

# Response and Simulation of Trade-offs/synergies Among Ecosystem Services to Ecological Restoration Program: a Case Study of the Chengdu-Chongqing Urban Agglomeration, China

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## Research Article

**Keywords:** Ecosystem services, Trade-off/Synergy, Multi-scenarios, Grain to Green Program (GTGP), Chengdu-Chongqing urban agglomeration (CCUA)

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1 **Response and simulation of trade-offs/synergies among ecosystem services to ecological**  
2 **restoration Program: A case study of the Chengdu-Chongqing urban agglomeration,**  
3 **China**

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10 **Abstract:** The Grain to Green Program (GTGP), as a policy tool for advancing ecological  
11 progress, has been operating for 20 years and has played an important role in improving ecosystem  
12 service values. However, there are few studies on the trade-off/synergy changes in ecosystem  
13 services during the implementation of the GTGP and how to select the optimal scheme for regional  
14 ecological security based on the trade-off relationship. Thus, we took the Chengdu-Chongqing urban  
15 agglomeration (CCUA) in southwestern China as the study area; we used multisource data and the  
16 corresponding models and methods to estimate the regional food production, carbon sequestration,  
17 water yield, soil conservation and habitat quality services. Then, we clarified the trade-off/synergy  
18 relationships among ecosystem services from 2000 to 2015 by spatial analysis and statistical  
19 methods and evaluated the influential mechanism of the GTGP on trade-offs between ecosystem  
20 services. Finally, different risk scenarios were constructed by the ordered weighted average  
21 algorithm (OWA), and the regional ecological security pattern was simulated under the principle of  
22 the best protection efficiency and the highest trade-off degree. We found that (1) the trade-  
23 offs/synergies of regional ecosystem services changed significantly from 2000 to 2015. Among  
24 them, food production, water yield and soil conservation have always had trade-off relationships,  
25 while carbon sequestration, soil conservation and habitat quality have all had synergistic  
26 relationships. The relationships between carbon sequestration and water yield and food production  
27 changed from non-correlated to trade-off/synergistic, and the relationship between habitat quality  
28 and food production and water yield was not obvious. (2) Except for carbon sequestration service,  
29 the trade-off intensity between other ecosystem services decreased, indicating that the change trend  
30 of ecosystem services in the same direction was obvious. (3) The GTGP has been an important

31 factor affecting the trade-off intensity of regional ecosystem services. On the one hand, it has  
32 strengthened the synergistic relationships among carbon sequestration, soil conservation and habitat  
33 quality; on the other hand, it has increased the constraints of water resources on soil conservation  
34 and vegetation restoration. (4) The decision risk coefficient  $\alpha= 1.6$  was the most suitable scenario,  
35 the total amount of regional ecosystem services was high, and the allocation was balanced under  
36 this scenario. The ecological security area corresponding to this scenario was also the area with high  
37 carbon sequestration and habitat quality services. The purpose of this study was to provide a  
38 scientific reference for the precise implementation of the GTGP.

39 **Keywords:** Ecosystem services • Trade-off/Synergy • Multi-scenarios • Grain to Green Program  
40 (GTGP) • Chengdu-Chongqing urban agglomeration (CCUA)

#### 41 **Introduction**

42 Ecosystem services refer to the conditions and processes provided by natural ecosystems and  
43 species to meet and maintain the needs of human life. They are all the benefits that human beings  
44 obtain directly or indirectly from ecosystems (Fu et al. 2013; Norgaard 2010). In recent years, due  
45 to the rapid development of the economy and society, the increase in human disturbance to  
46 ecosystems has led to the decline of ecological functions and the intensification of conflicts between  
47 ecosystem services. It is of great significance to fully understand the trade-offs/synergies between  
48 ecosystem services and to avoid damage to other services while improving one service to promote  
49 the sustainable management of regional ecosystems, guide the rational development of natural  
50 resources and improve human well-being (Accatinoa et al. 2019; Berbes-Blazquez 2012).

51 Currently, research on the trade-offs/synergies of ecosystem services has mainly focused on  
52 the identification of trade-offs/synergies and the simulation of trade-off decisions. Among them, the  
53 identification of trade-offs/synergies was mainly based on cartographic and statistical methods. The  
54 cartographic method includes overlay analysis (Salmonella et al. 2018) and service cluster analysis  
55 (Wu et al. 2015). Statistical methods mainly include correlation analysis, regression analysis, cluster  
56 analysis and redundancy analysis (Wu et al. 2013; Maes et al. 2012). In recent years, the root mean  
57 square error (Bradford and D'Amato 2012) and production possibility boundary (Yang et al. 2015)  
58 have been gradually introduced into the discrimination of trade-off relationships. The methods used  
59 to simulate trade-offs have mainly included the Cellular Automata (CA) Markov model (Shui et al.  
60 2019) and the Conversion of Land Use and its Effects at small region extent (CLUE-S) model (Wu

61 2017) based on land-use change and the ordered weighted average algorithm (OWA). The OWA has  
62 been proven to be able to solve multi-attribute decision-making problems, balance internal conflicts  
63 and determine priority protection areas and has been widely used by scholars (zhang et al. 2019).  
64 Overall, current research has mainly focused on the processes and patterns of trade-offs/synergies  
65 of ecosystem services, and the mechanism of interaction on ecosystem services has not been fully  
66 analyzed, especially in relation to impact assessments of ecological restoration projects where there  
67 is more human regulation.

68 As the ecological restoration project with the widest coverage and the largest number of people  
69 affected in China, the grain to green program (GTGP) provides cash and food subsidies for  
70 afforestation and grass planting on cultivated land to increase surface vegetation coverage and  
71 improve the regional ecological environment. As expected, the GTGP has played an important role  
72 in increasing vegetation coverage and promoting carbon storage (Zhou et al. 2009; Wu et al. 2019),  
73 reducing soil erosion (Deng et al. 2012), increasing seasonal water yield (Yang et al. 2018), reducing  
74 annual sediment transport (Wang et al. 2015), and promoting nonagricultural employment (Lin and  
75 Yao 2014). However, studies in some areas have also found that the GTGP has led to a reduction in  
76 arable land area, thus threatening food security (Deng and Shangguan 2011), aggravating social  
77 inequality (Yao and Li 2010), reducing biodiversity (Hua et al. 2016), and intensifying the water-  
78 soil-sand contradiction (Lu and Tian 2021). The GTGP has not only improved some ecosystem  
79 functions but also weakened other related ecosystem services and even intensified the conflicted  
80 relationship between ecosystem services. Under the background of the GTGP, the trade-  
81 offs/synergies of regional ecosystem services has become an important research topic. Currently,  
82 related research has mainly focused on ecologically fragile areas such as the Loess Plateau and Karst  
83 regions. In contrast, there has been little research on urban agglomerations, especially mountainous  
84 urban agglomerations, which are the main trend of urban development in China, high incidence  
85 areas of ecological environmental problems and ecosystem service conflicts, and priority test areas  
86 of the GTGP.

87 As the third interregional urban agglomeration approved by the Chinese government, the  
88 Chengdu-Chongqing urban agglomeration (CCUA) has experienced rapid economic development  
89 and drastic changes in land use, which have caused certain ecological damage and conflicts.  
90 Additionally, the CCUA is an important ecological barrier area in the upper reaches of the Yangtze

91 River and the first area in China to implement the GTGP; thus, ecological protection is of the utmost  
92 importance in this region. Therefore, this study used the CCUA as the object, selected five main  
93 types of ecosystem services, and estimated their ecosystem service values through the Integrated  
94 Valuation of Ecosystem Services and Trade-offs (InVEST) model and related algorithms. Then, we  
95 used a relevant analysis method to reveal the trade-off/synergy evolution between ecosystem  
96 services and identified the impact of the GTGP on regional ecosystem service relationships through  
97 principal component analysis (PCA). Based on the trade-offs/synergies of ecosystem services, we  
98 set different scenarios through the OWA to clearly clarify the ecological security pattern suitable for  
99 the development of urban agglomerations to provide a scientific reference for regional ecological  
100 security assessment and the precise implementation of the GTGP.

## 101 **Study area and data**

### 102 **Study area**

103 The CCUA in this study includes 25 districts (counties) in Chong city and 15 cities in Sichuan  
104 Province (Fig. 1a, 27°39'N-32°20'N, 102°51'E-108°54'E); the study has a geographical area of  
105 169,000 km<sup>2</sup>, accounting for approximately 2.5% of China's total land area. The CCUA is a  
106 national-level urban agglomeration leading the development and opening of the western region. It  
107 is an important support for implementing the western development strategy of China, improving the  
108 level of inland opening, and promoting regional development. As of 2018, its permanent population  
109 was approximately 95 million, accounting for 7.2% of China's total population; the gross domestic  
110 product (GDP) reached 5.72 trillion yuan, accounting for 6.4% of China's total GDP; and its  
111 urbanization rate increased from 46.3% in 2010 to 53.8% in 2018. With the development of the  
112 regional economy and society, large changes in regional land use have occurred, resulting in the loss  
113 of some ecosystem services and the intensification of their conflicts. To this end, the Chinese  
114 government has promulgated some policies and implemented much ecological restoration work,  
115 aiming to improve the ecological environment and alleviate ecological conflicts.

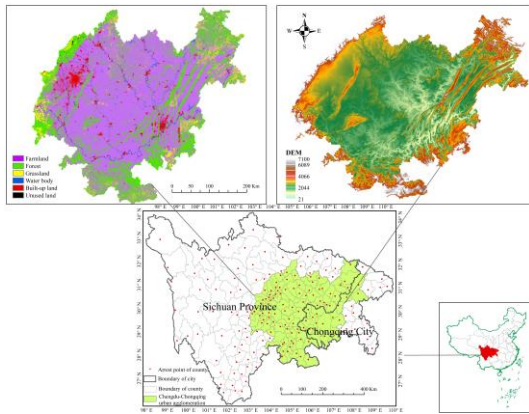


Fig. 1a Location of the CCUA

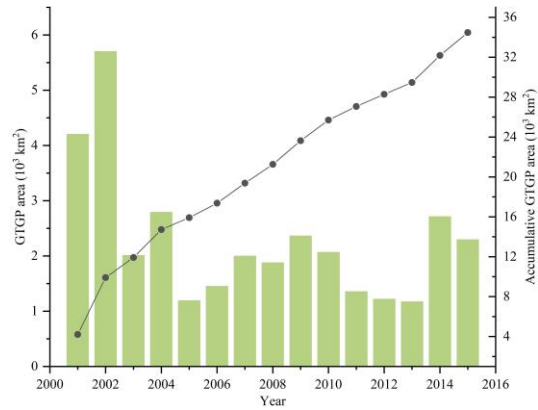


Fig. 1b Forested land area under the GTGP from 2001

to 2015

## 116 Design and implementation of the GTGP

117 The GTGP is designed to transfer farmland on steep slopes (>25°) to forest or grassland to  
 118 increase vegetation coverage and reduce soil erosion and thus restore regional ecosystems (Wang et  
 119 al. 2017). Sichuan Province and Chongqing city were selected as pilot regions of the GTGP in 1999  
 120 and 2000, respectively. The GTGP is paid for by the central government; it directly engages millions  
 121 of rural households as core agents of project implementation, with the stated principal of  
 122 volunteerism (Guo et al. 2014). The government offers farmers grain or money per ha of converted  
 123 farmland per year. In addition, a 300 yuan per ha per year living allowance and a one-time grant of  
 124 750 yuan per ha for seeds or seedlings are provided. The duration of these subsidies depends on the  
 125 outcome of farmland conversion: 2 years if the farmland is converted into grassland, 5 years if it is  
 126 converted into commercial forest, or 8 years if it is converted to ecological forest (Liu et al. 2008).  
 127 After the first phase, government subsidies were renewed in a second phase to encourage farmers  
 128 to return farmland to forests and consolidate the achievements of the GTGP. There were 130 districts  
 129 (counties) in the CCUA, and the forested area first increased, then decreased and then increased. By  
 130 2015, the total forested area was  $34.48 \times 10^3 \text{ km}^2$ , which was 20.4% of the total area (Fig. 1b).

## 131 Data sources and processing

132 The basic geographic data used in this study, such as regional boundaries, were from the  
 133 Ministry of Natural Resources of the People's Republic of China. Soil data, mainly including soil  
 134 organic carbon content, soil bulk density and soil layer thickness, came from the Big Data Center  
 135 of Sciences in Cold and Arid Regions of China (<http://bdc.casnw.net/index.shtml>). The land-use and  
 136 vegetation type data were from the Resource and Environment Science and Data Center, Chinese

137 Academy of Sciences China (<https://www.resdc.cn/>). The digital elevation model (DEM) data were  
138 the SRTMDEM-V2 product, and its spatial resolution is 30 m. The biomass data were from the  
139 Intergovernmental Panel on Climate Change (IPCC) in 2006. The meteorological data, mainly  
140 including temperature and precipitation, were from the China Meteorological Data Network  
141 (<http://data.cma.cn/>). The thin disk spline method of ANUSPLIN software was used to interpolate  
142 the meteorological data, and the grid images of multiyear time-series data were obtained. Net  
143 primary productivity (NPP) data were the product of MODIS 17A3 with a spatial resolution of 500  
144 m (<https://modis.gsfc.nasa.gov/>). The social and economic data came from the Sichuan Statistical  
145 Yearbook and Chongqing Statistical Yearbook; the GTGP statistics in each district (county) from  
146 2001 to 2015 were obtained from the Chinese Forest Statistical Yearbook. Other relevant data came  
147 from the related literature.

## 148 **Ecosystem service estimation methods**

### 149 **Carbon sequestration**

150 Carbon sequestration in terrestrial ecosystems mainly depends on four aspects: aboveground  
151 biomass carbon sequestration, underground biomass carbon sequestration, soil carbon sequestration  
152 and organic carbon sequestration. In this paper, we estimated the carbon sequestration services of  
153 the CCUA based on the InVEST model without considering organic carbon sequestration. The  
154 calculation formula is as follows:

$$C = C_{above} + C_{below} + C_{soil} + C_{dead} \quad (1)$$

155 where  $C$  is the total carbon sequestration service;  $C_{above}$  is the aboveground biomass carbon  
156 sequestration;  $C_{below}$  is the underground biomass carbon sequestration;  $C_{soil}$  is the soil carbon  
157 sequestration; and  $C_{dead}$  is the organic carbon sequestration.

158 According to relevant studies (Lyu et al. 2019; Gao et al. 2020), carbon density is mainly  
159 affected by climate, topography, hydrological conditions and vegetation types. However, it cannot  
160 be quantified due to vegetation types and hydrological conditions; therefore, the annual mean  
161 temperature and annual precipitation were selected as the influencing factors to modify the carbon  
162 density. The specific correction formulas are as follows:

$$C_{sp} = 3.3968 * MAP + 3.3996.1 \quad (2)$$

$$C_{BP} = 6.798 * e^{0.0054 * MAP} \quad (3)$$

$$C_{BT} = 28 * MAT + 398 \quad (4)$$

163 where  $C_{SP}$  is the soil carbon density (kg/m<sup>2</sup>);  $C_{BP}$  and  $C_{BT}$  are the biomass carbon density obtained  
 164 from precipitation and temperature (kg/m<sup>2</sup>), respectively;  $MAP$  is the average annual precipitation  
 165 (mm); and  $MAT$  is the annual mean temperature (°C).

166 The annual average temperature and annual precipitation data in the study area and China were  
 167 substituted into the formula, and the carbon density coefficient was obtained according to the ratio  
 168 of these indexes in the study area and in China. Based on the national carbon density data table, the  
 169 carbon density data table of the study area was calculated, and then the carbon sequestration service  
 170 was calculated.

### 171 **Water yield**

172 This paper used the water yield module of the InVEST model to calculate the water yield of  
 173 the CCUA. The basic principle is as follows:

$$Y_{xj} = (1 - \frac{AET_{xj}}{P_x}) \times P_x \quad (5)$$

$$\frac{AET_{xj}}{P_x} = \frac{1 + \omega_x R_{xj}}{1 + \omega_x R_{xj} + \frac{1}{R_{xj}}} \quad (6)$$

$$\omega_x = Z \frac{AWC_x}{P_x} \quad (7)$$

$$R_{xj} = \frac{K_{xj} ET_{0x}}{P_x} \quad (8)$$

174 where  $Y(x)$  is the water supply of year (mm);  $AET(x)$  is the actual evaporation of year (mm); and  
 175  $P(x)$  is the annual precipitation of year (mm).  $R_{xj}$  is the dryness index, dimensionless, indicating the  
 176 ratio of potential evaporation to precipitation;  $w_x$  is the ratio of annual available water to  
 177 precipitation, which is dimensionless;  $Z$  is the constant of precipitation characteristics in the study  
 178 area, which is dimensionless and takes the default value according to the model test experience;  
 179  $AWC_x$  is the available water content of plants; and  $K_{xj}$  is the potential evapotranspiration of grid  $x$ .  
 180 Specific content can be seen at Redhead et al. (2016).

### 181 **Soil conservation**

182 Based on the soil loss equation in the InVEST model, this paper calculated the regional soil  
 183 conservation service, and the expressions are as follows:



$$SEDRET_x = R_x \times K_x \times LS_x \times (1 - C_x \times P_x) + SEDR_x \quad (9)$$

$$SEDR_x = SE_x \sum_{y=1}^{x-1} USLE_y \prod_{z=y+1}^{x-1} (1 - SE_z) \quad (10)$$

$$USLE_x = R_x \times K_x \times LS_x \times C_x \times P_x \quad (11)$$

184 where  $SEDRET_x$  and  $SEDR_x$  are the soil conservation capacity and sediment retention capacity of  
 185 grid  $x$  ( $t/(hm^2 \cdot a)$ ), respectively;  $USLE_x$  and  $USLE_y$  are the actual erosion amount of grid  $x$  and its  
 186 uphill grid  $y$  ( $t/(hm^2 \cdot a)$ ), respectively;  $SE_x$  is the sediment retention sufficiency of grid  $x$ ;  $R_x$  is the  
 187 precipitation erosivity factor ( $MJ \cdot mm/hm^2 \cdot h \cdot a$ );  $LS_x$  is the topographic factor;  $K_x$  is the soil  
 188 erodibility index ( $t \cdot hm^2 \cdot h/MJ \cdot hm^2 \cdot mm$ );  $C_x$  is the vegetation cover management factor; and  $P_x$  is  
 189 the soil and water conservation factor. Specific index size can be found in Borji and Samani (2019).

## 190 Food production

191 Based on the grain yield, combined with the significant correlation between crops and the NPP  
 192 (Wondmagegne et al. 2012), the spatial distribution of grain yield was determined according to the  
 193 proportion of NPP in each grid to the regional total NPP, and the spatial distribution map of food  
 194 production services was obtained. The specific formula is as follows:

$$G_i = G_{sum} * \frac{NPP_i}{NPP_{sum}} \quad (12)$$

195 where  $G_i$  is the food production service in grid  $x$  (t),  $G_{sum}$  is the total grain yield (t),  $NPP_i$  is the NPP  
 196 of grid  $i$ , and  $NPP_{sum}$  is the sum of regional NPP.

## 197 Habitat quality

198 Based on different land-use types, the habitat quality in the study area was explored by the  
 199 habitat quality module of the InVEST model, which showed habitat quality values between 0 and  
 200 1. The calculation formulas are as follows:

$$Q_{xj} = H_j \left[ 1 - \left( \frac{D_{xj}^z}{D_{xj}^z + k^z} \right) \right] \quad (13)$$

$$D_{xj} = \sum_{r=1}^R \sum_{y=1}^{Y_r} \left( w_r / \sum_{r=1}^R w_r \right) r_y i_{rxy} \beta_x S_{jr} \quad (14)$$

$$i_{rxy} = 1 - \left( \frac{d_{xy}}{d_{rmax}} \right) \quad (15)$$

$$i_{rxy} = \exp \left( - \left( \frac{2.99}{d_{rmax}} \right) d_{xy} \right) \quad (16)$$

201 where  $Q_{xj}$  is the habitat quality of grid  $x$  in land-use type  $j$ ,  $H_j$  is the habitat suitability index,  $D_{xj}$  is  
 202 the habitat stress level of grid  $x$  in land-use type  $j$ ,  $K$  is the scaling parameter,  $R$  is the number of  
 203 stress factors,  $Y_r$  is the number of grids of stress factor  $r$ ;  $r_y$  is the number of stress factors in each

204 grid;  $S_{jr}$  is the sensitivity of land type  $j$  to stress factor  $r$ ;  $i_{rxy}$  is the effect of stress factor  $r$  on grid  $x$   
 205 in grid  $y$ ;  $d_{xy}$  is the distance between grid  $x$  and grid  $y$ ;  $d_{rmax}$  is the influence range of stress factor  $r$ ;  
 206 and  $\beta_x$  is the degree of legal protection. The specific content can be seen at Yohannes et al. (2021).

### 207 Identification and quantitation of ecosystem service synergies and trade-offs

208 In this paper, we calculated the Pearson correlation coefficient between two different  
 209 ecosystem services and tested the significance to characterize the trade-off/synergistic relationships  
 210 between ecosystem services. When the correlation coefficient between two ecosystem services was  
 211 positive, there was a synergistic relationship between them. When the correlation coefficient was  
 212 negative, there was a trade-off relationship. The Pearson correlation coefficient is calculated as  
 213 follows:

$$R_{xy} = \frac{\sum_{i=1}^n [(x_i - \bar{x})(y_i - \bar{y})]}{\sqrt{\sum_{i=1}^n (x_i - \bar{x})^2} \sqrt{\sum_{i=1}^n (y_i - \bar{y})^2}} \quad (17)$$

214 where  $R_{xy}$  is the correlation coefficient between ecosystem services  $x$  and  $y$ ;  $x_i$  and  $y_i$  are the  $i$ -th year  
 215 values of  $x$  and  $y$ , respectively;  $\bar{x}$  and  $\bar{y}$  represent the average value of the two ecosystem  
 216 services in the corresponding year, respectively; and  $n$  is the total number of grids. The significance  
 217 of the Pearson correlation coefficient was tested by  $t$  test. The statistical formula is as follows:

$$t = R \sqrt{\frac{n-2}{1-R^2}} \quad (18)$$

218 where  $R$  is the correlation coefficient, and  $n$  is the total number of grids.

219 The root mean square error (RMSE) was employed to quantify the trade-off relationship  
 220 between two ecosystem services (trade-off intensities) and to quantify how the synergistic  
 221 development of two ecosystem services was biased towards one of those services (Yu et al., 2020).  
 222 This method used the distance from points to straight lines to express the relationship between two  
 223 ecosystem services. The greater the distance was, the more severe the trade-off relationship between  
 224 the two ecosystem services was. In contrast, the relationship between the two ecosystem services  
 225 tended to be more synergistic as the distance decreased. When the distance was zero, an ideal  
 226 synergistic relationship existed between the two services. Its formula is as follows:

$$RMSE = \sqrt{\frac{\sum_{i=1}^n (ES_i - \bar{ES})^2}{n-1}} \quad (19)$$

227 where  $RMSE$  is the ecosystem service tradeoff intensity,  $n$  is the number of ecosystem services,  $ES_i$   
 228 is the ecosystem service value after standardization and  $\overline{ES}$  is the mathematical expectation of the  
 229 two ecosystem services.

### 230 **Selection of factors influencing ecosystem service synergies and trade-offs**

231 We selected seven factors from the natural and human aspects, among which the natural factors  
 232 included the DEM, topographic relief (DXQFD), annual mean temperature (TEM) and annual  
 233 precipitation (PRE). In terms of human aspects, the GDP, urbanization rate (CZH) and cumulative  
 234 afforestation area ratio (cumulative afforestation area/total regional area, ZL) were selected, in  
 235 addition, ZL value means the intensity of GTGP implementation. Since most of the study area began  
 236 to implement the GTGP after 2000, this paper used 2000 as the base year and 2015 as the comparison  
 237 year to reveal the impact of each factor on the trade-off/synergistic relationship of regional  
 238 ecosystem services. First, the difference in the trade-off intensity of ecosystem services and each  
 239 factor was calculated from 2000 to 2015. Then, PCA was used to study the correlation between  
 240 trade-off intensity and influencing factors. All of these were completed using CANOCO 5.2  
 241 software, and the specific content can be found in Chen et al. (2017).

### 242 **Identification of ecological safety zone**

243 The OWA is a kind of decision-making method that can choose the importance degree between  
 244 the indexes arbitrarily according to the decision risk coefficient. It includes the criterion weight ( $u_j$ ,  
 245  $j=1,2,\dots,n$ ) and order weight ( $v_j$ ,  $j=1,2,\dots,n$ ), where  $u_j$  represents the relative importance of an  
 246 indicator in all indicators, and  $v_j$  is obtained by standardizing the indicators of the evaluation unit  
 247 and arranging them in descending order. It is defined as follows:

$$QWA_i = \sum_{j=1}^n \left( \frac{u_j v_j}{\sum_{j=1}^n u_j v_j} \right) Z_{ij} \quad (20)$$

248 where  $u_j$  is the criterion weight of the  $j$ -th index,  $v_j$  is the order weight of the  $j$ -th index, and  $Z_{ij}$  is  
 249 the attribute value of the  $j$ -th index in descending order according to the attribute value of  $i$ .

250 In general,  $v_j$  is determined by the importance grade of index ( $w_k$ ), and the formula is as follows:

$$v_j = \left( \sum_{k=1}^j w_k \right)^\alpha - \left( \sum_{k=1}^{j-1} w_k \right)^\alpha \quad (21)$$

251 where  $\alpha$  is the decision risk coefficient, and  $w_k$  is the importance grade of the index, which is usually  
 252 determined according to the index value, and its formula is as follows:

$$w_k = \frac{n - r_k + 1}{\sum_{l=1}^k (n - r_l + 1)} \quad (k = 1, 2, \dots, n) \quad (22)$$

253 where  $r_k$  is the grade value of the importance index according to the numerical value; usually, the  
 254 maximum value is 1, the second maximum value is 2, and the minimum value is  $n$ .

255 The OWA has a trade-off concept in addition to the risk coefficient. The calculation formula is  
 256 as follows:

$$tradeoff = 1 - \left\{ \left[ n \sum_{j=1}^n (v_j - 1/n)^2 \right] / (n-1) \right\}^{0.5} \quad (23)$$

257 where  $n$  is the total number of ecosystem services, and  $v_j$  is the order weight of the  $j$ -th grid.

258 Combining the OWA with GIS, the normalized ecosystem services were weighted and  
 259 integrated according to different decision risks, and the evaluation layer was obtained. To effectively  
 260 protect regional ecosystem services, the top 20% of each evaluation layer was selected as the  
 261 ecological protection area under the different risk scenarios. By calculating the protection efficiency  
 262 and trade-offs of ecological protection areas under each risk scenario, the final ecological safety  
 263 zone was determined. The calculation formula of the protection efficiency of the ecological safety  
 264 zone is as follows:

$$E_i = \frac{ES_i}{ES_o} \quad (19)$$

265 where  $E_i$  is the protection efficiency of the ecosystem services in the ecological protection area,  $ES_i$   
 266 is the average value of the ecosystem services in the ecological protection area, and  $ES_o$  is the  
 267 average value of the ecosystem services in the whole study area. When  $E_i > 1$ , the protection  
 268 efficiency of the ecological protection area is higher than that of the whole study area; in contrast,  
 269 when  $E_i < 1$ , the protection efficiency of the ecological protection area is lower than that of the whole  
 270 study area.

## 271 Results

### 272 Identification of synergies and trade-offs among ecosystem services

273 The correlation of five ecosystem services was analyzed by taking district (county) as a unit.  
 274 The relationship between F2000 and C2000 evolved from a nonsignificant to a synergistic  
 275 relationship in 2015, while the relationship between C2000 and W2000 developed from a  
 276 nonsignificant to a trade-off relationship in 2015. The relationship between food production and  
 277 water yield was a trade-off relationship, and the correlation increased, while food production and

278 soil conservation showed a decreasing trade-off trend from 2000 to 2015. Carbon sequestration and  
 279 soil conservation, carbon sequestration and habitat quality, and soil conservation and habitat quality  
 280 showed synergistic trends. The Pearson's correlation coefficients of food production and habitat  
 281 quality and of water yield and habitat quality were insignificant from 2000 to 2015, so there was no  
 282 significant trade-off and no synergistic relationship was observed. The relationship between water  
 283 yield and soil conservation changed from a synergistic relationship to being insignificant (Table 1).  
 284 This result shows that the relationships among the five ecosystem services changed differently from  
 285 2000 to 2015.

286 **Table 1** Pearson correlation analysis of the five ecosystem services

	F2000	C2000	W2000	S2000	H2000	F2015	C2015	W2015	S2015	H2015
F2000	1		-0.268**	-0.509**						
C2000		1		0.41**	0.825**					
W2000	-0.268**		1	0.208*						
S2000	-0.509**	0.41**	0.208*	1	0.538**					
H2000		0.825**		0.538**	1					
F2015						1	0.178*	-0.333**	-0.398**	
C2015						0.178*	1	-0.226**	0.488**	0.917**
W2015						-0.333**	-0.226**	1		
S2015						-0.398**	0.488**		1	0.58**
H2015							0.917**		0.58**	1

287 N =129; \*\* and \* show significant correlations at the  $P = 0.05$  and  $P = 0.1$  levels (two-tailed), respectively.

288 F2000/2015 means food production in 2000 and 2015, respectively; C2000/2015 means carbon sequestration in 2000  
 289 and 2015, respectively; W2000/2015 means water yield in 2000 and 2015, respectively; S2000/2015 means soil  
 290 conservation in 2000 and 2015, respectively; H2000/2015 means habitat quality in 2000 and 2015, respectively.

### 291 3.2 Trade-off intensity analysis of ecosystem services

292 The main goal of the GTGP is to convert farmland on steep slopes ( $>25^\circ$ ) to forest or grassland,  
 293 which is always conducive to the change in carbon sequestration and food production; as a result,  
 294 the trade-off intensity between food production capacity and carbon sequestration services  
 295 developed from 0.126 in 2000 to 0.136 by 2015 (Fig. 2). From 2000 to 2015, there was not only a  
 296 change in the trade-off intensity between food production and carbon sequestration but also changes  
 297 in the trade-off intensities between other ecosystem services, e.g., the trade-off intensities between  
 298 carbon sequestration and soil conservation and habitat quality increased from 0.117 and 0.103 to  
 299 0.122 and 0.112, respectively, and the trade-off intensities between water yield and food production,

300 soil conservation, and habitat quality decreased from 0.172, 0.159, and 0.159 to 0.153, 0.142, and  
 301 0.143, respectively. Therefore, the trade-off intensities among the five ecosystem services changed  
 302 differently from 2000 to 2015.

303 In 2010, the trade-off intensities between food production, carbon sequestration, water yield,  
 304 soil conservation and habitat quality were food production-water yield (F-W) > water yield-soil  
 305 conservation (W-S) = water yield-habitat quality (W-H) > carbon sequestration- water yield (C-W) >  
 306 food production-soil conservation (F-S) > food production-habitat quality (F-H) > food production-  
 307 carbon sequestration (F-C) = soil conservation-habitat quality (S-H) > carbon sequestration-soil  
 308 conservation (C-S) > carbon sequestration-habitat quality (C-H) (Fig. 3). In 2015, the trade-off  
 309 intensities of these five ecosystem services were F-W > C-W > W-H > W-S > F-C > F-S > F-H >  
 310 C-S > S-H > C-H. Compared with 2000, the trade-off relationships of F-W, F-S, F-H, C-W, W-S,  
 311 W-H, and S-H weakened. However, the trade-off relationships of F-C, C-S and C-H strengthened.

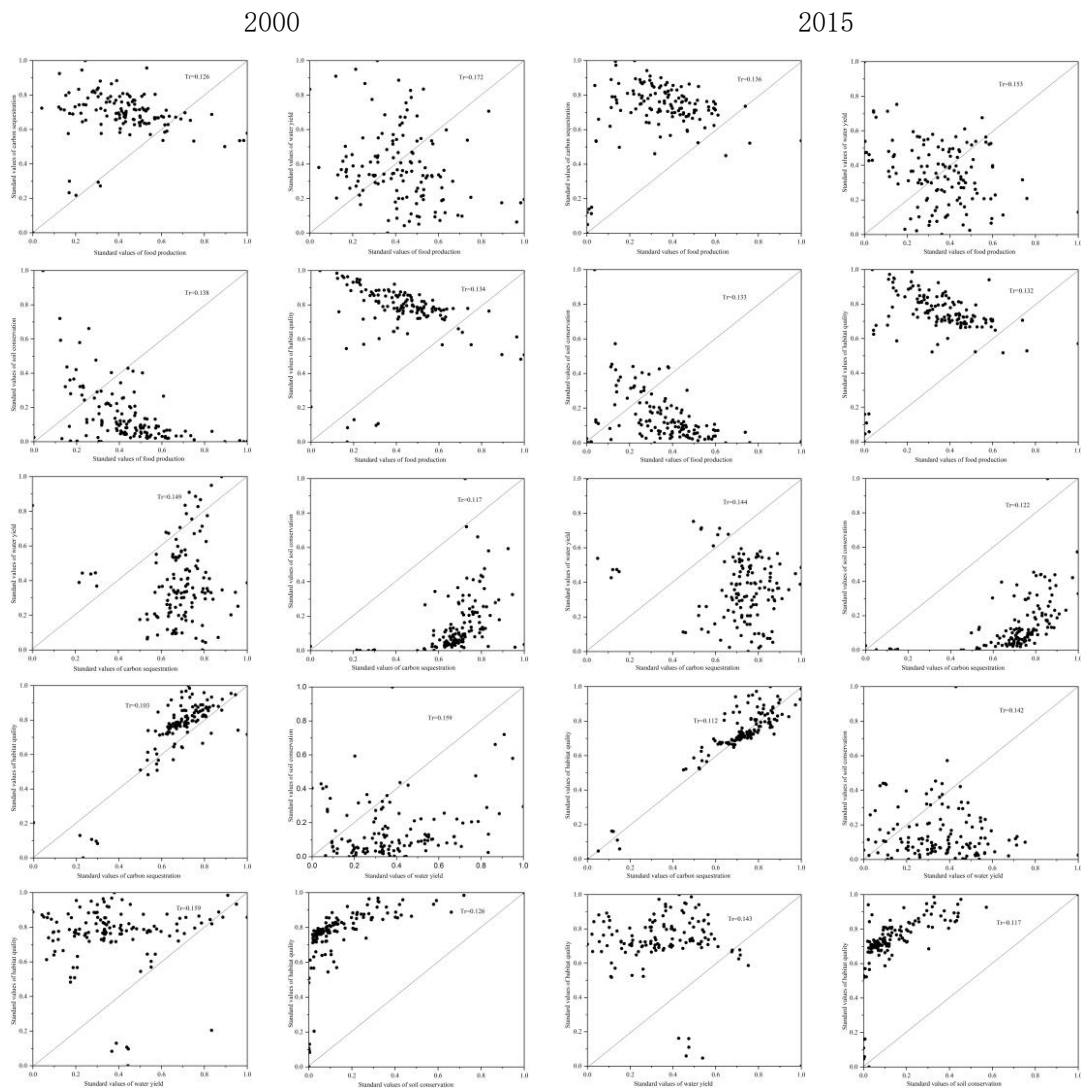


Fig. 2 Trade-off maps of five ecosystem services in 2000 and 2015 (each point represents a district; Tr indicates trade-off intensity)

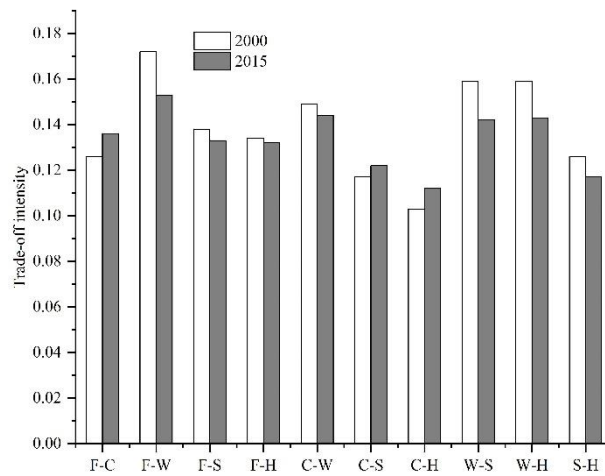


Fig. 3 Comparison of the trade-off intensities among these five ecosystem services

312 **Analysis of the causes of the effects of the GTGP on ecosystem service synergies and trade-**  
 313 **offs**

314 Table 2 shows that the contribution rate of influencing factors to trade-off intensities is different,  
 315 but their cumulative contribution rate is over 85%. Therefore, we can analyze the drivers of trade-  
 316 off intensity changes. It can be seen from the PCA figure (Fig. 4) that there is a positive correlation  
 317 between the cumulative afforestation area ratio (ZL) and F-C, F-H, F-S, F-W, W-H, W-S; that is,  
 318 the GTGP would accelerate the trade-offs between food production and other ecosystem services  
 319 and strengthen the constraints of water yield on habitat quality and soil conservation. There was a  
 320 negative correlation between ZL and C-H, S-H, and C-S, indicating that the trade-off intensities  
 321 among carbon sequestration, habitat quality and soil conservation weakened with the increase in  
 322 afforestation area. The GTGP strengthened the synergistic relationships among carbon sequestration,  
 323 habitat quality and soil conservation. The GTGP is an important factor affecting changes in the  
 324 trade-offs between regional ecosystem services.

325

**Table 2** Contribution rate of influencing factors to trade-off intensities

	Principal component (%)				Total
	1st	2nd	3rd	4th	
Factors	59.16	18.6	7.49	4.67	89.92

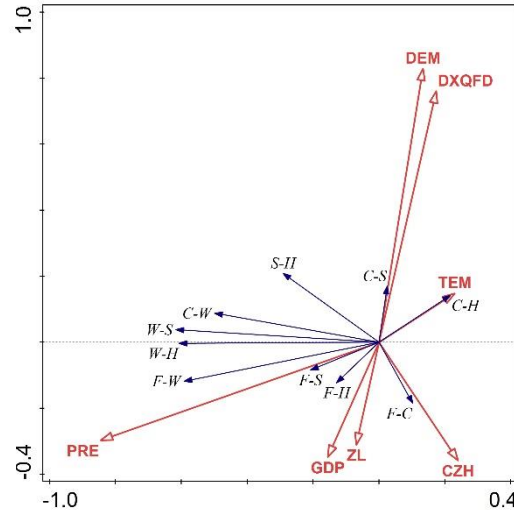
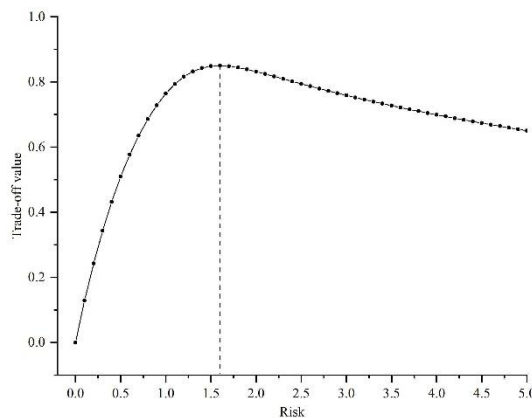


Fig. 4 Correlation analysis of the trade-off intensity and influencing factors from 2000 to 2015

326 **Identification of ecological security pattern**

327 In view of the current trade-off relationships of ecosystem services in this study area, to reduce  
 328 the conflict between ecosystem services and maximize the ecosystem service functions, this study  
 329 set different scenarios through the OWA to identify the regional ecological security pattern. First,  
 330 the importance of each ecosystem service was ranked, and the importance level ( $r_k$ ) of each  
 331 evaluation unit was given a number: 1, 2, 3, 4, and 5. According to the above formula, the importance  
 332 degree ( $w_k$ ) of each ecosystem service was calculated as 5/15, 4/15, 3/15, 2/15 and 1/15. The interval  
 333 of decision risk coefficient  $\alpha$  was 0.1, and the value started from 0. The ordered weight and trade-  
 334 off value under different decision risk coefficients were calculated according to the above formula.  
 335 As shown in Fig. 5, when the risk increased gradually from 0, the change in the trade-off value  
 336 showed an increasing trend and reached the highest value when the risk value was 1.6. Then, with  
 337 the increase in the risk value, the trade-off value showed a decreasing trend. When the risk value  
 338 increased infinitely, the trade-off value declined to zero.

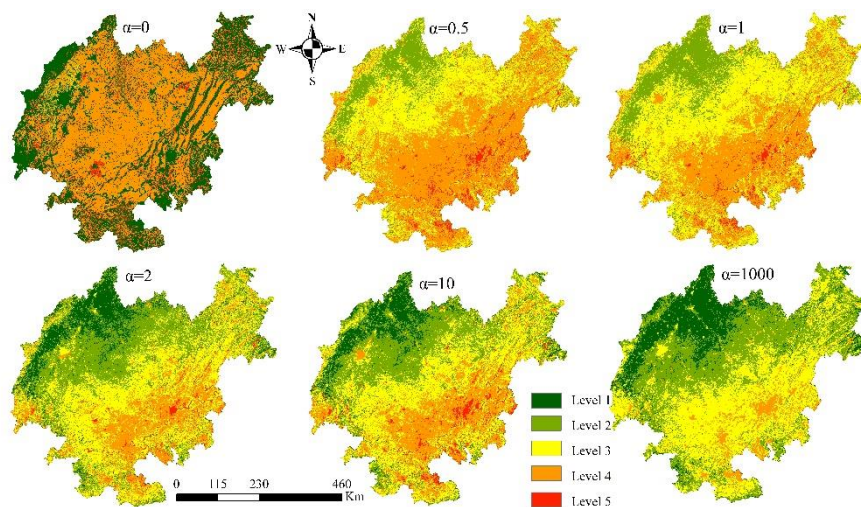




340

Fig. 5 The relationship between the risk index and trade-off value

341 The five weight values and their corresponding ecosystem services under different risk  
342 coefficients were multiplied to obtain the risk assessment result, and the assessment results were  
343 divided into five grades from low to high by the natural segment method. Due to space limitations,  
344 this study showed only the evaluation results under several typical decision risk levels (Fig. 6). The  
345 results showed that when  $\alpha=0$ , the decision-maker was pessimistic. At this time, the overall  
346 ecosystem security level of the CCUA was very poor, and most of the areas were in the ecological  
347 risk level 4; When  $\alpha=0.5$ , the ecological security level of the CCUA was also not high, most areas  
348 were in the state of level 3, and the area of the level 5 was increasing. When  $\alpha=1$ , the main risk  
349 statuses of the CCUA were levels 2 and 3, while the area of level 4 decreased. When  $\alpha=2$ , the area  
350 of the level 1 increased significantly, the areas of levels 4 and 5 decreased, the overall ecosystem  
351 was in a relatively safe state. When  $\alpha=10$ , the risk assessment results were consistent with the results  
352 of  $\alpha=2$ . When  $\alpha=1000$ , most regions were below ecological risk level 3.



353

354

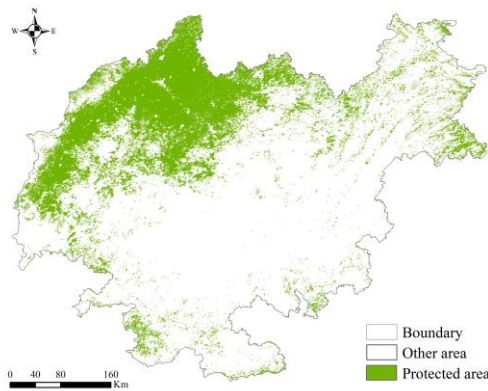
Fig. 6 Classification of ecosystem risk under different scenarios

355 Decision risk in the OWA is not the probability of an incorrect decision; rather, it is the risk-  
356 aversion attitude of decision-makers. Therefore, the higher the trade-off value in different scenarios  
357 is, the greater the average value of each ecosystem service is in the final result. Table 3 shows that  
358 when  $\alpha=1.6$ , the trade-off value was the maximum, and the protection efficiency of each ecosystem  
359 service was high. Therefore, this study focused on  $\alpha=1.6$  as the final scenario, and the top 20% of  
360 the area was selected as the ecological protection zone. The results showed that the ecological  
361 protection zones were mainly located in northeastern Sichuan and northeastern Chongqing, China;  
362 additionally, most of them were distributed in areas with high carbon sequestration and habitat

363 quality services (Fig. 7).

364 **Table 3** Protection efficiency and trade-offs of different scenarios for ecosystem services

Risk	Food production	Carbon sequestration	Water production	Soil conservation	Habitat quality	Trade-off
0	1.465	1.949	0.991	0.835	0.993	0
0.5	1.012	1.929	1.144	1.245	1.014	0.509
1	1.001	1.927	1.148	1.244	1.014	0.765
1.6	0.976	1.942	1.22	1.486	1.022	0.85
2	0.97	1.939	1.218	1.457	1.022	0.831
10	0.868	1.92	1.271	1.37	1.02	0.483
10000	0.838	1.905	1.27	1.023	1.015	0



365

366 Fig. 7 Ecological security pattern of the CCUA

### 367 Discussion and conclusion

368 According to related studies, the implementation of the GTGP has increased carbon  
369 sequestration while simultaneously increasing the value of soil conservation services in the  
370 ecosystem, but it has neglected the food production services of the study area. This result caused an  
371 increase in the trade-off value between food production capacity and carbon storage services,  
372 hindering the stable development of ecosystem structure and function (Accatinoa et al. 2019).  
373 However, according to our study, there was no obvious trade-off relationship between food  
374 production and carbon sequestration in the study area. The correlation between them was not  
375 significant in 2000, and then it evolved into a synergistic relationship in 2015, which indicated that  
376 the implementation of the GTGP did not affect regional grain production. In contrast, the water yield  
377 service had obvious trade-off relationships with carbon sequestration and food production, and its  
378 correlation coefficient had an increasing trend, which may be because the improvement of  
379 vegetation coverage will absorb a large amount of water and then reduce the surface runoff and  
380 water yield service (Ronald et al. 2014), indicating that the constraint of water resources on  
381 vegetation growth has become tighter since the implementation of the GTGP. In terms of soil

382 conservation and habitat quality, they basically maintained synergistic or insignificant relationships  
383 with the other three types of ecosystem services, but this result did not mean that their mutual  
384 relationship would not change with the change in the GTGP implementation intensity and direction.  
385 Therefore, in the process of regional GTGP implementation, we should pay attention to the change  
386 in trade-offs/synergies between ecosystem services, especially in relation to the relationships among  
387 food production, carbon sequestration and water yield. When adjusting the GTGP measures, we  
388 should not only focus on the improvement of carbon sequestration services but also improve the  
389 overall ecosystem service function of the study area.

390 Although the main objective of the GTGP is to convert the farmland on steep slopes ( $> 25^\circ$ )  
391 into forest or grassland, according to the data, the grain yield in the study area has not decreased,  
392 the vegetation coverage has been improved, and the carbon sequestration service has increased  
393 significantly (Wu et al. 2019). The response of carbon sequestration services to the GTGP was more  
394 prominent. However, due to the inconsistent implementation intensity of policies in different  
395 districts (counties), there were obvious differences in carbon sequestration services among districts  
396 (counties), resulting in the inconsistent change direction between this service and other services in  
397 different districts (counties), and the trade-off intensity was improved. Among them, the trade-off  
398 intensity between carbon sequestration and food production increased most significantly, from 0.126  
399 in 2000 to 0.136 in 2015, followed by that of soil conservation and finally that of habitat quality.  
400 Except for carbon sequestration, the trade-off intensity between the other four types of ecosystem  
401 services showed a slight downward trend because they were not directly affected by the GTGP.

402 Previous studies have shown that the GTGP will affect the trade-off/synergistic relationships  
403 between regional ecosystem services to a certain extent (Ji et al. 2021). Similarly, this study found  
404 that the GTGP slowed down the conflicted relationships among carbon sequestration, habitat quality  
405 and soil conservation, strengthened the constraint effect of water resources on soil conservation and  
406 habitat quality, and should focus on alleviating the conflict relationship between water yield and  
407 other ecosystem services in the future. The GTGP was an important factor affecting the trade-off of  
408 regional ecosystem services. It is worth noting that in the GTGP process, the trade-offs between  
409 carbon sequestration, soil conservation and habitat quality increased slightly, which seemed to be  
410 inconsistent with the conclusion here. In fact, the reason for this result was that although the GTGP  
411 slowed down the trade-offs between carbon sequestration, soil conservation and habitat quality, the

412 urbanization rate, elevation and topographic relief would intensify the conflicted relationships  
413 between them, and their effects were obviously stronger than that of the GTGP (Figure 4).  
414 Additionally, Fig. 4 shows that GDP, temperature and precipitation had certain degrees of impact  
415 on the trade-off relationships between regional ecosystem services. For example, precipitation and  
416 GDP would also strengthen the trade-off between water yield and other services. There are many  
417 factors affecting the evolution of trade-off relationships on regional ecosystem services, which need  
418 targeted analysis.

419 To realize the sustainable development of ecosystems, it is necessary to incorporate the trade-  
420 off relationship between ecosystem services into the identification of ecological security patterns.  
421 Meanwhile, the construction of ecological security patterns is a typical multi-attribute decision-  
422 making problem that needs to simultaneously consider the rights and interests of policy  
423 implementers, farmers and other stakeholders. Therefore, it is necessary to simulate the decision-  
424 making behavior under different risks through multi-scenario settings. Based on this, this study  
425 started with the trade-off relationship between ecosystem services in the study area, set different  
426 decision-making risks through the OWA, simulated the distribution of regional ecological protection  
427 zones under different scenarios, and identified the ecological security pattern according to the  
428 principle of optimal protection efficiency and highest trade-off value; thus, the results provide a  
429 reference for improving the total amount and reasonable allocation of ecosystem services in the  
430 CCUA. However, urban agglomeration ecosystems are comprehensive systems (Liu et al. 2019)  
431 that contain a variety of ecosystem service functions. In addition to the five types of services  
432 considered in this study, pollution purification, entertainment and culture are very important  
433 ecosystem services, making these services important directions of follow-up research.

## 434 **Appendix**

435 **Availability of data and materials:** All the data analyzed during this study are included in this  
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439 **Author Contributions:** Tiantian Chen and Li Peng designed the study, Tiantian Chen and Qiang  
440 Wang collected the data and analyzed the paper, Tiantian Chen wrote the paper and Li Peng revised

441 the paper.

442 **Declarations**

443 **Ethics approval and Consent to participate:** Not applicable.

444 **Consent to publish:** The authors have agreed to publish this manuscript.

445 **Conflict of interest:** The authors declare no conflicts of interest.

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