months while highest temperature  
 9 normally happened in July, which could fetch up to 43.1 °C. The annual average pan evaporation  
 10 in the Ejina oasis is 3,749 to 4,132 mm/year, which is much higher than mean annual precipitation  
 11 (ranged from 7 to 101 mm/year) with substantial interannual variations over the past three  
 12 decades.

13 **Originating from the Heihe River originated in the North of Qilian Mountains of Tibetan Plateau,**  
 14 HRB has experienced intensive agricultural activities to meet the grain demands of military events



1 since Han Dynasty (121 BC – 220 AD) (Xie et al., 2013). Nowadays, the midstream is still one of  
2 the most important agricultural belts in Northwest China. However, the increasing water  
3 abstraction for irrigating, along with elevated usage for domestic purposes in middle reaches, has  
4 substantially consumed the water for downstream systems over the past several decades.  
5 Consequently, the Juyan Lake shrank dramatically in last 100 years, and dried-up in 1992. Since  
6 the late 1990s, the Chinese government implemented series of policies to ensure that water  
7 delivered to lower course of the basin was enough to sustain the ecosystems and avoid any further  
8 degradations. In 2002, the Juyan Lake started to retain water again which was taken as an  
9 important sign of ecosystem recovery.

## 10 2.2. Study period

11 We selected the past 2000 years as our study period, which started from the Han Dynasty (206 BC  
12 – AD 220) (Table 1). This timescale covered several ancient dynasties of China, the Republic of  
13 China (RC), and the Peoples' Republic of China. The period has experienced dramatic changes in  
14 climate, land use, runoff, management policy, population, social and ecological developments. All  
15 these factors could contribute to changes in water cycles within the river basin and, therefore,  
16 influence vegetation distributions.

17 Table 1: major dynasties during the selected study period (Lu, et al., 2015).

<b>Dynasty</b>	<b>Period</b>	<b>Main production</b>
Han Dynasty	206 BC – AD 220	Agriculture
Wei-Jin Era	AD 220 – AD 420	Animal husbandry
Tang Dynasty	AD 618 – AD 907	Agriculture
Yuan Dynasty	AD 1271 – AD 1368	Animal husbandry
Ming Dynasty	AD 1368 – AD1644	Agriculture
Qing Dynasty	AD 1644 – AD 1912	Agriculture
Republic of China (RC)	AD 1912 – AD 1949	Agriculture
The Peoples' Republic of China (PRC)	Since AD 1949	Agriculture

18

## 19 2.3. Determining vegetation distribution and estimating vegetation biomass

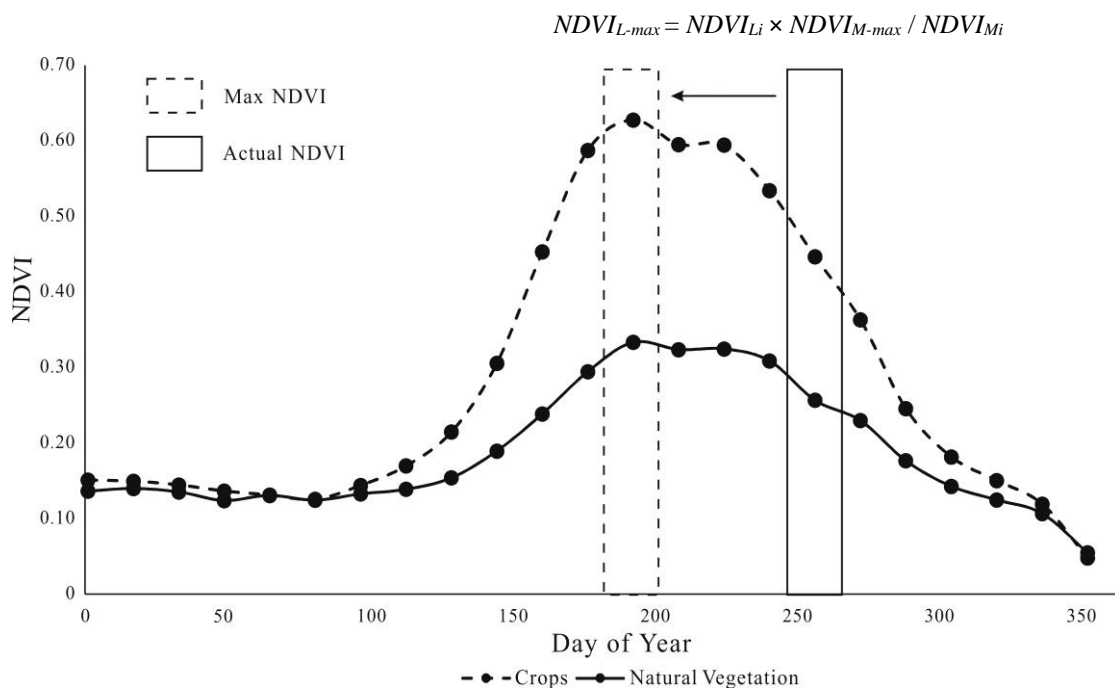
### 20 2.3.1. Landsat image preprocessing

21 We used all available cloud-free Landsat images in HRB to derive vegetation dynamics for 1987  
22 to 2015. Five Landsat scenes (path/row of 133/31, 133/32,133/33,134/31 and 134/32) for each  
23 year were required to cover the area. The collected images covered the timescale ranging from  
24 1987 to 2015 except for 1989 and 1996 when there were no high-quality images. Most of these  
25 images were acquired during late summer and early autumn (from June to October) to represent  
26 the growing season for crops and natural vegetation in the study area.

27 The data products containing digital numbers (DN) were downloaded from the United States  
28 Geological Survey (USGS) Earthexplorer website (<http://earthexplorer.usgs.gov/>). The DN values  
29 were converted into top-of-atmosphere (TOA) reflectance using the radiometric gain and offset  
30 values associated with each Landsat images. Then a Quick Atmosphere Correction (QUAC)  
31 method was adopted to account for atmospheric scattering and to derive land surface reflectance in

1 order to ensure that the change detection analysis truly detected changes at the Earth's surface  
 2 rather than solar illumination differences or potential differences in atmospheric conditions. The  
 3 normalized Differential Vegetation Index (*NDVI*) was then calculated using the red and  
 4 near-infrared bands for each year.

5 As demonstrated in Figure 2 with phenology profile of natural and crop vegetation derived from  
 6 Moderate Resolution Imaging Spectroradiometer. (MODIS), *NDVI* presented significant seasonal  
 7 variations. Since the collected Landsat images were acquired at different dates (sometimes  
 8 different months) of a year, the above calculated *NDVI* values would have included this seasonal  
 9 variations and not suitable for inter annual comparisons. To compensate this effect, we used the  
 10 MODIS *NDVI* profile in 2013 to calibrate the Landsat *NDVIs* to annual maximum *NDVI*, which  
 11 could effectively reflect the same growth stage of vegetation in multiple years, using a linear  
 12 interpolation algorithm. Specifically, with the knowledge of acquisition date of Landsat image for  
 13 a specific year, the ratio of MODIS *NDVI* for that date to the maximum MODIS *NDVI* was  
 14 calculated and this ratio was applied to Landsat derived *NDVI* to estimate maximum *NDVI* for that  
 15 year.



16  
 17 Figure 2: *NDVI* profile for natural vegetation and crops in 2013. The equation in the figure indicated  
 18 the scheme for calibrating the actual *NDVI* values (L stands for Landsat, M stands for MODIS, i stands  
 19 for the date when actual *NDVI* need calibration)

20

### 21 2.3.2 Determining vegetation areas and biomass since the 1980s with satellite images

22 Two rounds of threshold analysis were applied to determine natural and crop vegetation  
 23 distributions in HRB. Non-vegetation landscapes, including water surfaces, deserts, residential  
 24 areas and other bare surfaces, were masked out through analyzing the *NDVI* histogram distribution  
 25 characteristics, selecting 0.12 as the first threshold value and making minor verify for each year.

1 Then, the second round of threshold analysis was introduced to separate crop vegetation from  
2 natural vegetation according to their phenology differences (Figure 2). Briefly, we randomly  
3 sampled the vegetation maps and derived the average *NDVI* levels for natural and crop vegetation,  
4 respectively. A most recent land cover map (2011) created by the Cold and Arid Regions  
5 Environmental and Engineering Research Institute, Chinese Academy of Sciences was introduced  
6 to assist identifying vegetation types. The preliminary result was first overlaid with each year's  
7 images to check the accuracy. In addition, the results in 2000 and 2011 were verified with a set of  
8 land use maps (2000, 2011) obtained from the WestDC database (<http://westdc.westgis.ac.cn/>). A  
9 detailed scheme of inter-comparison of land cover maps between this study and existing results  
10 were detailed in Zhao et al., (2016). Overall, the two datasets presented substantial consistency  
11 where kappa coefficients (*k*) were 0.7206 and 0.6731 for 2000 and 2011. Areas of natural and crop  
12 vegetation for each year were calculated by summing areas of every small patch of natural and  
13 crop vegetation respectively.

14 In order to study the vegetation development and water usage, we calculated biomass based on  
15 *NDVI*. Regression models established by Zhao et al. (2006, 2010) were adopted to quantify  
16 biomass for both natural and crop vegetation. In those research, the herbaceous biomass (g) was  
17 measured by dry biological weighing methods and the field measured biomass for natural and crop  
18 vegetation in this region showed high correlation with *NDVI* ( $R > 85\%$  and  $p < 0.01$ ) in the same  
19 area and the following formula was established for natural and crop vegetation respectively.



**Biomass = 327.4 × *NDVI* + 102.29 for natural vegetation (Zhao et al., 2006) (1)**

21 **Biomass = 1,789 × *NDVI* + 559.68 for crops (Zhao et al., 2010) (2)**

22 We used the equations above to calculate the biomass from 1980 pixel by pixel each year and use  
23 regional statistics method to acquire natural vegetation biomass and crops biomass of the study  
24 area.

### 25 2.3.3 Reconstructing vegetation distribution and biomass levels in historical periods

26 Lu (2015) reconstructed vegetation distribution in past 2000 year in our study area to analyze the  
27 evolution of human–water relationships. In Lu's study, the historical cropland was reconstructed  
28 based on population, grain yield and ancient ruins distributions (Xie, 2013). The area of natural  
29 vegetation was estimated based on two assumptions: (1) people selected the regions with natural  
30 oases (grassland and forest) rather than desert for reclamation in the historical periods because the  
31 former have better water and soil conditions in these arid regions, and (2) once the reclaimed  
32 **lands were abandoned and no vegetation was covered, they were subsequently decertified (Lu**  
33 **et al., 2015).** The crop and natural vegetation area of each dynasty was calculated based on Lu's  
34 results.

35 The vegetation biomass in the historical periods was not available in the literature. Using the  
36 satellite-based results since the 1980s, we reconstructed the vegetation biomass based on its  
37 relationship with several variables which could have impacts on the vegetation development. The  
38 selected variables are temperature (*T*), river flow from upstream (*Q*), river flow to Juyan Lake (*Q<sub>i</sub>*),  
39 groundwater recharge (*Q<sub>g</sub>*) and precipitation (*P*). *T* and *P* records were collected from the  
40 surrounding weather station (Figure 1). River flow to Juyan Lake was determined according to the  
41 records measured at Ejina station. Streamflow through Yingluoxia gauge station stands for the

1 total upstream inflow to the study area ( $Q$ ). Groundwater reserves data were obtained from the  
2 government statistics yearbook. The component of streamflow consumed for vegetation  
3 developments ( $\Delta Q$ ) was then determined by deducting  $Q_l$  and  $Q_g$  from  $Q$ . With this established  
4 database, a stepwise regression method was introduced to explore relationships between biomass  
5 (biomass for natural vegetation, biomass for crops and, the total biomass) and the selected  
6 hydrological and climatic metrics. The significant correlation among total biomass ( $g$ ),  $\Delta Q$  and  $T$   
7 were found ( $R^2 = 0.612$ ). As indicated by the regression model, both temperature ( $T$ ) and water  
8 supply ( $\Delta Q$ ) present positive effects over vegetation productivity.

$$9 \quad Total\ Biomass(g) = 39.246 * T + 9.312 * \Delta Q - 345.671 \quad (3)$$

$$10 \quad \Delta Q = Q - Q_l - Q_g \quad (4)$$

11 We then applied equation 3 to estimate historical total biomass levels using the corresponding ( $T$ ,  
12  $\Delta Q$ ) settings. Specifically, historical  $T$  was derived from paleoclimate records reported by Yang  
13 (2002).  $Q$  estimations by Sakai et al (2012) based on glacier mass balance analysis were adopted.  
14 Since the spatial extent of the lake did not change much in historical periods,  $Q_l$  was assumed to  
15 be equal to evaporations from the lake surface which could be derived from public articles (Xiao  
16 and Xiao, 2008).;  $Q_g$  was set to be 0 based on the assumption that groundwater level did not  
17 change over the historic periods when agricultural activities were relatively small.

18 Unlike crop biomass which was largely influenced by technologic development, the biomass of  
19 natural vegetation was much less influenced by human activities. Therefore, we made an  
20 assumption that biomass density for natural vegetation over the study period did not change.  
21 According to the Landsat-based results for the past 30 years, the average biomass density for  
22 natural vegetation was stable at about 190 g/m<sup>2</sup> and this value was applied to historical vegetation  
23 maps to get the corresponding biomass estimations for natural vegetation. Crop biomass was then  
24 estimated by deducting the component for natural vegetation from the total biomass estimations.  
25 Biomasses for historical natural and crop vegetation were further estimated.

## 26 **2.4 Determination of potential driving factors for vegetation developments**

27 Multiple linear regression analysis was adopted to investigate the potential driving factors causing  
28 changes in spatial extent of vegetation and its biomass levels. Hydrological variables including  $Q$ ,  
29  $\Delta Q$  and climatic variables including  $P$  and  $T$  were related to spatial extents and biomass levels of  
30 natural and crop vegetation to find if there were any significant relationships. These selected  
31 variables were also taken as independent variables to find the quantitative models between these  
32 variables and the vegetation spatial extents. As the reconstruction data for the historical periods  
33 might incur great uncertainties in records and estimations, the regression analysis was conducted  
34 for the whole study period and the recent decades with instrumental data respectively. The analysis  
35 was performed with the IBM SPSS Statistics software package (version 20.0).

## 36 **3 Results**

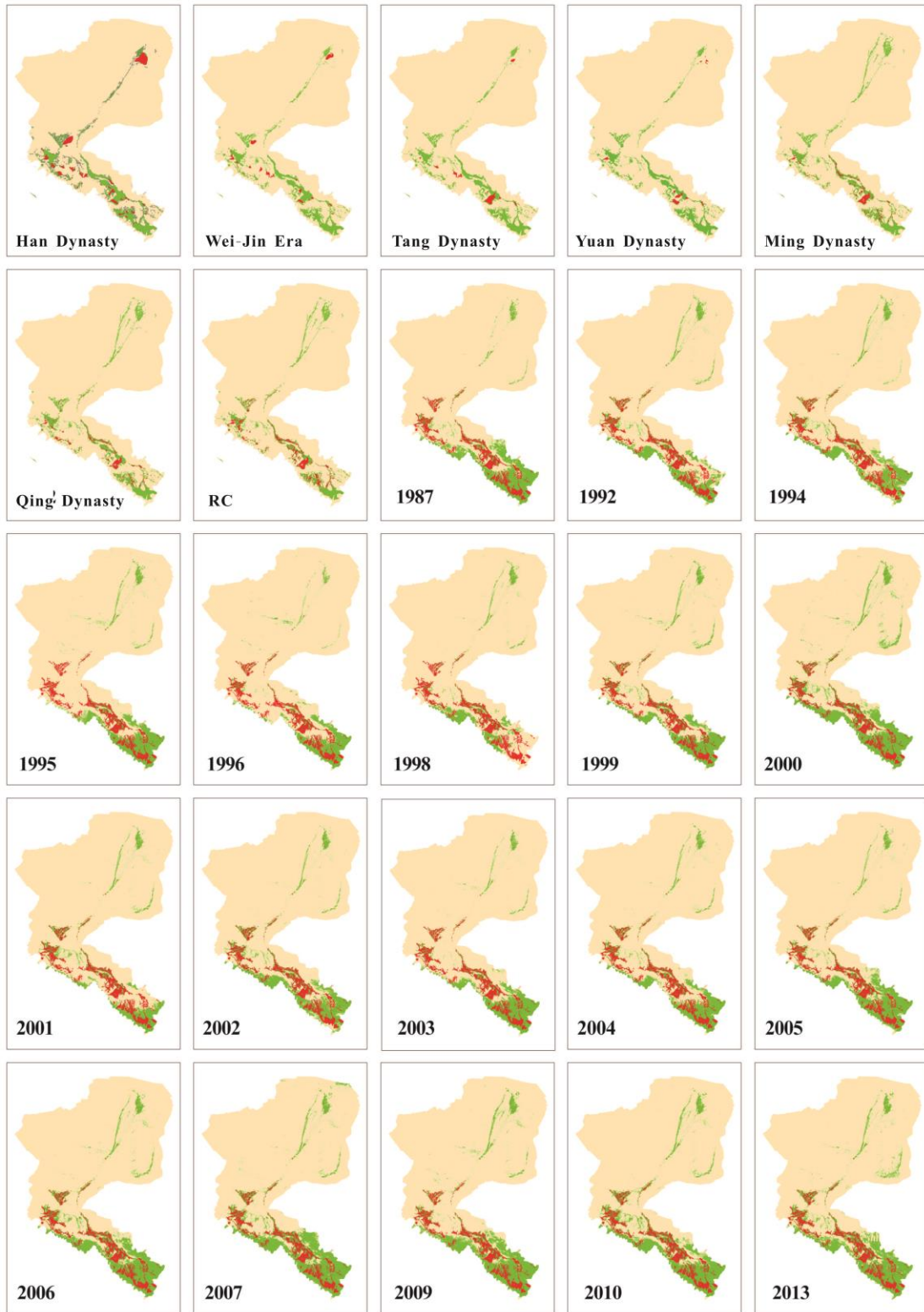
### 37 **3.1 Spatial and temporal variations in vegetation distribution in the past 2000 years**

38 The reconstructed natural (green) and crop (red) vegetation distributions in the past 2000 years are  
39 shown in Figure 3. Historic maps (before 1987) were derived from Lu's results (Lu et al., 2015)



1 and maps after that were interpreted from Landsat images. The spatial extent of crop vegetation in  
2 both midstream and downstream of HRB has changed significantly over the study period. Historic  
3 distribution of crops was focused in relatively small regions with certain variations. It was until  
4 the establishment of the PRC the crop vegetation started to increase at a high rate. As clearly  
5 demonstrated in the maps, there were crop areas distributed in downstream regions around Juyan  
6 Lakes in historic periods, however, in the modern China, crops were distributed mainly in the  
7 middle basin of HRB. As for natural vegetation, there were few changes in the midstream regions.  
8 From 1949 to 2000, natural vegetation in the midstream basin has substantially increased with  
9 large inter-annual fluctuations. After 2000, vegetation distribution was relatively stable at a high  
10 level. The downstream vegetation has experienced gradually increase corresponding to the crop  
11 area decreasing during these periods.

1



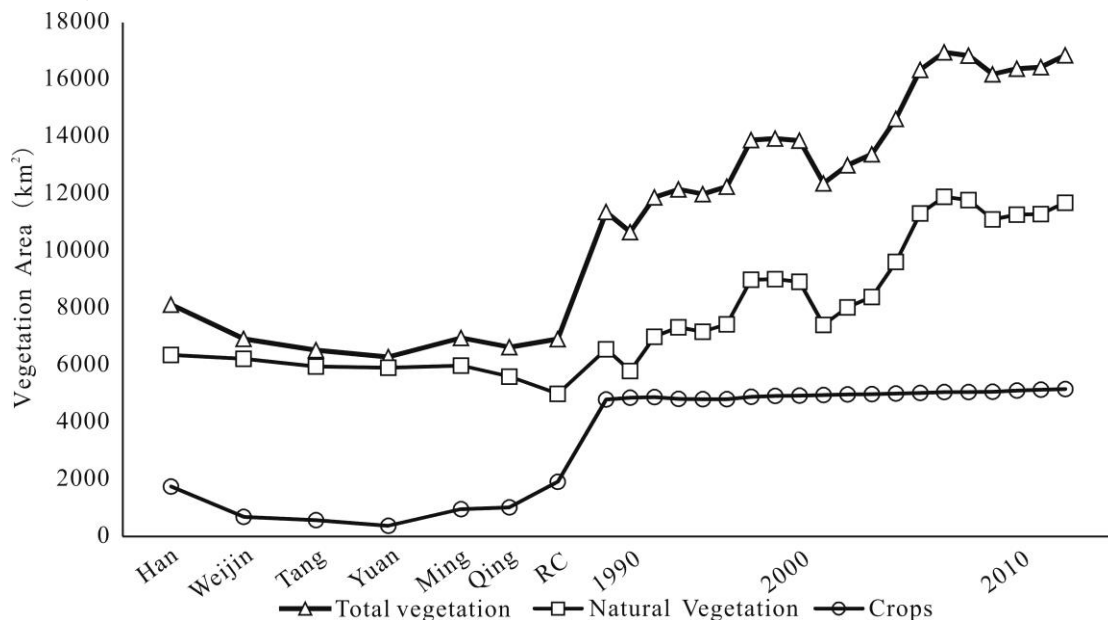
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3 Figure 3: Reconstructed natural (green) and crop (red) vegetation distributions in the past 2000 years.  
4 Historic maps (before 1987) were derived from Lu's results (Lu et al., 2015) and maps after that were  
5 interpreted from Landsat images.

6

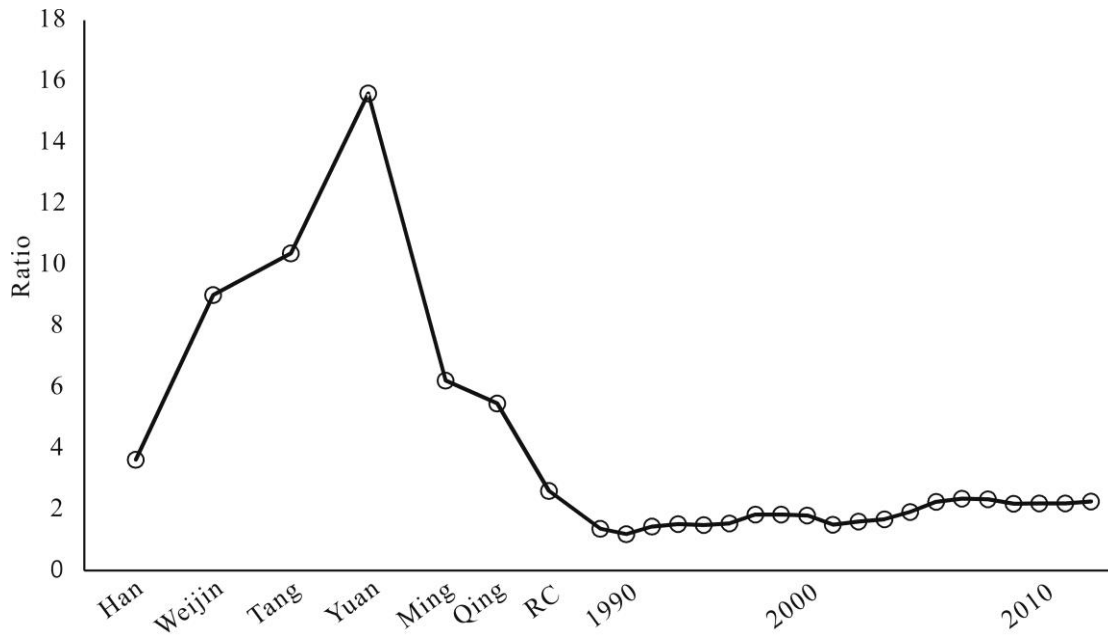
7 The temporal variation of vegetation areas over the past 2000 years is presented in Figure 4. The

1 total vegetation area increased by 8,732 km<sup>2</sup> during the studied period. Historically, total  
 2 vegetation within HRB experienced a slight decrease, from about 8,122 km<sup>2</sup> in Han Dynasty to  
 3 about 6,918 km<sup>2</sup> in the Republic of China. Natural vegetation for this period constantly decreased  
 4 by 21% to only 5,000 km<sup>2</sup>. Cropland for the same period presented more variations: It had a  
 5 large spatial extent at Han Dynasty at about 1,755 km<sup>2</sup>, and then gradually decreased to about 379  
 6 km<sup>2</sup> in Yuan Dynasty. From the Ming Dynasty, it started to increase again and reached a peak of  
 7 1,917 km<sup>2</sup> in the Republic of China. Situations were different in the period of modern China. Total  
 8 vegetation area increased from about 6,918 km<sup>2</sup> to 11,362 km<sup>2</sup> in 1987 and to 13,863 km<sup>2</sup> in 2000  
 9 with an increasing rate of 2% per year, while the crops have substantially increased by about 150%  
 10 to 4,939 km<sup>2</sup> in 2000. In the same period, natural vegetation has also substantially increased from  
 11 about 6,559 in 1987 to about 8,924 km<sup>2</sup> in 2000. After 2000, the increasing rate of the crop has  
 12 decreased from 3% per year to 0.3% per year while the natural vegetation has substantially  
 13 increased to about 11,691 km<sup>2</sup> in 2013, resulting in the total vegetation area keeping increase  
 14 steadily to 16,854 km<sup>2</sup> in 2013.



15 Figure 4: Temporal variations in total vegetation areas (triangle), natural vegetation (square) and crops  
 16 (circle). It should be noted that data after 1987 was the results after applying a 3 years moving average  
 17 to reduce the annual fluctuations.  
 18

19  
 20 The ratio of natural vegetation area to crop vegetation areas varied over the past 2000 years  
 21 (Figure 5). The ratio, to some extent, reflected the relationship and interactions between the two  
 22 vegetation systems. As demonstrated in Figure 5, although small in scale, natural vegetation  
 23 occupied a major portion of the vegetation in this area in Han Dynasty and it substantially  
 24 increased until Ming Dynasty when the ratio peaked at 16. The increased ratio during this period  
 25 could be attributed to the degraded farming activities (Figure 3, Figure 4). As agriculture started to  
 26 boom since Qing Dynasty, the ratio decreased significantly to about 1.4 in the Republic of China.  
 27 Afterward, the ratio showed a constant increase with a rate of 0.06 per year ( $R^2 = 0.8063$ ). Overall,  
 28 the ratio natural vegetation area to crop vegetation areas during the modern China was relative  
 29 stable compared with the great historic fluctuations and it is stabilized at around 2.2 since 2005.

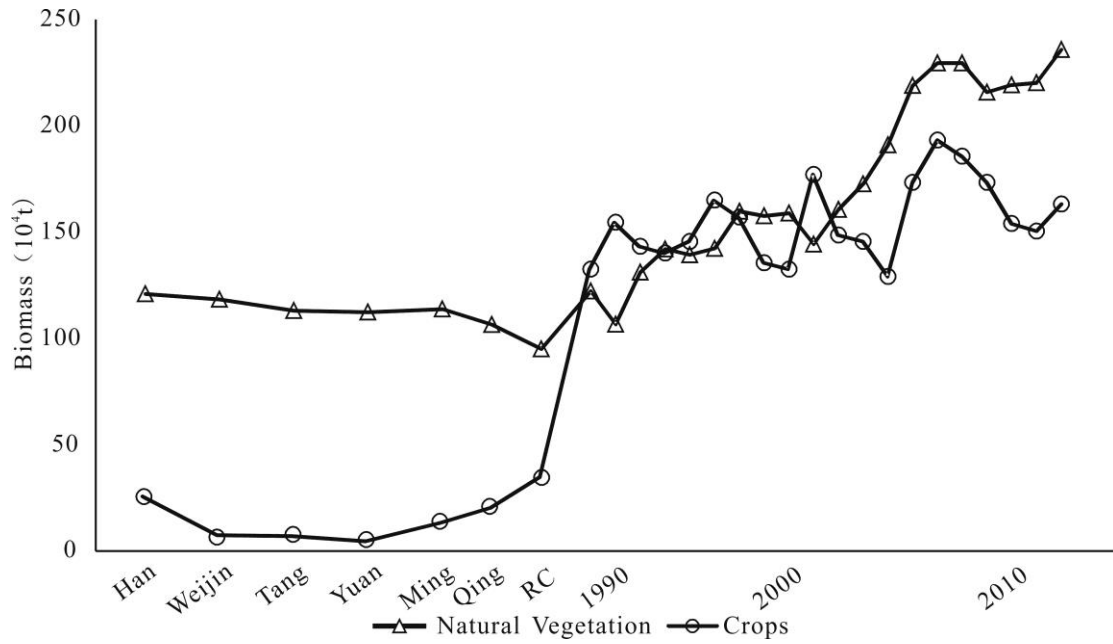


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2 Figure 5: Changes in ratio between the areas of natural vegetation to crop vegetation in the past 2000  
3 years

4 **3.2 Changes in vegetation biomass over the past 2000 years.**

5 Using the Landsat-derived biomass estimations and the corresponding hydrological and climatic  
6 records, we produced the relationship between biomass and T and streamflow as demonstrated in  
7 equation 3. The relationship was applied to the long term T and streamflow records to derive  
8 historic biomass estimations. As showed in Figure 6, biomass in natural vegetation in historic  
9 periods (Han Dynasty to the Republic of China) had experienced a slight decrease by 20% and the  
10 biomass of crop decrease before Tang Dynasty and increased after. Since the Republic of China,  
11 biomass in natural vegetation has shown gradually increase from about  $95 \times 10^4$  t to  $159 \times 10^4$  t in  
12 2000. After 2000, the upward trend continued with a higher increasing rate was observed. For  
13 crops, the annual biomass presented a sharp increase trend since 1949 by about 4 time and slight  
14 increase trend in past 30 years. The average productivity per unit area of natural vegetation was  
15 stable while the average productivity per unit area of crop increased by 2.2 times in past 2000  
16 years. The average productive per unit area of crop increased by about 180% since PRC.



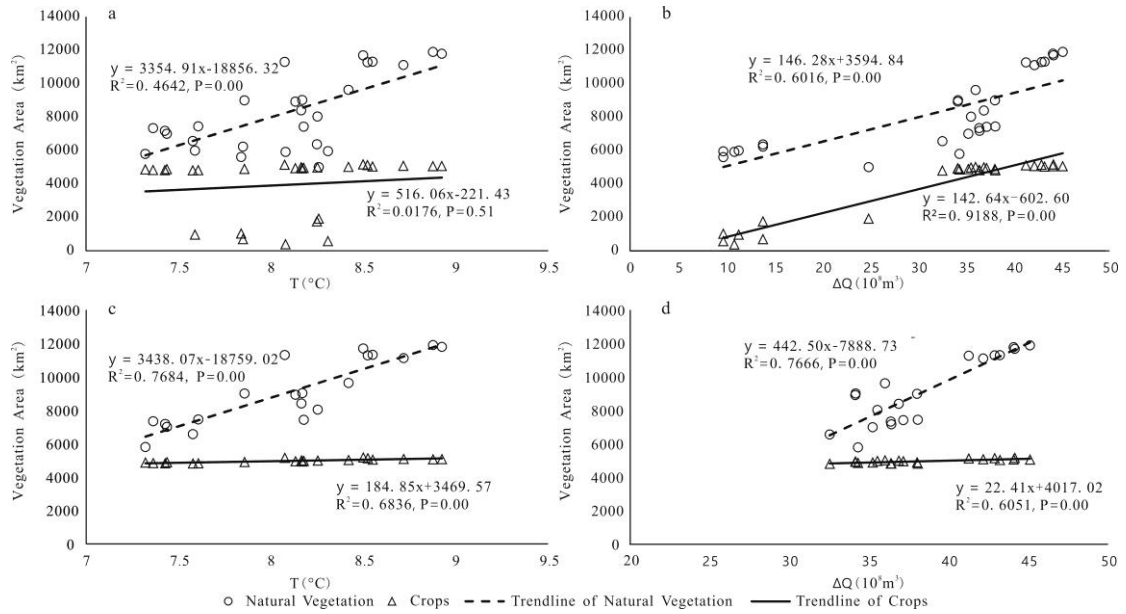
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2 Figure 6: Temporal variations in biomass of natural vegetation (triangle) and crops (circle) over the  
 3 past 2000 years

4 **3.3 Impacts of hydrological and climatic variables over vegetation development in the past**  
 5 **2000 years**

6 The regression analysis on the relationship between hydrological and climatic variables and  
 7 vegetation development show that both  $T$  and  $\Delta Q$  presented an overall positive effect on natural  
 8 and crop vegetation distributions (Figure 7 a and b). From a holistic perspective,  $T$  showed a  
 9 significant impact over natural vegetation expansion while its effects on crops were quite limited.  
 10 Meanwhile,  $\Delta Q$  exerted similar effects on both natural ( $R^2 = 0.6016, p = 0.00$ ) and crop ( $R^2 =$   
 11  $0.9188, p = 0.00$ ) vegetation development over the past 2000 years. It is also found that  $T$  showed  
 12 significant positive impacts over both natural ( $R^2 = 0.7684, p = 0.00$ ) and crop ( $R^2 = 0.6836, p =$   
 13  $0.00$ ) during the past three decades with instrumental data (Figure7 c and d). Similar for  $\Delta Q$ , it  
 14 alone contributed about 77% and 60% of the area expansion since 1980s for natural ( $p = 0.00$ ) and  
 15 crop ( $p = 0.00$ ) vegetation, respectively. A multiple factor regression analysis shows that  
 16 increasing  $T$  and  $\Delta Q$  could explain over 90% of the vegetation development or 96.0% for natural  
 17 vegetation and 91.7% for crops. Although the development of vegetation did not show an obvious  
 18 relationship with precipitation, there were few years that vegetation area was less than other years  
 19 in last 30 years, for example, 1992 and 2001, may due to the inter annual variations of  
 20 precipitation.

1



2

3 Figure 7: Correlation between vegetation (circle: natural vegetation, triangle: crops) and  $T$  (a, c) and  
4  $\Delta Q$  (b, d). (a) and (b) presented all reconstructed data for the past 2000 years, (c) and (d) only used  
5 Landsat-derived estimations.

## 6 4 Discussions and Conclusions

7 This study presented an empirical study of investigating the evolution of vegetation system in the  
8 HRB over the past 2000 years. The vegetation system was categorized into natural vegetation and  
9 crop vegetation. The area and biomass of each vegetation system since the 1980s were estimated  
10 based on the remote sensing image data. For the historical periods, the area and biomass of each  
11 vegetation system were reconstructed based on the relationship between the area and biomass of  
12 the vegetation system and the climatic and hydrological variables in the last 30 years with the  
13 measured data. Some major research findings and their implications for future research and river  
14 basin management practice are discussed as follows:

15

16 Both natural and crop vegetation development in Heihe River Basin, based on the change in area  
17 and biomass in the past 2000 years (Figures 3, 4, 7), can be divided into 3 stages: (1)  
18 Pre-development stage (before 1949), (2) Rapid development stage (1949-2000), and (3)  
19 Post-development stage (after 2000). In pre-development stage, agriculture was developed at a  
20 lower level only for the political and military needs (Xie et al, 2013). The natural vegetation/crop  
21 ratio came to the highest point in the Yuan Dynasty in Fig.5. During this period, the temperature  
22 fluctuated marginally and the terminal lake area did not change much (Yang, et al., 2002; Lu, et al.,  
23 2015). The natural vegetation showed a slight decrease trend as the runoff from upstream  
24 decreased from  $14.2 \times 10^8 \text{ m}^3$  to  $13.5 \times 10^8 \text{ m}^3$ . After 1949, crop area in HRB experienced rapid  
25 increase as food security had been the priority agricultural policy in China. The government  
26 encouraged farmers to reclaim unused land and promoted lots of irrigation projects (Zhang, et al.,  
27 2015). In addition, the shelter forest system established after the 1980s not only protected the  
28 existing cropland but also made it possible to change the desert surrounding oasis to farm. Natural

1 vegetation during this period also experienced rapid increase, temperature increase by 0.5 - 1° C  
2 and upper stream runoff increase from  $13.5 \times 10^8 \text{ m}^3$  to  $15 \times 10^8 \text{ m}^3$  could explain it. And water  
3 leakage from crop irrigation may also contribute to natural vegetation development. As a  
4 consequence of the rapid development of agriculture, the terminal lake (Juyan Lake) of about 900  
5 km<sup>2</sup> was dried up and groundwater was over-pumped for irrigation. After 2000, crop vegetation  
6 kept relatively stable as a result of the implementation of the policy “ensure water supply to the  
7 lower course of the basin to avoid ecosystem degradation”. Natural vegetation keeps increasing  
8 during this period because the temperature and runoff continue to increase. These stage  
9 developments were the result of changes in agricultural and water policies and changes in climatic  
10 and hydrologic variables.

11  
12 There was a much faster increase of crop biomass than that of native vegetation since 1949  
13 (Figure 6). The average biomass of crop per unit area increased by 180% and the biomass of  
14 natural vegetation did not change much. Lu et al (2015) also found the agricultural water  
15 productivity increased by 6 times in past 50 years in the middle reach of Heihe River. This is the  
16 result of technologic progress on agriculture and water application. After 1949, especially after  
17 reform and opening of the national economy in the late 1980s, there were great improvements in  
18 irrigation, crop varieties, chemical fertilizers and pesticides, and mechanization in HRB.  
19 Technological improvement influences the relationship between crop and natural vegetation.  
20 Advances in agricultural and water technologies enabled more crop biomass without the  
21 increase of crop area and facilitated the transfer of water from agriculture to downstream  
22 ecological purposes without compromise of the middle stream economic benefit.

23 The total vegetation area in HRB has been increased by 8,732 km<sup>2</sup> in the past 2000 years. Crop  
24 and natural vegetation presented different evolutionary pattern (Figure 3 and Figure 4) and the  
25 ratio of natural vegetation to crop vegetation from 16 at Yuan Dynasty to at about 2.2 since 2005  
26 (Figure 5). It is the result of the increase in human water demand from agriculture and urban  
27 development, increase in agricultural and water technological development for improving crop  
28 biomass, increase in water allocation for the environment (terminal lake) and increases in  
29 temperature and upstream runoff. Any changes in these factors will bring about the change of the  
30 ratio natural vegetation to crop vegetation. This ratio represents the land and water development at  
31 river basin at changing climate and social-economy. Thus, it could be used as an indicator to plan  
32 the objective or examine the outcome of water and land management at river basin. More research  
33 is needed in future to develop an understanding of the mechanism of dynamic interaction between  
34 natural vegetation and crop vegetation. With the knowledge of this interaction, water and land  
35 would be better managed for the better balance between the human and natural systems in river  
36 basins.

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